



Organization of
American States

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

FIRST EVALUATION REPORT



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Monitoring Progress of the Environmental Cooperation Agenda in the CAFTA-DR Countries¹

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1. Prepared by the Department of Sustainable Development of the General Secretariat of the Organization of American States.

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LIST OF ACRONYMS AND ABBREVIATIONS

AECID	Spanish Agency for International Cooperation for Development (Agencia Española de Cooperación Internacional para el Desarrollo)
ANEP	National Association of Private Industries – El Salvador (Asociación Nacional de Empresas Privadas – El Salvador)
ASWTS	Appropriate Sustainable Wastewater Treatment Systems
BORSICCA	Industrial Waste Exchange Program for Central American and the Caribbean (Bolsa de Residuos Industriales de Centroamérica y El Caribe)
CAFTA-DR	Central America – Dominican Republic – United States Free Trade Agreement
CAMAGRO	National Agro-Industrial Chamber – El Salvador (Cámara Agropecuaria y Agroindustrial de El Salvador)
CATHALAC	Water Center for the Humid Tropics of Latin America and the Caribbean (Centro del Agua del Trópico Húmedo para América Latina y el Caribe)
CBD	Convention on Biological Diversity
CCAD	Central American Commission for Environment and Development (Comisión Centroamericana de Ambiente y Desarrollo)
CEC	Commission for Environmental Cooperation
CITES	Convention on International Trade in Endangered Species of Wild Flora and Fauna
COMEX	Ministry of Foreign Trade – Costa Rica (Ministerio de Comercio Exterior)
CPI	Counterpart International
CSOs	Civil Society Organizations
DOI	U.S. Department of the Interior
DOJ	U.S. Department of Justice
DOS/OES	U.S. Department of State – Bureau of Oceans and International Environmental Scientific Affairs
DR	Dominican Republic
EAC	Environmental Affairs Council
ECA	Environmental Cooperation Agreement
E-CAM	The USAID Central America and Mexico Regional Program
ECC	Environmental Cooperation Commission
ECP	Environmental Cooperation Program
EGAT	USAID’s Economic Growth and Trade Program
EIA	Environmental Impact Assessment
ELE	USAID’s Environmental and Labor Excellence Program for CAFTA-DR
EMS	Environmental Management Systems
EPA	U.S. Environmental Protection Agency
ES	El Salvador
EU	European Union
FUSADES	Salvadoran Foundation for Economic and Social Development (Fundación Salvadoreña para el Desarrollo Económico y Social)
FTAs	Free Trade Agreements
FY	Fiscal Year
GOR	Grants Officer Representative
GDP	Gross Domestic Product
GTZ	German Technical Cooperation
HED	Higher Education for Development
HSI	Humane Society International
ICRAN	International Coral Reef Action Network
IITF	International Institute of Tropical Forestry
IRG	International Resources Group
LFA	Logical Framework Analysis
MARENA	Ministry of Environment and Natural Resources – Nicaragua (Ministerio del Ambiente y los Recursos Naturales)
MARN	Ministry of Environment and Natural Resources – Guatemala (Ministerio de Ambiente y Recursos Naturales)
MARN-ES	Ministry of Environment and Natural Resources – El Salvador (Ministerio de Medio Ambiente y Recursos Naturales)
MEAs	Multilateral Environmental Agreements
MIFIC	Ministry of Development, Industry and Trade – Nicaragua (Ministerio de Fomento, Industria y Comercio)
MINAET	Ministry of the Environment, Energy and Telecommunications – Costa Rica (Ministerio de Ambiente, Energía y Telecomunicaciones)

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MINECO	Ministry of Economy – Guatemala (Ministerio de Economía)
MINEC	Ministry of Economy – El Salvador (Ministerio de Economía)
MIRA	Integrated Environmental Resources Management Project (Proyecto de Manejo Integrado de Recursos Ambientales)
MIS	Management Information Systems
MOUs	Memoranda of Understanding
M&E	Monitoring and Evaluation
NAAEC	North American Agreement on Environmental Cooperation
NAFTA	North American Agreement Free Trade Agreement
NASA	National Aeronautics and Space Administration
NGOs	Non Government Organizations
NOAA	National Oceanic and Atmospheric Administration
OAS-DSD	Organization of American States – Department of Sustainable Development
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
OSM	Office of Surface Mining – U.S. Department of the Interior
OSPESCA	Organization for the Fisheries and Aquaculture Sector of the Central American Isthmus (Organización del Sector Pesquero y Acuícola del Istmo Centroamericano)
P+L	Cleaner Technology (Producción Más Limpia)
PM10	Airborne Particulate Matter of 10 micrometers in diameter or less
PMF	Performance Measurement Framework
POCs	Government Points of Contact
PRTR	Pollutant Release and Transfer Registry
RA	Rainforest Alliance
RBM	Results-Based Management
SAICM	Strategic Approach to International Chemicals Management
SEIC	State Secretariat for Industry and Trade – Dominican Republic (Secretaría de Estado de Industria y Comercio)
SEM	Secretariat for Environmental Matters
SEMARENA	State Secretariat of Environment and Natural Resources – Dominican Republic (Secretaría de Estado de Medio Ambiente y Recursos Naturales)
SERNA	Secretariat for Natural Resources and Environment – Honduras (Secretaría de Recursos Naturales y Ambiente)
SERVIR	Regional Visualization and Monitoring System (Sistema Regional de Visualización y Monitoreo)
SETENA	Costa Rican National Technical Secretariat (Secretaría Técnica Nacional Ambiental de Costa Rica)
SIAM	Mesoamerican Environmental Information System (Sistema de Información Ambiental Mesoamericano)
SIC	Secretariat of Industry and Trade – Honduras (Secretaría de Industria y Comercio)
SIECA	Secretariat for Central American Economic Integration (Secretaría de Integración Económica Centroamericana)
SICA	Central American Integration System (Sistema de la Integración Centroamericano)
SMEs	Small and Medium-Sized Enterprises
TEC	Technical Evaluation Committee
TEDs	Turtle Excluder Devices
TS	TechnoServe
UGAMS	Municipal Environmental Management Units - Dominican Republic (Unidades de Gestión Ambiental Municipal)
UNITAR	United Nations Institute for Training and Research
UNFCCC	United Nations Framework Convention on Climate Change
U.S.	United States
USAID	U.S. Agency for International Development
USDA	U.S. Department of Agriculture
USFS	U.S. Forest Service
USG	U.S. Government
USG Agencies	United States Government Technical Agencies
USTR	United States Trade Representative
WCS	Wildlife Conservation Society
WEC	World Environment Center
WHA/EPSC	Office of Economic Policy and Summit Coordination – Bureau of Western Hemisphere Affairs
WWF	World Wildlife Fund



EXECUTIVE SUMMARY

Background and Overview

On February 18th, 2005, at the Hall of the Americas of the Organization of American States, the Governments of the Parties to the CAFTA-DR signed the ECA. They agreed to “cooperate to protect, improve and conserve the environment, including natural resources”. Chapter 17 of the CAFTA-DR sets out the Parties’ commitment and undertakings regarding environmental protection.

The ECA establishes specific institutions to implement the environmental commitments in the Agreement and to manage the environmental cooperation arrangements between the CAFTA-DR Parties,² including the EAC, comprised of representatives of the Parties at the ministerial level who meet to discuss the implementation and progress of the ECA; the SEM, in charge of responding to submissions in cases where effective enforcement of environmental laws is in question; and the ECC, comprised of government representatives and responsible for establishing priorities for cooperative activities, developing work programs, examining and evaluating activities, and making recommendations to ensure Parties are meeting the intended national or regional goals.

Currently, the CAFTA-DR Parties are implementing activities with the aim of achieving the following long-term goals:

- ◆ Compliance with CAFTA-DR Environment Chapter (Chapter 17) obligations by (1) ensuring that CAFTA-DR ECA Parties’ environmental laws and policies provide for and encourage high levels of environmental protection; (2) effectively enforcing their environmental laws; and (3) ensuring 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.
- ◆ 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.
- ◆ Regional harmonization and integration of environmental laws and policies to facilitate improved environmental protection and a level playing field across the region.

However, since the ECA has not entered into force (only Guatemala, Nicaragua and the United States have completed their internal requirements), the ECC has not been formed. This situation has complicated certain aspects of the cooperation process, such as the priority setting and the development of a work program.

The environmental cooperation requires an examination and evaluation of the cooperative activities under the Agreement, through benchmarks or performance measures to ensure CAFTA-DR Parties are meeting the intended goals, with input from relevant local, regional or international organizations regarding how best to ensure that is accurately monitoring progress.³

Methodology

The OAS-DSD has been supporting CAFTA-DR Parties in evaluating if and how the activities being implemented are effectively contributing to the achievement of the priorities and long-term environmental goals. In this regard, the OAS-DSD is working towards the design of an evaluation process based on performance indicators. However, for a variety of reasons discussed within this report, a full-fledged and complete monitoring process cannot be developed at this time. Given the circumstances, this first evaluation report presents findings of a qualitative evaluation of the ECA, achieved using evaluation principles for development assistance combined with interviews with key CAFTA-DR stakeholders, and surveys on the progress of the cooperation agenda. The assessment has been conducted, to the extent possible, against criteria of relevance, efficiency,

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2. Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and the United States of America.

3. Article V(3) of the ECA.



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effectiveness, and sustainability. This report also provides analysis and insight on the design of a RBM monitoring and evaluation process and system for the CAFTA-DR environmental cooperation program.

Relevance

This criterion relates to the extent to which: (a) the activities being implemented correspond to the priorities and needs of the countries; (b) the scope of the cooperation responds to the guidelines established in the ECA; and (c) the funding allocation process is helping to achieve the goals.

The ECA has established work programs and priority cooperation areas, but in the absence of the ECC, Parties have engaged *ad interim* in different priority-setting exercises including the development of two strategic plans: the Work Plan and the Road Map.

The Work Plan was formulated through inter-agency coordination among the Ministries of Environment and Trade of each Party. It identified activities to be carried out for the period 2006-2008 under five programmatic areas: (A) Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws; (B) Biodiversity and Conservation; (C) Market-Based Conservation; (D) Improved Private Sector Environmental Performance; and (E) Implementation of Specific Obligations under CAFTA-DR. 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. Although this tool was introduced after the initiation of the implementation process, the Parties are using the Road Map as a guide in the preparation of activities and the design of indicators for their own evaluation processes.

While the ECA is clear in establishing the scope of cooperation, priority has been given to regional efforts in practice, and national priorities (bilateral cooperation) have only been addressed on a complementary basis.

Funding allocation has been a key aspect of environmental cooperation activities implemented under the ECA. To date, approximately US\$65 million have been appropriated for environmental cooperation. Although the process to allocate funds has not been consistent throughout the years, the modifications that this process has suffered were based on lessons learned in order to maximize resources while working towards the achievement of long-term goals established by the Parties.

Efficiency

The report assesses efficiency based on how well inputs, particularly expertise (i.e. key stakeholders) are converted into outputs.

The POCs and implementers are the two main key stakeholders supporting or implementing environmental cooperation activities in addition to national institutions which help in the management of environmental cooperation at the national level.

The POCs are representatives from both the Ministry of Environment and Trade of each Party, and in the absence of formal terms of reference, they have assumed *de facto* certain responsibilities such as coordinating cooperation activities. However, fulfilling this role and keeping up with their regular tasks within their ministries has proven to be challenging, as POCs can feel burdened with too many responsibilities. Still, the establishment of POCs as links between governments and implementers has facilitated inter-ministerial collaboration and communication, benefiting the implementation process at the national level and regional level.

Implementers are agencies and organizations working on the ground in the execution of activities. DOS/OES and USAID are responsible for managing implementers and a large portion of the cooperation portfolio. These implementers, the majority of which are USG Agencies, have been working to develop a bilateral and regional environmental cooperation agenda, particularly in the area of capacity building activities. However, this environmental cooperation has been challenging due to the fact that it is the first time such a large number of USG Agencies have engaged in the same cooperation program which has challenged the inter-agency coordination process.



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Implementers should be selected based on their expertise and unbiased capacity for implementing programs; this will contribute to improving government to government relations, and enhancing on the ground capacity. A greater number of local CSOs need to be engaged in the implementation of cooperation activities, but their efforts should be consistent with their missions.

Furthermore, implementers have been facing the challenge of reduced funding for the implementation of activities, which has prompted the revision of already planned and scheduled activities, and consequently caused an overall delay in programming and implementation. Another aspect needing attention is the promotion of coherence and building on complementarities among implementers, particularly when new implementers are involved in the cooperation program.

An additional challenge lies in the design and implementation of an environmental cooperation program that is cognizant of the wide variety of pre-existing efforts in the region, and standardizes regional goals and criteria for implementers and projects.

To address some of these challenges, DOS/OES established a CAFTA-DR dedicated website as a communication tool for all stakeholders involved in the implementation process, and is currently developing a new public website to facilitate access to information about the CAFTA-DR environmental cooperation program. In addition, DOS/OES has institutionalized quarterly conference calls between managing agencies and implementers to support coordination and avoid duplication of efforts; established a standardized planning and reporting process for their implementers; and organized regional workshops to ensure shared understanding between POCs and implementers.

The evaluation also identified delays and constraints linked to the fact the EAC has yet to approve the working procedures for the SEM.

The suspension of Honduras from the exercise of its right to participate in the OAS, and the decision of the U.S. Government to suspend development aid for Honduras, including support for CAFTA-DR environmental standards has caused significant delays in the execution of programs and has considerably affected regional programs.

Effectiveness

Effectiveness is defined as the extent to which a project or program attains its objectives and delivers planned outputs. It has been challenging to compile all ongoing and completed activities due to the absence of a standardized reporting format, and difficulties in obtaining requested information on the status of activities and programs from implementers. However, the following is a general description of highlighted activities that are consistent with the proposed outputs.

THEME A: INSTITUTIONAL STRENGTHENING FOR EFFECTIVE IMPLEMENTATION AND ENFORCEMENT OF ENVIRONMENTAL LAWS

Activities being implemented aimed at promoting strong environmental institutions, laws and policies, effective enforcement of laws and policies, effective implementation of MEAs, and a civil society that is actively engaged in environmental decision-making and enforcement. The program has been divided into three sub-themes.

Sub-theme A.1 – Environmental Laws, Regulations, Policies and Procedures

Implementers are working in specific areas selected by the countries, including strengthening EIA capabilities, wastewater management, solid waste management, sound management of chemicals, and air quality management.

To strengthen EIA capabilities and procedures, the EPA and program partners have been working on training and capacity building and institutional development activities. It is important that training be



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provided for specialists in all disciplines involved in EIA, so that they can contribute to a meaningful EIA review process that ensures compliance with the law. Efforts toward implementation of practical EIA processes should be focused on building enforcement capacity, legal and institutional coordination, and environmental monitoring of EIAs.

EPA assisted CAFTA-DR countries in the adoption of the Wastewater Regulatory Model that CAFTA-DR governments endorsed in 2005; and is also conducting activities to establish a wastewater laboratory in each CAFTA-DR country certified under ISO/IEC 17025:2005. However, it is necessary to establish reasonable parameters for wastewater discharges in consultation with all sectors involved and to allow time for adjustment. Other activities implemented include follow up to the development of database of discharges, and development of sound policies. These policies should be aligned towards national objectives for a successful development of sustainable wastewater management.

Implementers are working with government officials to create draft regulations for integrated solid waste management, and to prioritize regulations for selected sectors established in the CAFTA-DR agreement. Working through the CCAD with support from EPA, USAID is using a market mechanism to reduce the amount of industrial solid waste that ends up in municipal landfills by promoting participation in the BORSICCA. The improvement in solid waste management at the regional level will only be measurable once countries finalize, adopt and begin implementing the Regional Solid Waste Policy Framework.

All CAFTA-DR countries have adopted a PRTR work plan according to UNITAR guidelines to track the release and transport of chemicals, waste, and hazardous materials. However, activities should also complement lessons learned from previous efforts related to PRTR in the region, such as those executed under the Canada-Costa Rica Agreement on Environmental Cooperation. In addition, each country has created national committees in charge of overseeing the implementation of this plan. EPA has been working with officials to review efforts to implement SAICM priorities and developed an approach for a regional strategy. Additional efforts are necessary to finalize the adoption of SAICM. In addition, several training workshops have been implemented throughout the region on safe handling of hazardous materials. These training workshops should ensure the participation of environment and health officials, industries, hospitals, and hazardous materials responders.

USAID supported program partners to refurbish PM10 equipment for air quality monitoring stations in Nicaragua, Dominican Republic, Costa Rica and Honduras. This has effectively allowed for the monitoring of PM10 and ensured that air quality data collected in major urban areas is representative and accurate, which will improve air monitoring across the region.

USAID and CCAD, in partnership with NASA and CATHALAC, have conducted activities to strengthen SERVIR, a web-based information system that utilizes satellite resources to help local scientists, government leaders, and communities address concerns related to natural disasters, disease outbreaks, biodiversity, and climate change. These activities have helped to provide accurate and updated ecological and geographical information. Moving forward, it will be important to reach out to local universities, government ministries, NGOs and other stakeholders; this will help advance cross-agency coordination and exchange of information.

Sub-theme A.2 – Environmental Law Enforcement, Governance and Capacity Development

EPA has been conducting regional courses for environmental and customs officers to improve import-export control of trade that is governed by MEAs. A few other bilateral activities have been implemented including the negotiation of the first ever Inter-Ministerial Customs/Environmental Cooperation Agreement to facilitate improved coordination and compliance with MEAs in El Salvador.

In Guatemala, the cooperation has helped to create a Technical Council for Enforcement of Environmental Law, comprised of 16 government ministries and institutions, to support the Ministry of Environment to conduct a more efficient and effective enforcement of the environmental legislation. In



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addition, the cooperation has facilitated the development of a system and database to monitor environmental complaints and expedite resolution.

The need to train judges in environmental law is also evident in the region. The Judicial Training Program spearheaded by EPA, and DOJ is trying to fill this gap.

Sub-theme A.3 – Public Participation and Transparency to Support Informed Decision-Making

Since the beginning of the implementation of ECA-related activities, CAFTA-DR Parties have seen public participation as a main concern. Several mechanisms were developed by the countries for the identification of priorities such as nation-wide public consultations, and the establishment of working groups. A Small Grants Program has been developed to foster ways in which civil society is able to work with governments to ensure effective enforcement of environmental laws.

Many of the projects and activities being implemented include a component for public awareness through radio and TV spots, and dissemination of information through billboards, publications, brochures, flyers, stickers, display windows in airports and other public buildings.

USAID has worked with program partners to develop a regional model for harmonizing administrative procedures for citizens to file environmental concerns regarding a Party’s failure to enforce its environmental regulations. In this same context, the Institute of Environmental Investigations and Promotion, supported by DOS/OES, worked with the Salvadoran Ministry of the Environment and Natural Resources to inform the public of the mechanisms for participation in environmental decision-making.

Working with indigenous peoples, the Government of Guatemala developed a “Socio-Environmental Agenda from the Standpoint of the Indigenous Peoples.” This is considered an important step to reduce gaps between governments and CSOs.

Still, there is a need for better dissemination of information, dialogues and empowerment of NGOs to promote greater collaboration in the environmental program, as well as strengthening civil society participation in the implementation process of the cooperation, to have an installed capacity in the region.

THEME B: BIODIVERSITY AND CONSERVATION

In order to protect wildlife and habitat for the long-term economic and environmental development, agencies are implementing activities to combat and prevent species trade that violates international standards, including CITES. DOI worked with CAFTA-DR governments to identify gaps in existing legislation, regulations and policies, which has led to the adoption of new legislation and the formal establishment of responsible agencies. Also, implementers are working to strengthen scientific and management capacity of CITES authorities, and to train officials responsible for implementation of CITES. For instance, DOS/OES worked with DOI to establish a formal partnership with the CITES Secretariat to develop long-term, sustainable regional training to decrease the trafficking of illegal wildlife and to protect biodiversity. To help with the implementation of CITES guidelines on disposal and confiscation, HSI has issued grants to improve capacity of local wildlife rescue centers and establish a model center that meets regional standards. Additionally, a CITES support team was created with DOI, HSI and TRAFFIC. Given the increasing trend in negotiation of FTAs, complying with obligations under MEAs is an important goal for the CAFTA-DR countries; therefore, there is a need to targeting activities on legal capacities for effective enforcement of environmental laws and implementation of MEAs. Additional work is necessary to promote regulated sustainable trade.

In order to comply with national laws in the region, MEAs, import conditions, and to effectively participate in trade, NOAA has been working with local authorities and CSOs to promote improved use of Turtle Excluder Devices 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. NOAA is also working with OSPESCA to assist CAFTA-DR countries in developing a



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range of marine protection services that include professional, self-sustaining marine conservation enforcement bodies capable of effectively enforcing conservation laws within fisheries, and prosecuting fisheries violations. Beyond this, new approaches are also needed for working through private-public alliances to improve fisheries compliance and management and promote sustainable fishing practices and markets.

Implementers are also promoting sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging. For example, DOI worked with partners to complete the Governance and Law Enforcement Strategy and Action Plan. The Government of Dominican Republic approved a strategic plan for managing the Jaragua-Dahoruco-Enriquillo Reserve in efforts to implement national strategies for enforcing laws related to forests and protected areas. In Honduras, USAID and MIRA collaborated with SERNA to create a National Environmental Law Enforcement Strategy.

WCS worked with local stakeholders to complete the Jaguar Conservation Corridor Plan. The corridor plan will strengthen biological corridor management plans in Central America, which will help in the long-term conservation of jaguar populations.

In Nicaragua, USFS supported the establishment of agro-forestry systems; and by utilizing watershed management, integrated pest management, and soil and water conservation practices, more than 400 hectares of protected areas are now under improved environmental management and will yield income-generating agro-forestry species within five years.

THEME C: MARKET-BASED CONSERVATION

The main goal of this program is to implement a market-based conservation system, focusing on sustainable tourism, agriculture and forest products as means to support economic growth, sustainable natural resource management, and environmental protection.

In Guatemala, USAID worked with CPI and local partners to adopt the Sustainable Tourism Best Practices Guide as a tool to identify and take specific actions to operate more sustainably. USAID in partnership with IITF and the CSO Paso Pacifico in Nicaragua have enabled the local population, institutions and development-related associations to build their own capacities and tools for environmental management of marine turtle conservation. More opportunities and benefits can be developed by partnering with the private sector leveraging funding to increase the level of sustainable financing made available for sustainable tourism and natural resource management. Also, countries need to study their comparative advantage and gear their ecotourism practices towards those that will produce the largest economic benefits with the least adverse environmental impact.

USAID is working with partners to assist farmers in adopting agro-forestry practices and begin cultivating higher value alternative crops. With DOS/OES support, Rainforest Alliance developed a farm assessment guide to help farmers understand sustainable agriculture standards and assess needs for improved farming techniques, particularly in the production of coffee, cacao and banana. TechnoServe implemented a Coffee Traceability System, a marketing tool that demonstrates the origin of and processes used in the production of high-quality coffee, and provided training on how to improve coffee milling techniques in order to minimize water use and waste. Also, HSI conducted workshops to improve the quality of cacao pods by using environmentally-friendly agricultural practices. For this program to have a long-term impact there is a need to implement more activities to increase the number of small local NGOs, businesses and cooperatives involved to ensure an increase in employment and the consequent increase in income. Also, organic and certified products usually have a higher price in the market; therefore strategic alliances with the private sector must be implemented for improved competitiveness of these products.

THEME D: IMPROVED PRIVATE SECTOR ENVIRONMENTAL PERFORMANCE

EPA has been working in the incorporation of the regional cleaner production policy/strategy and Environmental Management Systems guidelines into the national policy framework of CAFTA-DR countries.



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Also, EPA has facilitated the creation of a regional high-profile cleaner production award to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives.

With DOS/OES support, WEC signed agreements with Wal-Mart and a dairy association to promote private partnerships that encourage the use of cleaner production practices throughout the supply chain. In El Salvador, WEC established the Alliance for Private Sector Competitiveness to promote economic development in the country through strengthening the ability of local businesses to produce goods and services more competitively, using less energy and in a sustainable and environmentally responsible manner. In addition to working with companies at the national level, there is also a need to involve trade associations and their members and to work with companies regionally, across borders, in order to address issues such as greening the supply chain.

El Salvador established a Cleaner Production Fund that provides grants to small and medium enterprises that request technical assistance to introduce cleaner, more efficient processes into factories. Also, USAID and CCAD conducted cleaner production assessments in the pig, poultry, and dairy sectors. In the Dominican Republic, USAID completed projects regarding cleaner production, including clean energy, organic fertilizers, and sound production/processing system. The environmental cooperation should contribute to the development of public-private partnerships at the national and regional level to facilitate the transfer and adoption of cleaner production technologies and promote a climate of environmental stewardship in CAFTA-DR countries to improve environmental protection and promote pollution prevention.

Sustainability

For the purpose of this report, sustainability is being defined as the continuation of benefits after the environmental cooperation assistance has been completed. The introduction of the Road Map has facilitated the efforts to achieve sustainability by assisting in determining if the needs of the Parties are being met, if implementers are focusing on outputs, and how to best manage future funding.

A policy framework that is compatible with and supportive of program objectives is a key factor in promoting sustainability. The development of some new policies and regulations, namely, the regulation for the mining sector and the creation of the Technical Council for Enforcement of Environmental Law to support the Ministry of Environment of Guatemala reflects the consideration of the sustainability issue in the overall design of the program.

Several projects implemented under programmatic areas C and D have been developed and implemented with a strong sense of local ownership and genuine public participation. The cleaner production initiatives and BORSICCA are good examples.

External political factors, such as changes of government – and policies – in the region, and for this particular period of the cooperation, the political situation in Honduras, have affected sustainability.

Design of a Monitoring and Evaluation (M&E) Process

It is extremely challenging to set up a harmonized M&E process and system due to the current fragmented approach to program management, the large number of stakeholders, the wealth of initiatives already in place regionally, and diverse country contexts and natural resource endowments. Further complications arise through the lack of reporting standardization among initiatives, countries, and between them, and the lack of baselines against which to measure impacts. Thus, the application of an RBM approach to monitoring is significantly hindered.

In spite of this evaluation scenario and limitations, the OAS-DSD is moving forward in the development of a M&E process based on the RBM principle. This entails the development of key M&E tools, such as the LFA and PMF. This process must be the object of thorough consultation with CAFTA-DR, and other stakeholders in order to have a legitimate evaluation process.



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Challenges and Recommendations

- ◆ Parties should complete all necessary internal legal processes for formal entry into force of the ECA.
- ◆ There is a strong need for an overarching mechanism, such as the ECC, to define goals, avoid duplications and assist in monitoring.
- ◆ There is a need to provide continuity and institutionalize the work of the POCs.
- ◆ Stakeholders need more information on the mechanisms established for regional and bilateral cooperation, and need to improve coordination between regional and national activities.
- ◆ To avoid any setbacks in the agenda, implementers should identify the most efficient way to communicate, exchange information and share knowledge.
- ◆ Exchanges of experiences, results, and lessons learned should be increased, as should dialogue at the national level to help in building programs on the elements and successes of others.
- ◆ Project activities should be formulated based on the principle of promoting the linkages between trade and the environment, and increased regional integration of MEAs.
- ◆ There is a further need to disseminate information related to ongoing activities.
- ◆ The cooperation would benefit from the establishment of a more formal mechanism of coordination, such as a thematic inter-agency committee to review progress of the cooperation program and discuss next steps as implementation moves forward.

Final Comments

Given the challenges posed by trade liberalization to the region's sustainable development agenda and the complex interaction between domestic institutions and laws and regulations linked to the environmental provisions contained in the CAFTA-DR, the complementary regional agenda on environmental cooperation is both timely and relevant.

The importance of free trade to improve environmental and economic conditions of the region is evident. Agriculture is one of the main economic sectors of the region that will benefit from FTAs – and particularly with CAFTA-DR – since the U.S. is the main importer of the region's agricultural products. Also, a strong regulatory framework will attract foreign investment and will help to increase exports of the region's products to foreign markets. These arguments should encourage CAFTA-DR Parties to continue promoting and supporting the implementation of the environmental cooperation under CAFTA-DR's ECA beyond 2010.



I. INTRODUCTION

As the Central American region begins the implementation of the Central America – Dominican Republic – United States Free Trade Agreement (CAFTA-DR), it also continues to deepen and broaden trade policy reform by negotiating with other key trading partners, such as the European Union (EU). Given the challenges posed by trade liberalization to the region's sustainable development agenda, and the complex interaction between domestic institutions, laws and regulations linked to the environmental provisions contained in the CAFTA-DR, the complementary regional agenda on environmental cooperation is both timely and relevant. However, the success of this agenda depends on the ability of the parties to effectively execute specific activities with measurable results within the Environmental Cooperation Agreement (ECA)⁴ and its priorities. In particular, success depends on the ability of the parties to advance in the programmatic areas identified within the ECA: (A) Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws; (B) Biodiversity and Conservation; (C) Market-Based Conservation; (D) Improved Private Sector Environmental Performance; and (E) Implementation of Specific Obligations under CAFTA-DR.

In order to support the objectives of the environmental cooperation, the ECA (article IV) requires that the Environmental Cooperation Commission (ECC) establishes priorities for cooperative activities, and be responsible for examining and evaluating the cooperative activities under the Agreement, through benchmarks or performance measures to ensure CAFTA-DR Parties⁵ are meeting the intended goals.

Cooperation efforts began in late 2005.⁶ However, the Agreement has not yet entered into force, and the ECC has yet to be established. Thus, in the interim, the Department of Sustainable Development of the Organization of American States (OAS-DSD) has been supporting CAFTA-DR countries to evaluate whether cooperative activities funded under the ECA are effectively contributing to the achievement of the long-term environmental goals established by the Parties.

In this regard, the OAS-DSD is working toward the design of an evaluation process based on performance indicators. However, for a variety of reasons discussed within the contents of this report, a full-fledged and complete monitoring process cannot be developed at this time. Given the circumstances this first evaluation report consists of a qualitative evaluation in an attempt to provide targeted recommendations in support of implementation of the ECA under CAFTA-DR.

1.1 OBJECTIVE OF THE FIRST EVALUATION REPORT

The objective of this first evaluation report is to determine whether cooperative activities funded under the ECA, to date, are effectively contributing to the achievement of the long-term environmental goals⁷ established by the Parties. This objective is twofold: (1) to present findings of a qualitative evaluation of the ECA using evaluation principles for development assistance, such as those applied by the Organisation for Economic Co-operation and Development (OECD),⁸ combined with information obtained from interviews with key CAFTA-DR stakeholders and surveys on the progress of the cooperation agenda; and (2) to provide analysis and insight on the design of a Results-Based Management (RBM) monitoring and evaluation process and system for the CAFTA-DR environmental cooperation program (ECP).

4. Agreement among the Governments of Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and the United States of America on Environmental Cooperation, signed on February 18, 2005 in the headquarters of the Organization of American States, Washington, D.C.

5. Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and the United States of America.

6. Article IV(2) of the ECA states that "[t]he first meeting of the Commission should take place within six months after the Agreement enters into force." Additionally, article XII establishes that the agreement shall enter into force 30 days after the receipt by the OAS Secretariat of the last diplomatic note establishing that internal requirements necessary for entry into force of the Agreement have been met. While the CAFTA-DR and the ECA legally are two independent agreements, it has not been confirmed by the OAS-DSD if for some countries entry into force of the CAFTA-DR was considered an internal requirement for entry into force of the ECA. Implementing legislation for the CAFTA-DR passed the U.S. Senate in June 2005 and the House of Representatives in July 2005. It was signed by the President in August 2005. The CAFTA-DR entered into force for El Salvador in March 1, 2006, for Honduras and Nicaragua in April 1, 2006, for Guatemala in July 1, 2006, for the Dominican Republic in March 1, 2007, and for Costa Rica in January 1, 2009.

7. See Section 2.4 of this Report.

8. OECD's Development Assistance Committee's Principles for Evaluation of Development Assistance. <<http://www.oecd.org/dataoecd/31/12/2755284.pdf>>

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1.2 METHODOLOGY

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

This section will briefly describe the methodological steps used to assess the environmental cooperation, presenting, in particular, how the OAS-DSD obtained findings at the following programmatic levels: inputs, activities, and outcomes.

1.2.1 Data and information collection techniques

As a first step, the OAS-DSD began by mapping key stakeholders involved in the implementation of ECA-related environmental cooperation activities. Stakeholders included United States Government Technical Agencies (USG Agencies), Government Points of Contact (POCs), national institutions, Civil Society Organizations (CSOs), and the private sector, among others.

After drafting the list of stakeholders, the OAS-DSD developed a questionnaire (See Annex I) to be used in a subsequent series of interviews and conducted a literature review of reports and documentation related to ongoing activities under the ECA. The rationale behind the use of these data collection techniques was to obtain in-depth information related to cooperation activities from stakeholders, including national priorities, perceptions of such priorities, ongoing activities, relevant baseline information and performance related data.

Next, the OAS-DSD conducted interviews with stakeholders (see Annex II for a list of interviewed stakeholders). Specifically, implementing agencies, POCs, Washington-based USG Agencies and other key implementers were interviewed during two rounds of visits by OAS-DSD representatives to Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras⁹ and Nicaragua in 2008 and 2009. The second round of interviews was especially important, as it enabled the verification of findings, and identification of progress in the execution process of environmental cooperation, with a view to strengthening the recommendations and findings derived from the first round.

Finally, the OAS-DSD obtained additional information on projects being implemented from an array of sources, such as progress reports, substantive reports, memoranda of understanding, meeting minutes, and implementer's websites. This information was streamlined and organized by priority area, country of implementation, expected outputs and outcomes. Building on these categorizations, the OAS-DSD aggregated information to assess the extent to which results have or have not been attained.

While this methodology is indeed comprehensive, it is crucial to highlight that it has been difficult to compile all ongoing and completed activities due to the absence of a standardized process for the establishment of new programs and projects, lack of a standardized reporting format, and challenges in obtaining requested information from some implementers on the status of activities and programs. Given the information currently available, this report represents an early assessment of the extent to which cooperative activities funded under the ECA are effectively contributing to the achievement of the long-term environmental goals established by the Parties.

1.2.2 Evaluation methodology

By responding to specific issues related to each of the established criterion for the evaluation (relevance, efficiency, effectiveness, and sustainability), this report presents a basic qualitative evaluation of the environmental cooperation, as well as a baseline for future evaluations. The present evaluation focuses less on the impact of

9. The second visit to Honduras scheduled for the first week of July 2009 had to be cancelled due to the series of political events that took place in that country during the last days of June and early July. Also, the Thirty-Seventh Special Session of the OAS General Assembly resolved to suspend the Honduran State from the exercise of its right to participate in the Organization of American States, in accordance with Article 21 of the Inter-American Democratic Charter. The suspension took effect on July 4, 2009 affecting all activities within this initiative related to Honduras.



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environmental cooperation, and places greater emphasis on the progress made within the cooperation process and its overall consistency with the proposed goals. As mentioned, in constructing the evaluation framework, the OAS-DSD developed key questions regarding the criteria of relevance, efficiency, effectiveness and sustainability of the ongoing and completed activities. Additionally, it is expected that by answering these questions, implementation issues that support or hinder the achievement of the proposed goals will be identified.

Information in this evaluation will be complemented in the future with the use of a monitoring and evaluation (M&E) process based on the Results-Based Management (RBM) principle. This process will involve the development of a Logical Framework Analysis (LFA) and a Performance Measurement Framework (PMF), including the development of indicators that will measure the performance and impact of the activities implemented as part of the environmental cooperation in order to achieve the goals established by the CAFTA-DR Parties in each of the programmatic areas.

The criteria, and corresponding questions for evaluation, are as follows:

◆ **Relevance**

In order to address relevance, this report seeks to analyze the extent to which the activities being implemented are pertinent or significant with regard to attaining the related outputs. This will be accomplished by determining whether or not:

- The activities being implemented correspond to the priorities and needs of the countries.
- The scope of the cooperation responds to the guidelines established in the ECA.
- The funding allocation process is helping in the achievement of the goals.

The development of the Work Plan and Road Map and their different elements will provide insight to the issues above. However, concerns related to the consistency of programmatic area outputs relative to long-term environmental goals, as well as intended impacts and effects, will be addressed once the basic set of performance and impact indicators is established.

◆ **Efficiency**

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, including a hypothetical comparison of possible alternative approaches that could have been used to achieve the same outputs.

While the efficiency of a program is determined by identifying if the activities were implemented in the most efficient way, compared to other possible alternatives, the information currently available is not conducive to such analysis without a clear set of performance indicators. However, the efficiency of the cooperation will be addressed by analyzing how the different mechanisms established to implement the cooperation activities (i.e. institutional arrangements, implementers and other inputs) are contributing to the achievement of the proposed goals. To address these issues, this report will consider all available information in order to:

- Assess the timeliness in the achievement of the objectives.
- Identify the stakeholders involved in the implementation of the cooperation agenda, along with their corresponding expertise and area(s) of responsibility.
- Understand how stakeholders have been working collectively to achieve programmatic area goals (specifically seeking to identify the main elements associated with coordination and communication and other such challenges).

◆ **Effectiveness**

Effectiveness is defined as the extent to which a project or program attains its objectives and delivers planned outputs. As mentioned earlier, based on the information currently available it is not yet possible to answer this with certainty. In order to evaluate effectiveness a set of clear and coherent outputs must first be identified. However, to evaluate the contribution of the cooperation to the short and long-term goals from a qualitative perspective, the OAS-DSD will:



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- Assess the consistency of the activities with the goals of the program based on some concrete results and good implementation practices, and identify the possible challenges and limitations hindering the achievement of the goals.
- Examine the level of public participation in the implementation of activities.

◆ **Sustainability**

Sustainability concerns the measurement of whether the benefits of an activity are likely to continue after donor funding is withdrawn. To address this criterion, the present report will examine the principal actions taken by implementers and POCs to guarantee the continuity of the projects and programs, including issues related to country ownership, and institutional memory.

Although these criteria sufficiently encompass the information needed to evaluate the environmental cooperation, complementary evaluation criteria, such as impact, viability, coherence, and appropriation, among others, will be considered in future evaluation reports, once a formal monitoring and evaluation process is established.

1.2.3 Moving forward with the design of a Monitoring and Evaluation System

As mentioned previously, the OAS-DSD is in the process of developing an M&E system based on the RBM principle which will include a LFA and PMF.

The LFA is a key tool for planning, executing, monitoring and evaluating projects. It can also be used to change and improve a project during its implementation. A PMF is based, among other procedures, on continual measurement of progress in the implementation and monitoring of a project, through compilation of data and comparison of performance to plans and expectations, and through continuous learning via integration and adaptation during execution. Performance measurement can regularly generate knowledge and teach valuable lessons on resource use, effects on beneficiaries and populations, project success and results achieved at various levels. Further, PMF is also useful in terms of highlighting specific challenges and pinpointing where adjustments or improvements should be made. PMF assists in the timing of risk identification and in developing strategies for handling foreseen risks as well.

In order to apply these monitoring tools, it is important that the reporting process for projects and programs be standardized and harmonized. This is especially important for those implementers already reporting to their managing agency. In addition, to ensure consistent use of LFAs and PMFs it is crucial that performance measurement elements and expected results be clarified in a participatory and collaborative manner with stakeholders. This process will provide an opportunity for capacity building and enhancement of management, monitoring and reporting.

The rationale behind the development of these tools is to ensure that OAS-DSD has the capacity to take a “snapshot” of overall performance and impact within the environmental cooperation agenda. Ultimately, once developed, the information generated by these tools will serve to complement the present qualitative evaluation.

In order to contribute to the design of an RBM-based monitoring and evaluation process and system for the CAFTA-DR environmental cooperation program, an Institutional Stakeholder Map was developed to assist in pinpointing the most important stakeholders and their interaction from both an implementation and monitoring process perspective. In addition, other bilateral and multilateral donors are active at all these levels and were also considered. This map is based on a conceptual chart to facilitate an analysis and discussion of institutional roles and responsibilities of those involved in the CAFTA-DR ECA process. This will enable a clearer definition of the interface between the private and public sectors, as well as possible synergies between them at global, national and local levels.



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Further, conclusions will be drawn on the strengths and weaknesses of the existing M&E tools, processes and systems, currently applied indicators and benchmarks. These conclusions will serve as the basis for developing a monitoring tools, processes and systems that will be capable of rendering regular and timely information on all performance measurement elements and facilitate information sharing and roll up from national and regional levels.

An assessment of the goals and expected results (including activities) of the Road Map to Results documents from a RBM perspective will also be conducted. In order to identify the goals, outcomes and outputs, OAS-DSD will build the LFA with inputs from the Road Map. A similar assessment will be undertaken for performance measurement elements, where possible, and requirements, based on contextual research at the time of signing the CAFTA-DR and ECA, as well as the Memoranda of Understanding (MOUs), and contracts among the different implementers and stakeholders and their compatibility with the ECA.

This broad assessment will inform the development of a monitoring process for the ECA and for development of LFAs and PMFs for the program. Moreover, the basic principles of this approach build upon existing efforts to develop indicators and M&E systems at national and regional levels. In this respect, special emphasis will be made in the evaluation to identify potential strategic partnerships that could ensue among these efforts over time. Identification and consolidation of such synergies will help to institutionalize efforts and achieve sustainability in the long-term.

However, the development of LFAs and PMFs is a demanding endeavor. Some conditions must exist such as a harmonized and standardized reporting process for projects and programs, an accessible database for the streamlining and facilitation of project and program management, and commitment of stakeholders to collaborate in the information sharing process, among other conditions. These are challenges that will need to be addressed in following phases of the monitoring program.



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II. OVERVIEW: CAFTA-DR ENVIRONMENTAL COOPERATION

This section presents an overview of environmental cooperation under the CAFTA-DR, including a brief description of Chapter 17, the Environmental Cooperation Agreement and its Work Plan. In addition, the specific institutions established to implement the environmental commitments are presented, including the Secretariat for Environmental Matters (SEM), in charge of responding to submissions in cases where the effective enforcement of environmental laws is in question.

While the work of the SEM is not strictly related to the ECP, since its operations are funded with resources allocated for the ECA related environmental cooperation under the rubric of compliance with obligations under CAFTA-DR Chapter 17, Section 3.2.2 of this report will address to a certain extent the contribution of the activities of the SEM toward compliance with the long-term goals of the CAFTA-DR Parties.

This section ends with a description of the long-term environmental goals established by the Parties and the role of the OAS-DSD in the framework of ECA-related cooperation.

2.1 CAFTA-DR CHAPTER 17

Chapter 17 of the CAFTA-DR sets out the Parties’ commitments and undertakings regarding environmental protection. It draws on environmental provisions of previous Free Trade Agreements (FTAs) negotiated by the United States (U.S.); thus it differs from other precedents as it is the first U.S. FTA that integrates a process for citizens’ submissions on environmental matters within the agreement.¹⁰

2.2 THE ENVIRONMENTAL COOPERATION AGREEMENT

On February 18th, 2005, at the Hall of the Americas of the Organization of American States, the CAFTA-DR Parties signed the ECA where they agreed to “cooperate to protect, improve and conserve the environment, including natural resources.” They also came to an understanding that the objective of the ECA was to “establish a framework for such cooperation among the Parties.”

The ECA builds on previous environmental capacity building efforts in the region. Among its innovative features, the ECA includes provisions for establishing benchmarks to identify short, medium, and long-term goals for improving environmental protection in the region.

While cooperation efforts have been ongoing since 2005, as of September 30th, 2009 only Guatemala, Nicaragua 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.

2.3 INSTITUTIONAL ARRANGEMENTS

The ECA establishes specific institutions to implement the environmental commitments in the agreement and to manage the environmental cooperation arrangements between the Parties. This section describes the role and status of these institutions.

2.3.1 Environmental Affairs Council

Article 17.5 of Chapter 17 of CAFTA-DR establishes an Environment Affairs Council (EAC), comprised of representatives of the Parties at the ministerial level or equivalent. Additionally, article 17.5 requires the EAC to meet at least once a year, unless the Parties otherwise agree, to discuss the implementation of, and progress under, Chapter 17.

10. The North American Free Trade Agreement (NAFTA) establishes in a side agreement on environmental Cooperation (The North American Agreement on Environmental Cooperation, NAAEC) a citizens’ submission process, and the Commission for Environmental Cooperation (CEC) as the Secretariat in charge of receiving such submissions.



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At the First Meeting of the EAC,¹¹ its members agreed in principle to an agreement that formally established the SEM. During the Second EAC Meeting,¹² the Parties signed the Agreement Establishing the SEM and appointed its General Coordinator. During the Third Meeting of the EAC,¹³ the Parties agreed in principle to the Working Procedures for the SEM. These procedures are expected to provide the public with important guidance on how to file submissions asserting that a CAFTA-DR Party is failing to effectively enforce its environmental laws. They will also ensure effective, efficient, and transparent processing of submissions.¹⁴ To date, the working procedures have not been formally approved by the EAC.

Additionally, during the EAC meetings, the Parties review the implementation of Chapter 17 obligations, receive a report on the activities of the SEM, and review the status of cooperative environmental activities being implemented consistent with the CAFTA-DR ECA. Furthermore, each meeting of the EAC shall include a session with the public to discuss matters related to the implementation of Chapter 17, unless the Parties otherwise agree.

As representatives of their countries and as members of the EAC, ministers are faced with the challenge of leaving aside national interest and working toward common regional goals.¹⁵ Changes of administration within the Parties are also factors that must be considered in the work of the EAC, since these are high-level – political – posts, sustainability of the agenda and policy decisions thus represents a key challenge. This is particularly relevant due to the wave of general elections in the region for the 2008-2011 period.¹⁶

2.3.2 *Environmental Cooperation Commission*

Article IV of the ECA establishes the ECC, comprised of government representatives¹⁷ appointed by each Party, which will be responsible for: (1) establishing priorities for cooperative activities under the Agreement; (2) developing a work program in accordance with those priorities; (3) examining and evaluating the cooperative activities under the Agreement; (4) making recommendations and providing guidance to the Parties on ways to improve future cooperation; and (5) undertaking other such activities on which the Parties may agree.

The ECC shall meet once a year in the country of the Party that is chairing the ECC, unless the ECC decides otherwise. Representatives of the Parties may meet between meetings of the ECC to analyze and promote the implementation of the Agreement and to exchange information on the progress of cooperative programs, projects and activities.

Since the ECA has not entered into force, pursuant to article IV(2), the ECC has not been formed, and has yet to meet. This delay in the Agreement coming into force has complicated certain aspects of the process, such as the assumption of priority setting functions by the POCs, as well as the development of a work program. Finally, this has also resulted in the lack of a systematic approach regarding the responsibility of convening meetings and determining the host country. Once the ECC is officially instituted, the OAS-DSD will meet with the appointed representatives to go over activities that will help improve the cooperation process.¹⁸

2.3.3 *Secretariat for Environmental Matters*

The Parties have established the SEM to carry out the functions described in articles 17.7 and 17.8 of the CAFTA-DR, including responding to submissions in cases where the effective enforcement of environmental laws is in question. The scope of work of OAS-DSD is not meant to evaluate the SEM's decision-making process; however, as ECA funding is used to cover SEM related activities, reference will be made to compliance with the objectives of the cooperation, and as appropriate regarding the criterion used within this evaluation. The SEM operates as an independent entity within the Secretariat for Central American

11. May 29th, 2006 – Guatemala City, Guatemala.

12. July 27th, 2006 – San Salvador, El Salvador.

13. July 24th, 2007 – Guatemala City, Guatemala.

14. See <<http://www.state.gov/oes/env/trade/94342.htm>>

15. The scope of work of OAS-DSD is not meant to evaluate the EAC's decision-making process; however, as ECA funding is used to cover the EAC's meetings, reference will be made to compliance with the objectives.

16. Dominican Republic (May 2008), El Salvador (March 2009), Honduras (November 2009), Costa Rica (February 2010), Guatemala (September 2011), Nicaragua (November 2011).

17. Article IV(3a) of the ECA states that "[t]he relevant department or ministry for each Party are: the Ministry of Environment and Energy in Costa Rica; the Secretariat of State of Environment and Natural Resources in the Dominican Republic; the Ministry of Environment and Natural Resources in El Salvador; the Ministry of Environment and Natural Resources in Guatemala; the Ministry of Natural Resources and Environment in Honduras; the Ministry of Environment and Natural Resources in Nicaragua; and the Department of State in the United States of America.

18. A description of the role of the OAS-DSD in the framework of the ECA is presented in section 2.6 of this report.



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Economic Integration (SIECA) and under the sole direction and supervision of the EAC. The SEM does not receive or act on instructions from any authority other than the EAC.

2.4 GOALS OF THE COOPERATION

Currently, the CAFTA-DR Parties are implementing activities with the aim of achieving the following long-term goals derived from the priority cooperation areas established within article V of the ECA:

- ◆ Compliance with CAFTA-DR Environment Chapter (Chapter 17) obligations: by (1) ensuring that CAFTA-DR ECA Parties’ environmental laws and policies provide for and encourage high levels of environmental protection; (2) effectively enforcing their environmental laws; and (3) ensuring 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.
- ◆ 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.
- ◆ Regional harmonization and integration of environmental laws and policies to facilitate improved environmental protection and a level playing field across the region.

In support of these objectives, article IV of the ECA requires that the ECC, in addition to establishing priorities for cooperative activities, be responsible for examining and evaluating the cooperative activities under the Agreement through benchmarks or performance measures to ensure that Parties are meeting the intended national and/or regional goals. Article IV further calls for an ongoing benchmarking mechanism that will provide guidance to the Parties on ways to improve future cooperation. Moreover, the Agreement requires that the Parties monitor the progress of cooperative activities and measure the contribution of these collective efforts to the above long-term goals as a success factor.

The ECA highlights as well that as the ECC periodically examines and evaluates cooperative programs, projects and activities, it shall seek and consider input from relevant international organizations and other stakeholders, regarding how to best ensure that it is accurately monitoring progress. Finally, for accountability purposes and given U.S. Congressional expectations, the Parties have agreed to receive support from an independent entity to assist the ECC with these tasks and ensuring that the appropriated funding is contributing to the goals.

2.5 ONGOING EFFORTS WITHIN THE ECA

The following is a general description of highlighted activities and ongoing efforts being implemented under each of the programmatic – or thematic – areas in the framework of the cooperation program. A list of activities compiled per programmatic area is presented in Annex V for each CAFTA-DR country.

THEME A: INSTITUTIONAL STRENGTHENING FOR EFFECTIVE IMPLEMENTATION AND ENFORCEMENT OF ENVIRONMENTAL LAWS

Activities being implemented aimed at promoting strong environmental institutions, laws and policies, effective enforcement of laws and policies, effective implementation of Multilateral Environmental Agreements (MEAs), and a civil society that is actively engaged in environmental decision-making and enforcement. The program has been divided into three sub-themes.



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Sub-theme A.1 – Environmental Laws, Regulations, Policies and Procedures

Implementers are working in specific areas selected by the countries, including strengthening Environmental Impact Assessment (EIA) capabilities, wastewater management, solid waste management, sound management of chemicals, and air quality management.

To strengthen EIA capabilities and procedures, the U.S. Environmental Protection Agency (EPA) and program partners have been working on training and capacity building and institutional development activities.

EPA assisted CAFTA-DR countries in the adoption of the Wastewater Regulatory Model that CAFTA-DR governments endorsed in 2005; and is also conducting activities to establish a wastewater laboratory in each CAFTA-DR country certified under ISO/IEC 17025:2005.

The United States Agency for International Development (USAID) worked with Abt Associates on a strategy to implement wastewater management best practices in the fruits, vegetables and textile sectors.

Implementers are working with government officials to create draft regulations for integrated solid waste management, and to prioritize regulations for selected sectors established in the CAFTA-DR agreement. Working through the Central American Commission for Environment and Development (CCAD) with support from EPA, USAID is using a market mechanism to reduce the amount of industrial solid waste that ends up in municipal landfills by promoting participation in the Industrial Waste Commodity Exchange for Central America and the Caribbean (BORSICCA).

All CAFTA-DR countries have adopted a Pollutant Release and Transfer Registry (PRTR) work plan according to the United Nations Institute for Training and Research (UNITAR) guidelines to track the release and transport of chemicals, waste, and hazardous materials. In addition, each country has created national committees in charge of overseeing the implementation of this plan. EPA has been working with officials to review efforts to implement the Strategic Approach to International Chemical Management (SAICM) priorities and developed an approach for a regional strategy. In addition, several training workshops have been implemented throughout the region on safe handling of hazardous materials.

USAID supported program partners to refurbish particulate matter (PM10) equipment for air quality monitoring stations in Nicaragua, Dominican Republic, Costa Rica and Honduras. This has effectively allowed for the monitoring of PM10 and ensured that air quality data collected in major urban areas is representative and accurate, which will improve air monitoring across the region. In Honduras, the Integrated Environmental Resources Management Project (MIRA) helped develop draft regulations for control of stationary-source air emissions that incorporates norms for air emissions control.

USAID and CCAD, in partnership with the National Aeronautics and Space Administration (NASA) and the Water Center for the Humid Tropics of Latin America and the Caribbean (CATHALAC), have conducted activities to strengthen the Regional Visualization and Monitoring System (SERVIR), a web-based information system that utilizes satellite resources to help local scientists, government leaders, and communities address concerns related to natural disasters, disease outbreaks, biodiversity, and climate change. These activities have helped to provide accurate and updated ecological and geographical information.

Sub-theme A.2 – Environmental Law Enforcement, Governance and Capacity Development

The U.S. Department of the Interior (DOI) worked with partners in the region to complete the comprehensive Governance and Law Enforcement Strategy and Action Plan. In Honduras, USAID and MIRA collaborated with the Secretariat for Natural Resources and Environment (SERNA) to create a National Environmental Law Enforcement Strategy.



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EPA has been conducting regional courses for environmental and customs officers to improve import-export control of trade that is governed by MEAs. A few other bilateral activities have been implemented including the negotiation of the first ever Inter-Ministerial Customs/Environmental Cooperation Agreement to facilitate improved coordination and compliance with MEAs in El Salvador.

In Guatemala, the cooperation has helped to create a Technical Council for Enforcement of Environmental Law, comprised of 16 government ministries and institutions, to support the Ministry of Environment to conduct a more efficient and effective enforcement of the environmental legislation. In addition, the cooperation has facilitated the development of a system and database to monitor environmental complaints and expedite resolution.

Sub-theme A.3 – Public Participation and Transparency to Support Informed Decision-Making

Since the beginning of the implementation of ECA-related activities, CAFTA-DR Parties have seen public participation as a main concern. Several mechanisms were developed by the countries for the identification of priorities such as nation-wide public consultations, and the establishment of working groups. A Small Grants Program has been developed to foster ways in which civil society is able to work with governments to ensure effective enforcement of environmental laws.

Many of the projects and activities being implemented include a component for public awareness through radio and TV spots, and dissemination of information through billboards, publications, brochures, flyers, stickers, display windows in airports and other public buildings.

USAID has worked with program partners to develop a regional model for harmonizing administrative procedures for citizens to file environmental concerns regarding a Party's failure to enforce its environmental regulations. In this same context, the Institute of Environmental Investigations and Promotion, supported by the U.S. Department of State – Bureau of Oceans and International Environmental Scientific Affairs (DOS/OES), worked with the Salvadoran Ministry of the Environment and Natural Resources to inform the public of the mechanisms for participation in environmental decision-making.

Working with indigenous peoples, the Government of Guatemala developed a “Socio-Environmental Agenda from the Standpoint of the Indigenous Peoples.” This is considered an important step to reduce gaps between governments and CSOs.

THEME B: BIODIVERSITY AND CONSERVATION

In order to protect wildlife and habitat for the long-term economic and environmental development, agencies are implementing activities to combat and prevent species trade that violates international standards, including the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES). DOI worked with CAFTA-DR governments to identify gaps in existing legislation, regulations and policies, which has led to the adoption of new legislation and the formal establishment of responsible agencies. Also, implementers are working to strengthen scientific and management capacity of CITES authorities, and to train officials responsible for implementation of CITES. For instance, DOS/OES worked with DOI to establish a formal partnership with the CITES Secretariat to develop long-term, sustainable regional training to decrease the trafficking of illegal wildlife and to protect biodiversity. Additionally, a CITES support team was created with DOI, Humane Society International (HSI) and TRAFFIC. Various workshops have been conducted focusing on best practices to combat illegal trade, streamline enforcement tactics, and non-detrimental findings.

To help with the implementation of CITES guidelines on disposal and confiscation, HSI has issued grants to improve capacity of local wildlife rescue centers and establish a model center that meets regional standards. HSI also completed two wildlife rescue center technical assistance projects in Costa Rica, focusing on confiscated wildlife quarantine, rehabilitation procedures, and euthanasia protocols for confiscated wildlife.



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In order to comply with national laws in the region, MEAs, import conditions, and to effectively participate in trade, the National Oceanic and Atmospheric Administration (NOAA) has been working with local authorities and CSOs to promote improved use of Turtle Excluder Devices (TEDs) in shrimp-ing and circle hooks in artisanal fishing, while working with coastal communities to increase awareness and participation in decision-making regarding sustainable fisheries management. NOAA is also working with the Organization for the Fisheries and Aquaculture Sector of the Central American Isthmus (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 fisheries violations.

TRAFFIC undertook a market survey in the Dominican Republic on the Hawksbill shell trade and provided detailed confidential information on items found for sale to authorities in the Dominican Republic for their use. In addition, a small grant was awarded to Grupo Jaragua, a local NGO, to educate international tourists as to the critically endangered status of the Hawksbill turtle. The outreach campaign included public service announcements that were posted in and around the baggage claim areas of airports and also at the entry point for tourists disembarking from cruise ships, aiming at reducing the demand for Hawksbill turtle species products from tourists.

Implementers are also promoting sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging. For example, DOI worked with partners to complete the Governance and Law Enforcement Strategy and Action Plan. The Government of Dominican Republic approved a strategic plan for managing the Jaragua-Dahoruco-Enriquillo Reserve in efforts to implement national strategies for enforcing laws related to forests and protected areas. DOI facilitated a field level cross-sector round table with local NGOs, community leaders and government officials, to build consensus and share information for promoting model management of the Mayan Biosphere Reserve. To protect forests and valuable ecosystems, El Salvador demarcated more than 50 protected areas with USAID assistance using Global Positioning Technology.

The Wildlife Conservation Society (WCS) worked with local stakeholders to complete the Jaguar Conservation Corridor Plan. The corridor plan will strengthen biological corridor management plans in Central America, which will help in the long-term conservation of jaguar populations.

In Nicaragua, the U.S. Forest Service (USFS) supported the establishment of agro-forestry systems; and by utilizing watershed management, integrated pest management, and soil and water conservation practices, more than 400 hectares of protected areas are now under improved environmental management and will yield income-generating agro-forestry species within five years.

With DOS/OES support HSI has issued small grants in the region to local NGOs to promote environmental awareness and conservation. Also, DOS/OES provided support to the International Coral Reef Action Network to conduct crime scene investigation training workshop in the Dominican Republic with participants from all CAFTA-DR countries.

THEME C: MARKET-BASED CONSERVATION

The main goal of this program is to implement a market-based conservation system, focusing on sustainable tourism, agriculture and forest products as means to support economic growth, sustainable natural resource management, and environmental protection.

In Guatemala, USAID worked with Counterpart International (CPI) and local partners to adopt the Sustainable Tourism Best Practices Guide as a tool to identify and take specific actions to operate more sustainably. The guide will aid community-based organizations and small and medium-sized tourism businesses in the development of internal policies and codes, meeting certification requirements, and educating clients. USAID in partnership with the International Institute of Tropical Forestry (IITF) and the CSO Paso Pacifico in Nicaragua have enabled the local population, institutions and



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development-related associations to build their own capacities and tools for environmental management of marine turtle conservation.

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With DOS/OES support, Rainforest Alliance developed a farm assessment guide to help farmers understand sustainable agriculture standards and assess needs for improved farming techniques. Additionally, Rainforest Alliance provided technical and financial assistance that enabled the certification of tropical green leaf timber production and exportation.

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Rainforest Alliance worked with cacao, coffee, and banana farmers on environmentally friendly farming practices, and on increasing market shares and income from their products. Throughout the CAFTA-DR region, 5,000 new hectares and 7,000 new farmers were certified under Rainforest Alliance Certification.

Throughout CAFTA-DR countries, Rainforest Alliance delivered 46 best practices events in coffee production to a total of 500 agronomists, technicians, and internal auditors in efforts to make their farming practices more environmentally friendly and to increase market shares and income from their products.

To advance Guatemala's national climate change strategy, Rainforest Alliance helped develop a scheme entitled, Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (REDD).

Through a cooperative agreement with DOS/OES, in order to capitalize on sustainable production methodologies used, TechnoServe implemented a Coffee Traceability System, a marketing tool that demonstrates the origin of and processes used in the production of high-quality coffee. Additionally, TechnoServe provided training on how to improve coffee milling techniques in order to minimize water use and waste.

HSI conducted five two-day workshops for 149 participants to improve the quality of cacao pods through using environmentally-friendly agricultural practices, and extended their impact by distributing the workshop materials to an additional 4,000 producers indirectly.

HSI donated over 10,000 native trees to Association of Small Producers of Talamanca (APPTA) in Costa Rica. The trees will help maintain biodiversity and assist farmers' efforts to meet environmentally-friendly certification requirements.

Seven new land recovery projects were initiated in the Dominican Republic; the majority of which related to recovery of sustainable agriculture and forest production damaged by tropical storm Noel.

CPI and program partners worked with 42 enterprises to complete Green Deal Tourism Certification. Assistance included providing workshops, completing initial audits, and aiding in the design and implementation of best practice plans for environmentally-responsible tourism practices.

MIRA supported the Cuero y Salado Wildlife Refuge Foundation in the creation of Las Palmas Nature Trail Initiative. Along with conveying the refuge history, the Initiative was created to show that a major producer and exporter of bananas can also provide a wildlife refuge with sustainable production.

USAID is working with the Honduran Foundation for Agricultural Research to identify at least 100 farmers and at least 100 hectares in protected area buffer zones in northern Honduras in order to assist farmers in adopting agro-forestry practices and begin cultivating higher value alternative crops.

The Nature Guide training program trained more than 40 tour guides from rural communities surrounding La Flor Wildlife Refuge in an effort to use sustainable tourism as a way to increase economic incentives to local communities for the protection of the environment and endangered wildlife species.



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THEME D: IMPROVED PRIVATE SECTOR ENVIRONMENTAL PERFORMANCE

EPA has been working in the incorporation of the regional cleaner production policy/strategy and Environmental Management Systems (EMS) guidelines into the national policy framework of CAFTA-DR countries. Also, EPA has facilitated the creation of a regional high-profile cleaner production award to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives.

Regional public-private partnerships were promoted to leverage private sector funding, help green supply chains and implement national and regional cleaner production strategies, policy instruments, and initiatives.

USAID completed five projects in the Dominican Republic regarding cleaner production, including clean energy, organic fertilizers, and sound production/processing system. In El Salvador, USAID and CCAD conducted cleaner production assessments in the pig, poultry, and dairy sectors.

With DOS/OES support, the World Environment Center (WEC) signed agreements with Wal-Mart and a dairy association to promote private partnerships that encourage the use of cleaner production practices throughout the supply chain. In El Salvador, WEC established the Alliance for Private Sector Competitiveness to promote economic development in the country through strengthening the ability of Salvadoran business to produce goods and services more competitively, using less energy and in a sustainable and environmentally responsible manner.

El Salvador established a Cleaner Production Fund that provides grants to small and medium enterprises (SMEs) that request technical assistance to introduce cleaner, more efficient processes into factories. Also, USAID and CCAD conducted cleaner production assessments in the pig, poultry, and dairy sectors. In the Dominican Republic, USAID completed projects regarding cleaner production, including clean energy, organic fertilizers, and sound production/processing system.

2.6 ROLE OF OAS-DSD

Within the context of the CAFTA-DR ECA, the OAS-DSD is providing an ongoing assessment of the environmental cooperation's implementation, highlighting challenges, providing indicators of success, lessons learned and recommendations. In this regard, the OAS-DSD is contributing to the effective implementation of the environmental cooperation to facilitate the achievement of the established goals.

The OAS-DSD is assisting the CAFTA-DR Parties, while the ECC is formed, in evaluating if and how the activities being implemented are contributing toward the achievement of the identified priorities and long-term goals. This task is being accomplished in three phases: (I) Due diligence and Information Review; (II) Design of Evaluation Process; and (III) Implementation of Evaluation Process. For this purpose, the OAS-DSD plans to use its expertise in the RBM principle and evaluation methodologies.

Although this is an ongoing process, the OAS-DSD has conducted a formal due diligence of activities and information review. Specifically, a Mid-Term Assessment was prepared to identify major findings and recommendations to improve the implementation process, and has served as substantial input for this first evaluation report and for the initial steps of designing a monitoring and evaluation process.

The OAS-DSD's proven track record and internal expertise in the areas of trade and environment, environmental law and governance as well as in performance monitoring, contributed to its selection by the Parties for this task.



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III. EVALUATION OF THE ENVIRONMENTAL COOPERATION

This section will present a qualitative evaluation of the environmental cooperation using principles for evaluation of development assistance, such as those applied by the OECD.¹⁹ The information to be assessed was obtained from interviews with key CAFTA-DR stakeholders on the progress of the cooperation agenda, and through analysis of the cooperation process. This section will, to the extent possible, assess against the evaluation criteria of relevance, efficiency, effectiveness and sustainability of the ongoing and completed activities. These criteria will serve as a starting point for identifying implementation issues that support or hinder the achievement of the proposed goals.

3.1 RELEVANCE

In order to address relevance, this sub-section seeks to analyze the extent to which the activities being implemented are pertinent or significant with regard to attaining the related outputs. This will be accomplished by determining whether or not:

- ◆ The activities being implemented correspond to the priorities and needs of the countries.
- ◆ The scope of the cooperation responds to the guidelines established in the ECA.
- ◆ The funding allocation process is helping in the achievement of the goals.

3.1.1 *Priorities and needs of the countries*

The ECA clearly establishes eleven work programs and priority cooperation areas, and charges the ECC with the responsibility of establishing priorities for cooperation activities and developing a work program in accordance with those priorities. Despite the existence of these priorities, since 2005 the Parties have engaged *ad interim* in different priority setting exercises. These include the national trade related capacity building strategies, those exercises conducted within environmental and other relevant programs underway in the CAFTA-DR region, and the development of a Work Plan (2006-2008) and of a Road Map to Results document. However, in the absence of the ECC none of these instruments have been formally approved. Moreover, the process of developing these instruments, along with their scope and incorporation within ECA priorities, is convoluted and confusing.

— Work Plan 2006-2008

The Work Plan was formulated through interagency coordination among the ministries of environment and trade of each Party, and identified the following activities to be carried out under the priority areas, and subject to availability of resources, for the period 2006-2008:

- ◆ Strengthen each Party's environmental management systems, including reinforcing institutional and legal frameworks for developing, implementing, administering, and enforcing environmental laws, regulations, standards, and policies, including those that implement MEAs to which all CAFTA-DR Parties are a party.
- ◆ Develop and promote incentives and other voluntary and flexible mechanisms in order to encourage environmental protection, including the development of market-based initiatives and economic incentives for environmental management.
- ◆ Facilitate technology development, transfer and training to promote the use, proper operation, and maintenance of cleaner production technologies.

To facilitate the implementation of the Work Plan, the POCs decided to structure activities under five programmatic – or thematic – areas that describe the broad areas in which cooperative activities fall, but do not replace the Work Plan's priority areas:



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- ◆ Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws;
- ◆ Biodiversity and Conservation;
- ◆ Market-Based Conservation;
- ◆ Improved Private Sector Environmental Performance; and
- ◆ Implementation of Specific Obligations under CAFTA-DR.

— The Road Map to Results

Based on the need to identify measurable outcomes and outputs under the CAFTA-DR program areas, the POCs in a joint effort with USG Agencies, developed the Road Map to Results document aiming to qualify and quantify the results from ECA efforts in the region by the end of calendar year 2010. Since many of the outcomes have not been defined, and without a clear sense of the end point by all stakeholders, the Road Map could assist in determining if the needs of the Parties are being met, if implementers and coordinators are focusing outputs, and how to best focus future funds.

However, implementers have expressed concern regarding the introduction of the Road Map after the start-up of the implementation process, since a priority identification process for cooperation activities was already established at the national level. Following the Road Map would require refocusing their programs to follow this new instrument, and could cause delay in the implementation of cooperation activities. Furthermore, several stakeholders indicated that this document could have been made simpler; and some POCs mentioned the document seems to have more of a regional than a bilateral focus.

While current programs being implemented under the framework of the ECA Work Plan were not developed taking into consideration the milestones established in the Road Map, opportunities for review of consistency with the Road Map were provided. However, there is still fear that the outcomes of these activities will not match those set up in the Road Map. In such an instance, activities might appear to be unsuccessful and thus, the issue of accountability would be raised.

During the interviews, a number of the stakeholders expressed frustration with the endless and tiring process of identifying and selecting priorities. Stakeholders mentioned that the priority areas agreed during the negotiation of the CAFTA-DR were somewhat restrictive for the selection of cooperation activities that reflected their current needs (although this could be due to changes in priorities as a result of a change of administration). They also mentioned that the projects presented by the USG Agencies were not very clear, and some of them were not a priority for the countries.

Additionally, there appears to be a general misunderstanding regarding the purpose of the Road Map. As mentioned above, the Work Plan was established to coordinate activities from 2006-2008, and it has been modified based on lessons learned and success stories (i.e. what is working and what is not); in this sense the Road Map seems to be, basically, a new work plan for the 2008-2010 period.

Nevertheless, the Parties are making an effort to use the Road Map as a guide in the preparation of activities under the cooperation program, and for the design of indicators for their own evaluation process. There were some positive reactions toward the introduction of the Road Map, as some stakeholders pointed out the need for an overarching mechanism to (a) define long term goals and priorities for cooperation activities within the priorities of the ECA; (b) avoid duplication of efforts; and (c) assist in monitoring the outcomes of the activities and programs. This would result in overall benefits to the implementation process.

3.1.2 *Scope of the Cooperation*

Cooperation activities under the ECA shall reflect national priorities;²⁰ however, the work program may include regional cooperative activities of particular interest to the Parties.²¹ Hence, the spirit of the agreement seems to be to support the fulfillment first of national long-term goals and second of regional long-term goals

20. See Article V(1) of the ECA.
21. See Article V(5) of the ECA.



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through collective actions. This approach within the ECA seems to be aimed at acknowledging different levels of development and expertise of the Parties while also allowing for cooperative efforts to address common interests.

While the ECA is clear in establishing the scope of cooperation, priority has been given to regional efforts in practice (activities implemented in three or more CAFTA-DR Parties), and national priorities (bilateral cooperation) have only been addressed on a complementary basis. In this respect, it is important to note that there has been no express recognition of the hierarchy that has emerged. The assumption that both regional and national priorities are in the same categories has, in effect, resulted in confusion and frustration among the Parties and adversely affected the priority setting exercises for programming of activities.

3.1.3 Funding allocation for the implementation of activities

Funding allocation has been a key aspect for the implementation of the environmental cooperation activities under the ECA. Crucial areas include funding to support the SEM, as well as the priority areas for cooperation identified in the Work Plan. The following paragraphs briefly explain the amounts appropriated for ECA related cooperation since 2005 vis-à-vis the implementation process and the priorities addressed.

— Cooperation for FY05

Immediately after the signing of the CAFTA-DR ECA in 2005, the U.S. Congress appropriated US\$20 million for trade capacity building activities related to the CAFTA-DR Labor and Environment Chapters for FY05, of which US\$1 million was allocated for the early stage of the environmental cooperation. This modest amount included funds for projects under theme A of the Work Plan, particularly promoting environmental law enforcement, governance and capacity building, as well as for enforcement and regulation of sustainable fisheries. A portion of these funds were also allocated toward theme B of the Work Plan, in order to expand country compliance with MEAs, including CITES and to promote sustainable forestry and prevent illegal logging. Additionally, US\$250,000 was allocated to support the establishment of the SEM as part of the implementation of specific obligations under the CAFTA-DR.

— Cooperation for FY06

The POCs met in November 2006 in Santo Domingo, Dominican Republic to address the details of projects related to environmental cooperation, with the objective of reaching consensus on the specifics of implementing the FY06 projects. The projects presented by the USG Agencies were developed based on: (1) capacity building reports identifying priorities submitted by each Party; (2) consistency with their regional priorities and the ECA Work Plan; (3) consistency with legal constraints regarding the manner in which the USG allocates funds; (4) reflecting the priorities of the U.S. Congress; and (5) ability to produce real and measurable environmental benefits.

POCs engaged in a thorough process to identify priorities for cooperation activities and to suggest projects, building upon the foundation of environmental cooperation activities already being implemented in the region. For instance, some Parties held nation-wide public consultations; others took the opportunity to establish national institutions to accomplish these tasks;²² and some engaged in a continuous process of identification of gaps and needs to work with cooperation funds.

For FY06, US\$18.5 million were assigned to implement environmental cooperation activities in the region. The Office of Economic Policy and Summit Coordination within the Bureau of Western Hemisphere Affairs (WHA/EPSC) led an interagency deliberative process to determine the specific capacity building activities to be funded. Mostly, these funds were assigned to ongoing initiatives that were integrated in the ECA Work Plan under all five themes.



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— Cooperation for FY07

In 2007, WHA/EPSC led a process among USG Agencies to determine the allocation of US\$19.3 million in funds for building trade-related environmental capacity. For this purpose, proposals for projects were requested to USG Agencies and posts,²³ and evaluated by an interagency Technical Evaluation Committee (TEC), comprised of four USG Agencies, WHA/EPSC, the United States Trade Representative (USTR), DOS/OES and USAID.

The TEC developed recommendations for an environmental program for FY07 targeting several priority areas identified in the ECA and its Work Plan with a clear nexus to trade. The FY07 environment program builds upon program activities identified in the previous two years and takes into account current assistance from several development agencies while also consolidating mechanisms and developing regional work plans for major areas that can be implemented on a bilateral basis. The FY07 environment program reduced the number of implementing mechanisms and projects in an effort to refine and focus the 2006 process.

— Cooperation FY08 and beyond

In contrast to the previous years, TEC did not request proposals from USG Agencies or CSOs to implement ECA activities for the period 2008-2010. Instead, the TEC consulted with DOS/OES, USAID and implementers, as well as with POCs, to develop a plan focusing on areas where concrete results could be achieved over this period building upon existing work.

Maintaining formal support for environmental technical assistance is a challenge, particularly in areas such as enforcing environmental commitments. Even though the ECA is intended to address environmental goals, it does not address concerns over funding for the implementation of environmental initiatives. However, it does allow for implementation of a unified inter-agency budget strategy to ensure funding for ECA priorities. A budget strategy is fundamental, since cooperation efforts can only succeed if adequate financial resources are allocated.

Financing environmental cooperation for the CAFTA-DR ECA has been challenging on all fronts. On the one hand, USG Agencies in charge of executing funds faced numerous obstacles in understanding and complying with regulations, including the complex nature of the Congressional appropriation process in the U.S., causing extreme time constraints.²⁴ On the other hand, Parties – and implementers – have encountered difficulties in obtaining access to information on actual amounts spent on environmental cooperation activities, corresponding funds used to implement projects with the appropriate fiscal year, and making a distinction between amounts spent for cooperation under the CAFTA-DR ECA and cooperation under other frameworks. Furthermore, the latter is a critical subject for POCs, with political ramifications, since these figures must be reported to ministers and congressional authorities to carefully coordinate national environmental strategies.

Implementers, and particularly managing agencies,²⁵ have also been facing the challenge of reduced funding for the implementation of activities. The amount allocated for FY08 and FY09 has been significantly reduced compared to the allocated amounts during the early phases of the implementation of environmental cooperation activities.²⁶ As a result, already planned and scheduled activities have had to be revised, causing an overall delay in programming and consequently in the implementation of activities.

3.2 EFFICIENCY

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, including a hypothetical comparison of possible alternative approaches that could have been used to achieve the same outputs.

23. U.S. Embassies and/or Consulates.

24. See Action Memo for the Director of U.S. Foreign Assistance dated February 2007 (Unclassified).

25. DOS/OES and USAID are the two USG Agencies responsible for managing portions of the cooperation portfolio, along with due diligence requirements.

26. US\$14.8 million and approximately US\$10 million were assigned to implement environmental cooperation activities for FY08 and FY09, respectively.



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- ◆ Adapting the efficiency criterion for CAFTA-DR environmental cooperation poses challenges, especially in the context of the time, size of the program, the number of programmatic areas, and complexity of the program design. To address this issue, this report considered available information in order to:
- ◆ Assess the timeliness in the achievement of the objectives.
- ◆ Identify the key stakeholders involved in the implementation of the cooperation agenda, along with their corresponding expertise and area(s) of responsibility.
- ◆ Understand how stakeholders have been working collectively to achieve programmatic area goals (coordination, communication and other such challenges).

3.2.1 *Timeliness in the achievement of the objectives*

From the design process to the implementation of the environmental cooperation, consulted stakeholders detected several challenges regarding the production of outputs and the achievement of results under the given time-frame. Taking into account the Work Plan and Road Map, the two instruments developed to guide the implementation and the allocation of funding for the CAFTA-DR environmental program, the initial period envisioned for the environmental cooperation spanned from 2005 to 2010.

POCs and some implementers highlighted during the interviews the fact that the period of time allotted to provide valuable inputs for the Road Map was not sufficient, even though they have had several opportunities to accomplish this task. For instance, initial drafts of the Road Map were sent to POCs on February 22, 2008 and input was expected for a meeting with USG Agencies and other implementers that took place in Roatan, Honduras on March 10-14, 2008. Due to the short period time between these dates, the governments could not provide their positions on certain results or information for the Road Map's worksheets during this meeting.

Additional frustrations are also linked to lack of information related to the environmental program and financial resources; and the complexity of adapting cooperation activities to the respective countries' institutional contexts, legislative frameworks, and environmental challenges and opportunities. Given the time invested in planning, this process was conducted at the expense of the development and implementation of activities.

Beyond this, during the interview process, stakeholders highlighted financial resources to be one of the main causes for time constraints in the design and planning process. In addition, this evaluation also suggests that due to lack of information, coordination and long and endless administrative procedures, the implementation of the cooperation agenda required more time and effort than originally envisioned by implementers and POCs.

The frequent and varied reporting requirements proved to be one of the most significant constraints to the timely coordination of the cooperation process. Since no formal coordination mechanisms and information systems were in place when environmental cooperation activities began, the process was conducted in a more *ad hoc* fashion. The large number of documents and reports – without a standardized format – produced by implementers, and the frequent reporting to different levels of coordination created a situation in which it has become increasingly difficult to manage all the information being reported and linking it to their original source, while also reaching substantive conclusions.

Furthermore, interviews to implementers revealed that the requirements for negotiation and allocating resources for a grant may, in some cases, cause delays of up to five or six months. In this light, the DOS/OES and USAID, as agencies responsible for managing a large number of implementers and a large portion of the cooperation portfolio, should explore and analyze cost-efficient alternatives to reduce red tape in the management of grants.

The evaluation has also identified time constraints and delays in achieving the scope of work established for the SEM under Chapter 17 of the CAFTA-DR. While the SEM in an effort to facilitate the submission process, has established diverse and convenient ways to present these communications,²⁷ to a certain extent,



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it has faced delays and constraints linked to the fact that the EAC has yet to establish the working procedures for the SEM to consider public submissions, prepare factual records, engage environmental experts and report to the EAC, among other responsibilities. In this regard, the time frame to resolve already received public submissions seems to be ambiguous.

Finally, another challenge seems to be related to the suspension of the Honduran State from the exercise of its right to participate in the Organization of American States on July 4th, 2009. Following this suspension, on July 7th 2009, the U.S. Government announced through the Department of State its decision to suspend, as a policy matter, development aid intended for the Government of Honduras, among other programs, including a number of environmental and family planning programs, as well as support for the Government of Honduras for CAFTA-DR environmental standards.²⁸ However, following this announcement by the Department of State, DOS/OES and USAID as managing agencies did not transfer the information, nor did they provide specific instructions to implementers on how to address the situation within the context of their programs. Consequently, this has caused significant delays in the execution of programs and has considerably affected regional programs.

In general, successful cooperation within the allotted time-frame requires a carefully planned political and technical approach. With regard to the technical dimension, progress is more immediate and results can show in a shorter term. The former requires more time, and involves political will, mutual confidence, cultural sensitivity, open discussion; and country capacity and ownership of the cooperation process. Both approaches can be mutually reinforcing, but this depends on the extent to which key stakeholders integrate toward the achievement of the CAFTA-DR environmental agenda's main goals.

3.2.2 Stakeholders involved and their corresponding expertise and area(s) of responsibility

This issue will be addressed by identifying key stakeholders that support or implement activities in the environmental agenda, and describing their role and expertise in the execution process. That is to say, that the existing institutional arrangements must first be mapped. This evaluation identified four key stakeholders in the implementation process: POCs, national institutions, SEM, and implementers.

— The Government Points of Contacts (POCs)

POCs (see Annex III for a list of 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.

While there are no formal terms of reference for POCs, they have assumed *de facto* certain responsibilities such as coordinating cooperation activities. Also, it is important to mention that, for different reasons, few original POCs remain as such since the beginning of the environmental cooperation. This unstable situation affects the continuity and institutional memory of the cooperation and slows down the implementation process, given that new POCs have to adjust to their new roles and develop rapport with all stakeholders. Since POCs are key for the implementation of activities, the ECP will benefit from seeking out a way to establish a more permanent and secure role for them.

POCs must be in constant communication with all the stakeholders involved, including implementers, ministries, national institutions, civil society, and the private sector, among others. They arrange periodic meetings and conference calls with stakeholders outside their national territory to closely monitor the development of projects.

POCs have to find a balance between their regular functions within their ministries and the responsibilities described above. In some cases this has proven to be challenging, as POCs can feel burdened with too many responsibilities. Fortunately, in the last year, there has been positive and constant interaction and communication between POCs contributing to a better coordination of regional activities, helping to avoid duplication

28. See PRN: 2009/689 2009/689 <<http://www.state.gov/r/pa/prs/ps/2009/july/125762.htm>>



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of efforts and therefore, promoting good management practices. While challenges regarding coordination remains, the establishment of the POCs as links between governments and implementers, has proven to be an improvement of inter-ministerial collaboration and communication, benefiting the implementation process at the national level.

Also, the evaluation yielded some findings with regard to the POCs' capacity to make coordinated decisions at inter-ministerial level. The role of POCs must be strengthened in terms of presence and capacity regarding the required coordination, including with the private sector, for the environmental cooperation. Adequate financial and human resources must also be allocated to these units. This will assist countries in the coordination of their respective environmental agendas, and in their adherence to monitoring and timely reporting. Similarly, it will facilitate information sharing, the undertaking of evaluations, learning of lessons and the assimilation of best practices for program improvement.

With regard to these issues, some progress has been made to improve the implementation of country-level environmental agendas. For example, the CCAD has designated an assistant in each country to help POCs coordinate and follow up with regional and bilateral activities implemented by CCAD, USAID and their implementing partners.

Coordination with other environmental cooperation programs is certainly complex in a regional environment of many countries and institutions. However, despite the complexity, it is crucial that potential synergies and opportunities to complement activities in a collaborative process be explored. To this end, Guatemala created an evaluation process for their environmental agenda in order to complement activities under CAFTA-DR environmental program with other development agencies such as AECID and GTZ.

Above all else, though, the role to be played by POCs should be clearly defined. In particular, POCs should be more active in developing strategic directions in order to establish the level of operational coordination and monitoring needed in each of the project's programmatic areas. Further, they should improve their capacity to articulate their activities with all implementers and be able to seek synergies with other agencies or donors.

— National Institutions

National institutions are engaged in the management and oversight of their commitments within the CAFTA-DR ECA. The main function of these institutions is to help in the management of the environmental cooperation at a national level, in coordination with other institutions and ministries.

During interviews, personnel from a large number of national institutions expressed strong commitment to and appreciation for technical support and financial resources that could help to ameliorate program priorities and initiatives. Such expressions were particularly strong in Guatemala, Costa Rica and Honduras.²⁹

However in some cases, these stakeholders were not in the capacity to identify the financial sources for their every day activities and associate projects implemented through the ECP of the CAFTA-DR. It is not only important to achieve the envisioned results of the environmental cooperation but to showcase these results, the lessons learned and best practices. Hence branding of the cooperation should be a priority to ensure that all engaged stakeholders in CAFTA-DR cooperation are aware of the sources of funding.

— Secretariat for Environmental Matters

Under the CAFTA-DR, the SEM deals with public submissions by citizens from all Parties, except U.S. citizens.³⁰ Currently, it is comprised of a General Coordinator, and a Technical Assistant to the General Coordinator. However, the SEM could benefit from additional staff to support its operations and ensure an effective performance.

29. Due to the change of Government in El Salvador, as of June 29th, 2009, the new Government had not yet appointed the replacement for the former POC for environment, so interviews with personnel from national institutions did not take place.

30. Article 17.7(3) of Chapter 17 of CAFTA-DR states that "[t]he Parties recognize that the North American Agreement on Environmental Cooperation ("NAAEC") provides that a person or organization residing or established in the territory of the United States may file a submission under that agreement with the Secretariat of the NAAEC Commission for Environmental Cooperation asserting that the United States is failing to effectively enforce its environmental laws. In light of the availability of that procedure, a person of the United States who considers that the United States is failing to effectively enforce its environmental laws may not file a submission under this Article. For greater certainty, a person of a Party other than the United States who considers that the United States is failing to effectively enforce its environmental laws may file a submission with the Secretariat."



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Four submissions have been presented to the SEM regarding cases questioning the effective enforcement of environmental laws; specifically, three in the Dominican Republic, and one in El Salvador. The first one, Marine Turtles (CAALA-07-001), submitted by HSI, asserts that the Government of the Dominican Republic is failing to effectively enforce domestic environmental legislation regarding the protection of marine turtle at risk of extinction. In August 2008, following a response from the Dominican Republic, the SEM recommended the preparation of a factual record³¹ regarding the Sea Turtles' Submission.³² The status of the preparation of this factual record is unknown. It is important to note that ongoing activities under theme B are closely linked to the subject matter addressed in CAALA-07-001, and pursuant to article 17.7 (4.b) of the CAFTA-DR, in deciding whether to request a response from a Party, the SEM will be guided, among other, by whether the submission raises matters whose further study will advance the goals of the ECA. Finally, regarding this submission, it would be extremely relevant to take into account how the council considers the final factual record in light of the objectives of the ECP.³³

Two other submissions, Illegal Sand Extraction Las Canas DR-Herritz (CAALA-08-001) and Illegal Sand Extraction Las Canas DR-Yellen (CAALA-08-02), presented by property owners in Las Canas and Mirabon at Playa Las Canas (a development project) on May 2009, are related to a case of illegal sand extraction in the village of Las Canas, also in the Dominican Republic. In June 2009, both submitters withdrew their submissions. The SEM acknowledged their withdrawal and sent a communication to the EAC to this effect.

The most recent submission, El Espino Urbanization Project (CAALA-009-001), presented by a citizen of El Salvador, concerns a claim regarding failure to effectively enforce an environmental law in the sub-divisions of an urbanized area known as El Espino. According to the submission, the law should have regulated, with precision, the property within the parameters or rule established in article 117 of the National Constitution. However, since the EAC has not been able to meet given the challenges related to the political situation in Honduras and the status of their Government Officials and civil servants, as previously mentioned, these submissions (CAALA-07-001 and CAALA-009-001) continue to be in standby.

In March 2009, the EAC appointed Mr. Jorge Guzman as General Coordinator of the Secretariat for a period of two years. Mr. Guzman's appointment replaces the first General Coordinator of the SEM and has been perceived as a positive step for the consolidation of the SEM due to his professional experience, along with his extensive knowledge on CAFTA-DR matters. Prior to his appointment, Mr. Guzman served as the Trade Point of Contact for El Salvador.

— Implementers

Implementers are agencies and organizations working on the ground in the execution of activities. The selection of implementers does not 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.

From the implementer list (see Annex IV), the large number of stakeholders is clear, as well as the predominance of USG Agencies. In fact, approximately 75% of the cooperation funds are currently managed by USAID. The number and composition of implementing CSOs should be revisited together with the nature of the activities these implementers are conducting. The lack of a uniform criteria for the selection of implementers and activities somewhat defeats the dual purpose of cooperation improving government to government relations and enhancing on the ground capacity. A greater number of local CSOs need to be engaged, but their efforts should be consistent with their missions. In this regard implementers should be selected based on their expertise and unbiased capacity for implementing programs.

Given this, some concerns have been expressed with regards to the level of expertise and the nature of activities developed by implementers in programmatic areas of the environmental cooperation. Moreover, these concerns have focused on the selection of implementers with possible conflicts between their missions and

31. A factual record describes the development of the matter in question, the Party's obligations according to the law in question, the actions of the Party to comply with these obligations and the relevant facts of the submission.

32. See <<http://www.saa-caftadr.sieca.org.gt/>>

33. See CAFTA-DR Chapter 17.8 (8).



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policy statements and the nature of the executed activities under the CAFTA-DR ECA. For example, environmental cooperation in theme B (Biodiversity and Conservation), which is focused on implementation of CITES, began with various modalities of execution, and engaged various implementers that work in areas such as sharing an ethic of respect and compassion for animal life and ensuring that trade in wildlife is not a threat to the conservation of nature, among other areas. It was not until later in the cooperation process that DOI, the formal U.S.-designated Management and Scientific Authority for CITES,³⁴ was assigned to support coordination efforts of cooperation executed under theme B by various implementers, including CSOs.

In this respect, the modalities of cooperation highlighted in the ECA should be factored into the decision making process. These forms of cooperation may include the *exchange* of delegations, professionals, technicians and specialists; *joint* organization of conferences, seminars or educational events; *joint* development of programs and actions; the facilitation of *partnerships* including with the private sector and the collection, publication and *exchange* of information on environmental policies, laws, standards, environmental enforcement and compliance mechanisms; among other forms of cooperation that may be agreed upon by the Parties.

Some of these modalities of cooperation are reflected in the projects currently executed under ECA related cooperation. However, it is not clear that these forms of cooperation were part of a formal criteria used in identifying programs or projects underway.³⁵

It would be interesting to strengthen the *joint* aspects of these modalities in future programs or projects in order to fulfill the objectives of the ECA and continue to foster good relations among Parties. In essence, it is crucial that effective partnerships be built with countries to empower and build capacity on an institutional level.

This is not to say that all implementers have been working independent of one another. Implementers have been working to develop a bilateral and regional environmental cooperation agenda, particularly in the area of capacity building activities on the basis of technical and/or financial assistance programs as mandated by ECA. Nevertheless, regarding the strengthening of institutional capacities, stakeholders considered that significant cooperation activities need to move toward new forms of cooperation that are not simply based on assistance. There have been many knowledge-transfer related activities that CAFTA-DR countries understand and recognize as necessary, but which heretofore have not been sufficient enough to improve their environmental institutional capacity. In this regard, it is recommended that mechanisms that “support” national decision-makers be identified within the planning and management process to produce change according to the needs and institutional capacities of each country.

3.2.3 *Key stakeholders working collectively for the achievement of the goals*

This sub-section summarizes findings related to the main elements associated with coordination and communication and other such challenges.

Interviews conducted in 2008 revealed that communication and coordination are two areas that need attention in order to improve the interaction among stakeholders and harmonize cooperation activities. Good and open communication is an essential factor for an effective implementation of the ECA, particularly when dealing with a large number of stakeholders, as in the case of the CAFTA-DR ECP.

As previously mentioned, a complex map emerges of a large number of implementers at the regional and national level with different modalities of cooperation. Each implementer has its own mechanisms for supervising and reporting activities within their domain and to respond to their own administrative and management needs and requirements. Findings suggest that it is quite difficult for the POCs to conceptualize and fully understand this context. To facilitate coordination, the roles and responsibilities of key stakeholders should be clarified, simplified and streamlined.

34. The U.S. Department of the Interior is responsible for the nation's parks, wildlife refuges, and endangered species management, houses the U.S. CITES management, scientific, and enforcement authorities within the U.S. Fish and Wildlife Services.
35. See Article III of the ECA.



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Taking into consideration this scenario, many interviewees expressed the need to formalize a monitoring and evaluation system at the project level as a follow-up mechanism in the CAFTA-DR environmental cooperation agenda. This system would serve as a tool for stakeholders to develop programmed adjustments for improved effectiveness and to implement constant reassessment and changes in approach, if necessary. In this regards, efforts related to continue improving coordination and communication are of essence.

In addition, with regard to coordination there was wide agreement among interviewees that exchange of experiences, dissemination of results, and identification of lessons learned and other informational tools must be implemented and updated in a timely fashion. This will help to avoid duplication of efforts and allow for the improvement of cooperation activities, especially in situations such as the incorporation of new implementers or the replacement of POCs.

Implementers with regional presence, such as CCAD, have mechanisms in place that have facilitated communication and coordination with POCs and national institutions, making possible timely project implementation and avoiding duplication of efforts. However, there is a sense of inequity regarding arrangements of implementation as CCAD has been appointed as a lead implementer for regional efforts, but is also in charge of bilateral cooperation for El Salvador, Guatemala and Nicaragua. As a result, there is an effort to complement activities to maximize resources. However, this is often at the expense of regional activities in countries such as Costa Rica, Honduras and Dominican Republic. Thus, POCs have expressed challenges regarding poor communication and lack of coordination on regional efforts with implementers that focus exclusively in the bilateral agenda, as is the case in Dominican Republic and Honduras.

In this regard, the need to improve or define a communication strategy that will help facilitate contact with local or regional stakeholders is evident. To avoid any setbacks in the agenda, stakeholders, particularly implementers, need to identify the most efficient way to communicate, exchange information and share knowledge, especially with regard to electronic communications, which proved difficult due to the unreliability of internet connections and the frequency of power outages throughout the region. According to stakeholders, most important milestones for the cooperation agenda have been reached and agreed upon, along with other ECA-related issues, during face-to-face meetings. Additionally, when new implementers are designated to participate in cooperation activities by coordinating USG Agencies, and when these activities are taking place, said agencies should be required to give more advanced and timely notice.

To address these challenges, DOS/OES established the CAFTA-DR dedicated website as a communication tool for all the stakeholders involved in the implementation process. However, POCs have not been taking full advantage of this tool, neither are they familiar with its scope and features. Many expressed difficulties to obtain access to the website and, once on it, navigating the website was challenging. Furthermore, the information contained on the website was incomplete and not updated.

Currently, DOS/OES is developing a new website. The main objective of this tool is to facilitate public access to information about the CAFTA-DR environmental cooperation program by presenting updated information about the environmental cooperation and to explain, in simple and clear language, the environmental cooperation agenda, its programmatic areas, CAFTA-DR stakeholders involved in the process, activities and progress made in the last four years.

Regarding external communication of the CAFTA-DR ECP, creative mechanisms should be established to facilitate a better understanding of environmental cooperation objectives among beneficiaries. In particular, a complete communication strategy with different intervention levels should be developed, taking into account that sometimes issues are sensitive for communities that do not hold positive views of trade agreements.

The second round of interviews conducted during the summer of 2009 revealed a noticeable and substantial improvement in coordination, particularly between DOS/OES and USAID. For instance, DOS/OES has been implementing quarterly conference calls with USAID (and implementers, as appropriate) in order to present information regarding the cooperation process and corresponding results. These conference calls have been institutionalized and have helped support coordination between different stakeholders involved in this



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process, as well as avoiding the duplication of efforts. However, the cooperation would benefit from the establishment of a more formal mechanism of coordination among coordinating units, beyond these conference calls. For instance, a thematic inter-agency committee could be created among coordinating units to review progress of the ECP and discuss next steps as implementation moves forward.

Another challenge mentioned during the interviews, with regard to coordination, relates to the lack of coherence and building on complementarities between implementers, especially when new implementers are involved in the cooperation agenda. Interviews revealed the participation of new implementers in cooperation activities without considering the rest of implementers' scope of work and achievements. This situation creates confusion, duplication of efforts and misunderstanding. In this regards, it is important to create coordination mechanisms to promote consistency and joint decision making that enables new implementers to develop and discuss plans of action on time with key stakeholders taking into account institutions and countries needs and time framework.

By all accounts, there is an increased indication of improved harmonization, formalization and synergy in the process of reporting of activities implemented in the framework of the ECP. Coordination between DOS/OES and implementers has been carried out through e-mails and reports, and via U.S. Embassies in order to inform the stakeholders and follow up with cooperation activities. In addition, DOS/OES has standardized its planning and reporting process, creating a schedule and a template for their implementers. This has helped substantially in terms of generating a 'big picture view' of the cooperation process, and is simultaneously providing a baseline for future monitoring and evaluation.

Additionally, many implementers, such as DOI, organized regional workshops in the first quarter of 2009 to present activities, schedules, lines of communications and responsibilities. Such workshops have served to ensure shared understanding between POCs and implementers.

While some of the challenges faced in implementing the ECA related cooperation are linked to how it should be integrated with other ODA cooperation and the non existence of a monitoring system at national level, Guatemala's MARN is developing an evaluation and control system to track progress within its environmental agenda and as a mechanism to explore opportunities for coordination within CAFTA-DR cooperation agenda, and with other donors. However, this kind of tool remains elusive in other countries.

The role to be played by key stakeholders supporting or implementing activities in the cooperation agenda should be clearly defined, in order to establish the level of operational coordination and the monitoring needed in each of the programmatic areas. Also, projects and programs must be result-oriented and should make a considerable contribution toward the generation of substantial and measurable impacts in national priority areas. The construction of an information baseline through specific assessments is a vital component of monitoring and measuring the impact of environmental cooperation.

3.3 **EFFECTIVENESS**

Effectiveness is defined as the extent to which a project or program attains its objectives and delivers planned outputs. To this end, this section will:

- Assess the consistency of the activities with the goals of the program based on concrete results and implementation practices, and identify the possible challenges and limitations hindering the achievement of the goals.
- Examine the level of public participation in the implementation of activities.

As mentioned before, it has been challenging to compile relevant information on all ongoing and completed activities, due to the absence of a standardized reporting format and challenges in obtaining requested information on the status of activities and programs from implementers. However, a list of activities compiled per programmatic area is presented in Annex V for each CAFTA-DR country. These lists include the implementing agency and the related managing agency. These lists provide information through July 2009, and were used to address issues related to the effectiveness of the cooperation.



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3.3.1 *Consistency of the activities with the goals of the program and challenges hindering the achievement of the goals*

THEME A: INSTITUTIONAL STRENGTHENING FOR EFFECTIVE IMPLEMENTATION AND ENFORCEMENT OF ENVIRONMENTAL LAWS

The main goal of this program area is to strengthen institutions for effective implementation and enforcement of environmental laws. To achieve this goal, implementers are working on activities toward promoting strong environmental institutions, laws and policies, effective enforcement of the laws and policies, effective implementation of MEAs; and a civil society that is actively engaged in environmental decision-making and enforcement.

In order to facilitate the achievement of this very ambitious main goal, the program has been divided into three sub-themes: (1) Environmental Laws, Regulations, Policies and Procedures; (2) Environmental Law Enforcement, Governance and Capacity Development; and (3) Public Participation and Transparency to Support Informed Decision-Making.

Sub theme A.1 – Environmental Laws, Regulations, Policies and Procedures

The goal of this area is to strengthen government institutions for effective implementation of environmental laws, regulation and policies. Implementers are particularly working in specific areas, selected by the countries, including strengthening EIA capabilities, wastewater management, solid waste management, sound management of chemicals, air quality management.

Although the connection between the specific areas and goals does not seem obvious at first glance, these areas all include components that are related to the main goal of this theme, and a thematic approach based on countries priorities was chosen.

Environmental Impact Assessment

EIA is a decision-making process informed by an assessment of potential environmental, economic and social impacts on the human and natural environments and their reasonable and feasible alternatives. EIAs are a key decision-making tool for identifying environmental permit conditions, and an important component for starting new businesses. Capacity to review and evaluate EIAs is essential to provide a level playing field for free trade. Efficiency of EIAs depends on transparency and institutional capacity to ensure reliable decision making. A transparent, open and expeditious environmental review process facilitates trade and enterprise development. Involving the public in the EIA process is also important given the established principle that environmental issues are best handled with participation of all concerned citizens and their opportunity to participate in decision-making processes.³⁶

To strengthen EIA capabilities and procedures, EPA and program partners have been working on training and capacity building and institutional development activities. For instance, after working in the development of an EIA course manual, EPA trained approximately 140 technicians in the region on the principles of EIA review, particularly in those sectors selected by each country, including the commercial mining, tourism and energy. However, to really strengthen institutions in EIA review and capabilities, training should cover all educational levels. Environmental studies should be introduced in schools and universities so that future expertise is nurtured. In-service training for both professional staff and technicians is equally important. Senior planners and decision makers also need to attend short environmental awareness programs so that they appreciate the issues raised in EIA reports and can make informed decisions. Local expertise, for both the public and private sectors, must be developed through adequately funded training and technology transfer programs. It is important that training be provided for specialists in all disciplines involved in an EIA, so that they can contribute to a meaningful EIA review process that ensures compliance with the law.



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Additionally, EPA started working toward the development of guidelines for reviewing EIAs for these sectors. Mining was identified as a high priority sector for EIA improvement and as one that is highly export-driven. The mining industry has high environmental impacts and is directly related to trade, with regard to both exports and the role that foreign direct investment plays.

It is fundamental to have clear regulations for institutional strengthening based on best practices. For example, under EPA's coordination, DOI has been working to improve environmental regulations of the mining sector and other extractive industries based on best practices, training sessions on principles of mine permitting and developing and reviewing EIAs. This practical tool for decision making has enabled the strengthening of the Guatemalan Environmental Ministry (MARN) with a more robust EIA process to address the increased environmental impacts from mining and extractive industries (e.g. logging) and the provision of environmental considerations for project planners and private sector businesses looking to establish enterprises in Guatemala. Nevertheless, capacity building should focus more on strengthening the monitoring and implementation phases of the EIA process. This is critical due to the fact that reliable and transparent EIA review process will promote private and foreign investment, thereby promoting the economic development of the country.

The EIA process in the forestry sector is also insufficient. USFS, in coordination with EPA and CCAD, has been working to improve the EIA process as it relates to forestry in Honduras and Nicaragua. Work has included workshops and technical assistance to improve institutional capacity and implement the improved EIA standards and guidelines for forest and protected areas management.

Even though these initiatives are a step forward toward the achievement of the overall outcome of strengthening EIA capabilities, work in this area must continue, particularly for the monitoring and implementation phases of the EIA process in the region. The implementation of the first phase on the use of NEPAAssist, an innovative tool that facilitates the environmental review process and project planning in relation to environmental considerations, is contributing to progress in this area in El Salvador, Nicaragua and Dominican Republic.

Efforts toward implementation of practical EIA processes should be focused on building enforcement capacity, legal and institutional coordination, and environmental monitoring of EIAs. That said, any effort toward institutional strengthening of EIA capabilities will not provide substantial results without political will, transparency and resources. Moreover, the identification of the key stakeholders, as mentioned previously, will be fundamental toward achieving success in the efforts for building institutional capacity for effective enforcement.

Wastewater management

To help in the improvement of wastewater management, EPA assisted CAFTA-DR countries in the adoption of the Wastewater Regulatory Model that CAFTA-DR governments endorsed in 2005. Furthermore, countries have been able to develop their own National Wastewater Regulatory Model based on the regional model. Through the adoption of this model countries could set up or adjust wastewater management policies and standards aiming at reducing the impacts of wastewater discharge and promote environmental protection.

At the regional level, the manual for Appropriate Sustainable Wastewater Treatment Systems (ASWTS) was finalized. Next steps to promote institutional strengthening in wastewater management must include activities aimed at the implementation of the Wastewater Regulatory Model and the ASWTS manual. Conducting regular inspections to wastewater facilities to assess their level of implementation of both the model and ASWTS is a simple and reliable way to assess the impact of these efforts. To this end, EPA conducted training on inspection of wastewater discharges, and has donated sampling equipment to address the lack of reliable wastewater discharge parameters. However, it is necessary to establish reasonable parameters for wastewater discharges in consultation with all sectors involved and to allow time for adjustment.



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EPA is also conducting activities to establish a wastewater laboratory in each CAFTA-DR country certified under ISO/IEC 17025:2005. Other activities implemented include follow up to the development of database of discharges, and development of a program to issue permits.

The successful development of sustainable wastewater management requires consistent policies aligned towards national objectives. CAFTA-DR governments need to strengthen institutions capable of sound wastewater management through capacity building and human resources development, and the development of sound policies.

Solid waste management

For the promotion of a solid waste regional management policy and strategy, at national and municipal levels, implementers are working with government officials to create draft regulations for integrated solid waste management, and to prioritize regulations for selected priority sectors established in the CAFTA-DR agreement. However, the improvement in solid waste management at the regional level will only be measurable once countries finalize, adopt and begin implementing the Regional Solid Waste Policy Framework, and determine, for instance, the number of municipalities that have adopted the policy.

Working through CCAD with support from EPA, USAID is using a market mechanism to reduce the amount of industrial solid waste that ends up in municipal landfills by promoting participation in the Industrial Waste Commodity Exchange for Central America and the Caribbean (BORSICCA). USAID also completed waste inventories, helped develop business plans, and established BORSICCA exchanges. Through these exchanges industries can improve solid waste management and thus, their environmental performance, which can help reduce production costs due to more efficient process. This initiative is a good example of thematic cross-cutting cooperation (i.e. links with Market-Based Conservation and Improved Private Sector Environmental Performance programs) that the ECP could use as a model for developing future activities.

Nonetheless, at this point it is necessary to develop indicators, such as the tons of solid waste exchanged or the number of municipalities participating in BORSICCA, to determine if this activity is effectively contributing to the achievement of the goal in theme A.

Chemicals and hazardous substances management

Agriculture is one of the main economic sectors of the region that will benefit from FTAs, and particularly with CAFTA-DR, since the U.S. is the main importer of the region's agricultural products. Therefore, addressing the safe handling of chemicals and hazardous substances is essential to ensuring compliance with domestic and international environment and labor standards. Since the region is highly dependent on agricultural production, encouraging the wise use of pesticides supports sustainable development and sound economic growth.

Several training workshops have been implemented throughout the region on safe handling of hazardous materials – mostly mercury, – specifically on safe handling and response to uncontrolled releases of chemicals, and hazardous waste and emergency response training. All CAFTA-DR countries have adopted demonstration projects focusing on a search for alternatives for final disposal and treatment of chemical substances and obsolete and prohibited pesticides, effectively responding to needs in training on approaches to investigate, evaluate and select remedies, and remediate contaminated sites. In continuing with the implementation of these training workshops to help build capacity to manage hazardous chemicals, implementers should ensure the participation of environment and health officials, industries, hospitals, and hazardous materials responders. Mitigating risks to workers and local populations is a priority for protecting environment, labor rights and human health.

In terms of institutional strengthening, a draft regulation for control and transport of chemical substances, wastes and hazardous materials has been created in Honduras. It is not clear from the information obtained what the status is given the situation in Honduras and in the rest of the



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CAFTA-DR countries. However, the strengthening of procedures for the sound management of chemicals, hazardous substances and wastes have been focused on PRTR related issues, leading to the adoption by all CAFTA-DR countries of a PRTR work plan according to UNITAR guidelines to track the release and transport of chemicals, wastes, and hazardous materials. In addition, each country has created national committees in charge of overseeing the implementation of this plan. Some training should be focused on the implementation and follow up of PRTR and to establish a pool of PRTR specialists. Activities should also complement lessons learned from previous efforts related to PRTR in the region, such as those executed under the Canada-Costa Rica Agreement on Environmental Cooperation.³⁷

EPA has been working with officials to review efforts to implement SAICM priorities and developed an approach for a regional strategy, but additional efforts are necessary to finalize the adoption of SAICM. These efforts are fundamental for institutional strengthening and the success of all the above initiatives.

Air quality

These activities are closely linked to the safe handling of chemical substances but are also aimed at providing technical assistance to strengthen environmental monitoring and information systems.

Firstly, to assist in the improvement of air quality management in the region, USAID supported program partners to refurbish PM10 equipment for air quality monitoring stations in Nicaragua, Dominican Republic, Costa Rica and Honduras. This has effectively allowed for the monitoring of PM10 and ensured that air quality data collected in the major urban areas is representative and accurate, which will improve air monitoring across the region. From a sustainability perspective, the refurbishment equipment and provision of new technologies, as in the case of air quality monitoring, in some cases contributes in a more substantial way to the achievement of outcomes than duplicated or redundant technical training.

USAID and CCAD, in partnership with NASA and CATHALAC, have conducted activities to strengthen the pre-existing web-based information system, SERVIR, a web-based information system that utilizes satellite resources to help local scientists, government leaders, and communities address concerns related to natural disasters, disease outbreaks, biodiversity, and climate change. These activities have helped to provide accurate and updated ecological and geographical information. For example, when a red tide hit El Salvador, the real time data helped fisherman to steer them away from contaminated waters, thereby saving millions of dollars in potentially lost revenue and protecting the health of Salvadoran consumers.

Moving forward, it will be important to reach out to local universities, government ministries, NGOs and other stakeholders to demonstrate the capacities available through the SERVIR platform, and to assist in the integration of SERVIR with different environmental sectors. This will help advance cross-agency coordination and exchange of information at the national and regional level, particularly to respond to natural disasters and environmental threats across the region.

Sub theme A.2 – Environmental Law Enforcement, Governance and Capacity Development

The goal of this sub-area consists in strengthening government institutions for the effective enforcement of environmental laws, specifically (1) training inspectors, prosecutors, investigators, judges, and other law enforcement officers on investigating, prosecuting, and adjudicating violations of civil and criminal environmental laws; (2) providing technical assistance to wastewater analytical laboratories; (3) improving coordination of officials responsible for enforcing laws related to ensuring the sustainability of fisheries in the region; (4) training customs officials to identify shipments that potentially violate obligations under MEAs; and (5) developing environmental compliance and enforcement indicators.

In working towards this goal, EPA has been conducting regional courses for environmental and customs officers to improve import-export control of trade governed by MEAs (e.g. CITES). A few other bilateral activities have been implemented including the negotiation of the first-ever Inter-Ministerial



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Customs/Environmental Cooperation Agreement to facilitate improved coordination and compliance with MEAs in El Salvador. In Honduras, the USAID-MIRA program collaborated with the Honduran Secretariat for Natural Resources and Environment (SERNA) to create a National Environmental Law Enforcement Strategy.

The cooperation helped Guatemala create a Technical Council for Enforcement of Environmental Law to support the Ministry of Environment. The Council is comprised of 16 government ministries and institutions, and contributes to a more efficient and effective enforcement of the environmental legislation by facilitating the coordination among the different ministries and institutions involved. The country has also been able to implement a system for monitoring and control of environmental complaints, which has been able to successfully resolve several cases, including two potential submissions under the process established by Chapter 17 of the CAFTA-DR. In addition, the cooperation contributed in the form of donated office and monitoring equipment, including computers and software, and has facilitated the development of a system and database for environmental complaints. Such improvements have helped to monitor complaints and expedite resolution. For example, while in 2009 less environmental complaints were submitted to this office as compared to 2008, the system has enhanced the office's capacity to follow up on pending cases and promoted the enforcement of the environmental laws. This is reflected in the increased collections from sanctions up to June 2009 (GTQ 87,512.74 or approximately US\$ 10,500.00) that double the collections in 2008 (GTQ 48,569.37 or approximately US\$ 5,827.48).

The need to train judges in environmental law is also evident in the region. In doing so, countries will ensure basic awareness and expertise for the successful and equitable adjudication of environmental cases, thereby using justice to foster capacity and raise awareness with regard to environmental protection. However, there is a lack of technical specialization on environmental matters for judges to make sound decisions. To date, Costa Rica is the only country of the region with an environmental court in place. To fill this gap, the Judicial Training Program spearheaded by EPA, and DOJ is addressing some of this issues. However, despite a very promising start, the program has lost some momentum and should be strengthened.

Acknowledging the importance of partnership with the private sector for sound environmental management, Guatemala has also approached the industrial sector and a positive relation has been developed. Activities in this sector include training in conservation of the environment in order to avoid and/or reduce complaints.

Since almost all the goals in this area are the same for all countries, implementers should coordinate regional activities and create synergies for replication of best practices.

Sub theme A.3 – Public Participation and Transparency to Support Informed Decision-Making

The goal for this sub-area is to increase public transparency to support informed decision-making with the purpose of engaging civil society in environmental decision-making in order to create a general culture of environmental protection and sustainable development. Public participation, access to information and access to justice in environmental decision-making are key to good governance and ensuring accountability.

To increase awareness of the CAFTA-DR environmental provisions among civil society and the private sector, and to increase public engagement on environmental matters that affect citizens, agencies are implementing activities aimed at improving the quantity and quality of environmental information accessible to the population. For instance, USAID and the NASA have implemented activities directed towards the strengthening of SERVIR.

USAID has also worked with program partners to develop a regional model for harmonizing administrative procedures for citizens to file environmental concerns regarding a Party's failure to enforce its environmental regulations. In this same context, the Institute of Environmental Investigations and Promotion, supported



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by DOS/OES, worked with the Salvadoran Ministry of the Environment and Natural Resources to inform the public of the mechanisms for participation in environmental decision-making.

Also, a small grants program was developed to foster ways in which civil society, through education and active engagement under public venues and mechanisms can work with governments to ensure effective enforcement of environmental laws. This activity will help increase awareness of the CAFTA-DR environment provisions among civil society and the private sector and strengthen the capacity of civil society in CAFTA-DR countries to participate actively in environmental decision-making.

An important aspect of public participation mechanisms linked to CAFTA-DR involves the ability of civil society to make a submission to the SEM. Though several activities are already in effect in this regard, additional efforts should be directed towards outreach, increase public awareness and understanding of CAFTA-DR's environmental chapter, and the avenues it provides for public participation. To date, work on promoting a mechanism for citizens' submissions has been scarce; and there is a need for better dissemination of information, dialogues and empowerment of NGOs to promote greater collaboration in the environmental program, as well as strengthening civil society participation in the implementation process of the cooperation, to have an installed capacity in the region.

In addition, there is much that remains to be done to address issues such as legal frameworks for civil society participation and access to public information. Nevertheless, Guatemala has made an important first step to reduce gaps between governments and CSOs. Working with indigenous peoples, the government developed a "Socio-Environmental Agenda from the Standpoint of the Indigenous Peoples." In the document, the indigenous peoples express their concerns about the environment, biodiversity, and natural resources.

In general, CSOs are not yet organized to use the Chapter 17 mechanism to foster environmental legal compliance. In October 2008, the Salvadoran Foundation for Economic and Social Development (FUSADES), a local NGO, presented a project on a transparency and information access law.

THEME B: BIODIVERSITY, MEAS, WILDLIFE PROTECTION AND CONSERVATION (INCLUDING CITES)

Effective implementation and enforcement of MEAs and domestic environmental laws are core obligations in the Environment Chapter of CAFTA-DR. The protection of wildlife and habitat are critical to the long-term economic and environmental development of Central America and the Dominican Republic. The implementation of a comprehensive sustainable program designed to stop the illicit trade in wildlife, a serious problem in the region, is a priority for CAFTA-DR countries. Therefore, it is necessary to strengthen the effective enforcement of national environment laws and MEAs, specifically CITES, in order to enhance the long-term protection of wildlife in the region.

DOI worked with CAFTA-DR governments to identify gaps in existing legislation, regulations, and policies, which has led to the adoption of new legislation and the formal establishment of responsible agencies. The establishment of appropriate CITES legislation in all CAFTA-DR countries is fundamental to the success of the ECP. Also, implementers are working towards strengthening of scientific and management capacity of CITES authorities, and to train officials responsible for implementation of CITES. For instance, DOS/OES worked with DOI to establish a formal partnership with the CITES Secretariat to develop long-term, sustainable regional training to decrease the trafficking of illegal wildlife and protect biodiversity. By improving the functioning of the Management and Scientific Authorities, countries will be able to meet basic compliance requirements of CITES.

Additionally, a CITES Support Team was created with DOI, HSI, and TRAFFIC to combat illegal trade in wildlife and protect endangered species. This joint collaboration among implementers is aimed at better coordination, therefore avoiding duplication of efforts, saving on resources, and ultimately benefiting the environmental cooperation process to ensure the achievement of the overall goal of the program.

Various activities and workshops implemented in the region have focused on providing information and training to combat and prevent illegal trade, standardized approaches to legal wildlife trade and



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enforcement issues, and in determining whether an export of a certain species is acceptable. This is key knowledge in order to successfully protect wildlife and habitat for the long-term economic and environmental development of the region. Still, it is important that cooperation between government and protected areas officials be reinforced and/or increased on both sides of the border.

Given the increasing trend in negotiation of FTAs, complying with obligations under MEAs is an important goal for the CAFTA-DR countries if they wish to continue participating in global trade negotiations to promote their economic growth.

To help with the implementation of CITES guidelines on disposal and confiscation, HSI has issued grants to improve capacity of local wildlife rescue centers and establish a model center with regional standards. Additional activities have focused on providing technical assistance on confiscated wildlife quarantine, rehabilitation procedures, and euthanasia protocols for confiscated wildlife. However, it is not clear if these activities are a priority, as mentioned by POCs, nor if they are consistent with basic implementation needs on trade related MEAs such as CITES. Similarly, mechanisms for their sustainability must be reconsidered, as Honduras had to close a rescue center due to lack of financial resources.

All of the CAFTA-DR countries have expressed a strong desire to develop ecologically-friendly tourism and have acknowledged that the effective protection of wildlife and habitat is a necessary precondition to such development. As such, a reduction in illegal trade in animals and wood products is expected, along with MEA compliance, specifically pertaining to CITES obligations. The rescue and rehabilitation of illegally traded animals creates the foundation for an ecologically friendly tourism industry.

However, some of the activities, such as the Jaguar Conservation Corridor Plan, have a certain disconnect with those priorities identified by the countries, and their contribution to the overall goal of theme B is not entirely clear. Also, some implementers have focused some of their activities in awareness campaigns. Specifically, several small grants in the region have been awarded to local NGOs to produce billboards, brochures, and t-shirts, events and media ads to increase awareness of endangered or threatened flora and fauna and promote conservation. While the importance of awareness campaigns is not argued, the value added of these types of activities for the achievement of the long-term goals must be examined so as to determine if financing these activities through other mechanisms or in collaboration with other development agencies will be more effective, particularly in facing the reduction of cooperation funds.

Also, there is a need to targeting activities on legal capacities for effective enforcement of environmental laws and implementation of MEAs. Furthermore, to enhance the positive trade and environment agenda, additional work is necessary to promote regulated sustainable trade, as this is also a goal of theme B and has cross-thematic links, particularly with the improvement of the private sector's environmental performance, and ecotourism, among others.

Improved Fisheries Management to Reduce Sea Turtle By-Catch and Promoting Management of Small-Scale Fisheries and Coral Reefs

Over-fishing is contributing to the degradation of the marine environment in Central America and the Dominican Republic, particularly by disregarding national fisheries regulations. Fisheries are an important generator of economic activity for the countries and jobs for coastal communities. Activities in this area are focused on improving the sustainability and commercial viability of the region's fisheries, including compliance with requirements and adoption of best practices to reduce accidental by-catch of endangered sea turtles in large and small scale shrimping and fishing operations.

In order to comply with national laws in the region, MEAs, import conditions, and to effectively participate in trade, the adoption of technologies such as Turtle Excluder Devices (TEDs) are imperative. 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.



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NOAA is also working with OSPESCA, which is part of SICA, 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 fisheries violations. However, NOAA is facing significant challenges with regard to coordinating and implementing these activities, given the fact that their counterparts in the countries are not government officials, and therefore a direct link with the POCs is missing.

Beyond this, new approaches are also needed for working through private-public alliances to improve fisheries compliance and management and promote sustainable fishing practices and markets.

Forests, Protected Areas and Sensitive Ecosystem Management

The program seeks to promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging.

An improved capacity of country law enforcement officials to enforce natural resource laws is necessary, as significant trafficking in protected plant and animal species is occurring in transboundary areas of the region. Moreover, a balance between command and control and market-based instrument approaches, such as incentives for regulated sustainable trade and tax credits, among other, is required. To contribute to this task, DOI is working with countries in the preparation of a law enforcement needs assessment for protected areas. This assessment will include protective strategies, allied with the proper laws and regulations at the national level, to address and reduce illegal trafficking. This effort will also include incentive-based tools that will spur the community to value and manage conservation efforts, reducing the need for regulation.

Also, to improve the management of forest resources and protected areas, implementers are promoting sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging. For example, DOI worked with partners to complete the Governance and Law Enforcement Strategy and Action Plan. Some activities in this area have resulted in concrete positive results, such as the approval by the Government of Dominican Republic of a strategic plan for managing the Jaragua-Dahoruco-Enriquillo Reserve in efforts to implement national strategies for enforcing laws related to forests and protected areas.

As with many other efforts, additional support should be direct towards encouraging the participation of local governments, the private sector, and CSOs.

THEME C: MARKET-BASED CONSERVATION

CAFTA-DR countries have exceptional biodiversity and natural resources that are the basis for tourism which increasingly accounts for a great share of their GDP and generates substantial employment. Tourism is a major contributor to world trade. Nevertheless, many of the most promising protected areas for ecotourism are being converted to agricultural land or are mismanaged. Unplanned and irresponsible tourism development can also jeopardize the very natural assets which are the foundation for tourism in the first place. Sustained economic growth in CAFTA-DR countries will depend on maintaining the health of its natural resource base. Yet deforestation, the destructive use of pesticides, agricultural practices that degrade the soil base and domestic activities that cause pollution are carried out with little regard for downstream inhabitants or the natural habitats that support biodiversity. Few incentives and alternatives are available for local producers to manage biological and water resources sustainably. Alternative sources of income for the rural poor in CAFTA-DR countries are needed to prevent harmful practices that damage the environment and to promote practices that conserve and enhance the environment.

The main goal of this program is to implement a market-based conservation system, focusing particularly on sustainable tourism, agriculture, and forest products as means to support economic growth, sustainable natural resource management, and environmental protection.



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Ecotourism

Cooperation within the CAFTA-DR environmental agenda has generated a series of models that can be consolidated and replicated in other countries, with room for adaptation. For example, USAID in partnership with the International Institute of Tropical Forestry (IITF) and the CSO Paso Pacifico in Nicaragua have enabled the local population, institutions and development related associations to build their own capacity and tools for environmental management of marine turtle conservation. In addition, this project has improved social services in general, taking advantage of synergies within other areas of cooperation, such as environmental education. This activity has helped to promote conservation and generated income for the community.

In Guatemala, USAID worked with CPI and local partners to adopt the Sustainable Tourism Best Practices Guide as a tool to identify and take specific actions to operate more sustainably. This tool has helped community-based organizations and small and medium-sized tourism businesses in the development of internal policies and codes, meeting certification requirements, and educating clients. These initiatives help promote appropriate economic valuing of conservation and natural resource management. For instance, in the Puerta al Mundo Maya, a community-based destination of Chisec Alta Verapaz in Guatemala, operations became organized and now they offer a wide array of adventure ecotourism options including caving, tubing, rappelling, and visits to archaeological sites. Technical assistance and support has been focused on logistic and coordination actions aimed at minimizing visitor impacts at natural and cultural heritage sites, the reduction of environmental infractions, the improvement of management and control systems, and marketing and networking opportunities.

Already many of the businesses and community operations involved have reported increased economic benefits by reducing costs and increasing client satisfaction through the implementation of sustainable tourism good practices. Increased tourism in or near protected areas can channel financial resources to these areas while also generating the income on which surrounding communities can base their livelihoods. However, more opportunities and benefits can be developed by partnering with the private sector leveraging funding, wherever possible, to increase the level of sustainable financing made available for sustainable tourism and natural resource management.

Several training courses have been implemented in the use of sustainable tourism as a way to increase local economic incentives, such as the Nature Guide training program for La Flor Wildlife Refuge, DAMAJAGUAR project, Puerta al Mundo Maya. Still, it is crucial that the importance of including marketing and business management strategies in those activities be emphasized, with a view to building capacity and providing training to the communities on sustainable tourism practices.

Training has been provided to tourism ministries, institutes, federations and/or associations, but it should also include the participation of government officials from the ministry of environment, trade/finance and culture. Furthermore, policies should be developed to promote synergies among these sectors and more sustainable tourism practices.

Also, countries need to study their comparative advantage and gear their ecotourism practices towards those that will produce the largest economic benefits with the least environmental impact. For example, the sustainable harvesting of turkey in the Maya Biosphere Reserve in Guatemala has helped to improve socio-economic conditions in the community; as has Paso Pacifico's incentive payments program for protecting sea turtle nest.³⁸ These types of initiatives promote alternative sources of income that are tied to conservation for the benefit of local people, and create jobs at varying levels. However, for these initiatives to be successful and sustainable different types of incentives: economic, fiscal, and others need to be developed. Strategic alliances must also be developed with municipal authorities and development and cooperation agencies to complement activities geared toward the improvement of sustainable use of resources and community income, such as transportation services for tourists and adequate infrastructure, among others.

38. The program makes protecting sea turtle nests more rewarding than raiding them. The incentive payments are given for protecting the sea turtle nests from the time the eggs are laid, and also when hatched eggs are verified by Paso Pacifico Rangers and a community committee. Paso Pacifico rangers also benefit by the performance-based programs: for every nest that they successfully monitor, they receive a bonus payment. The ranger who has protected the most nests throughout the year receives an additional bonus payment.



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The work at the regional level is focused on promoting the adoption of plans for the sustainable management of two trans-boundary watersheds critical to biodiversity: (1) Cahuita-La Amistad-Rio Canas-Bocas del Toro on the Costa Rica-Panama border, and (2) the Gulf of Honduras in Honduras, Guatemala, Belize, and Mexico. The cooperation is also supposed to provide small grants to CSOs to promote gender equity and community participation in solving environmental problems in these watersheds. It is important to note, however, that it has been difficult for OAS/DSD to determine the progress on these activities, and whether they build on other initiatives; thus, it remains unclear how these initiatives will have a real regional impact since they only focus on three CAFTA-DR countries, unless the implementation involves a strategy to replicate good practices and lessons learned to other watersheds of the region.

Sustainable agriculture

USAID is working with partners to assist farmers in adopting agro-forestry practices and begin cultivating higher value alternative crops. With DOS/OES support, Rainforest Alliance developed a farm assessment guide to help farmers understand sustainable agriculture standards and assess needs for improved farming techniques, particularly in the production of cacao, coffee, and banana. Also, Rainforest Alliance has been working with farmers on increasing market shares and income from their products. These initiatives are helping farmers to adopt best practices that will help them increase their incomes through a greater market access and the sale of environmentally friendly goods.

Other activities implemented in the region have helped to increase the surface area under improved environmental management and therefore contributing in maintaining a natural resources base and protect the environment to support sustained economic growth.

The program has achieved some degree of success in promoting non-traditional agricultural and forestry products to promote sustainable management by using market access and increased income as incentives for rural residents to carry out long-term natural resource management practices. Still, for this program to have a long-term impact there is a need to implement more activities to increase the number of small local NGOs, businesses and cooperatives involved to ensure an increase in employment and the consequent increase in income. Also, organic and certified products usually have a higher price in the market; therefore strategic alliances with the private sector must be implemented for improved competitiveness of these products.

In an effort to make farming practices more environmentally friendly and to increase market shares and income from their products, some implementers have been developing activities with different degree of impact. For instance, Rainforest Alliance has delivered best practices events, such as training and workshops in coffee, cacao and banana production to agronomists, technicians, and internal auditors. To complement these efforts, TechnoServe (TS) implemented a Coffee Traceability System, a marketing tool that demonstrates the origin of and processes used in the production of high-quality coffee. Additionally, TS provided training on how to improve coffee milling techniques in order to minimize water use and waste. Also, HSI conducted workshops to improve the quality of cacao pods by using environmentally-friendly agricultural practices.

THEME D: IMPROVED PRIVATE SECTOR ENVIRONMENTAL PERFORMANCE

Environmental contamination from industry poses a serious risk to the region's ability to compete as efficient trade partners. Industry can often achieve and exceed compliance by preventing the generation of contaminants in the first place, and save money and improve its competitive advantage in the process by reducing resource consumption and waste.

In order to build awareness, expertise and incentives for industry to reduce its environmental footprint and exceed minimum compliance obligations, EPA has facilitated the creation of a regional high profile cleaner production award to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives. To complement these initiatives, WEC, with support from



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DOS/OES, signed MOU agreements with Wal-Mart and a dairy association to promote private partnerships that encourage the use of cleaner production practices throughout the supply chain. WEC has been working with local Wal-Mart suppliers and small and medium dairy producers to promote energy and water conservation; waste, raw material and emissions reductions; implementation of environmental management systems; and resource assessments. These types of public-private partnerships provide a significant opportunity to involve potential partners, including local businesses, share best practices, and leverage funds from private sector in pursuit of these goals. In addition to working with companies at the national level, there is also a need to involve trade associations and their members and to work with companies regionally, across borders, in order to address issues such as greening the supply chain.

The environmental cooperation should contribute to the development of public-private partnerships at the national and regional level to facilitate the transfer and adoption of cleaner production technologies and promote a climate of environmental stewardship in CAFTA-DR countries to improve environmental protection and promote pollution prevention.

EPA has been working in the incorporation of the regional cleaner production strategy and Environmental Management Systems (EMS) guidelines into the national policy framework of the CAFTA-DR countries; this includes a set of processes that enable industry to reduce its environmental impacts and increase its operating efficiency. A strong cleaner production strategy encourages private sector investment in cleaner production processes and technologies that enhance business efficiency and competitiveness, while improving environmental performance and reducing energy consumption. Foreign firm will also be more attracted to invest in the countries thanks to a strong regulatory framework. However, for a greater degree of impact, the elements of the strategy and guidelines must be adjusted to specific industrial activities of each CAFTA-DR country, particularly those with potential to grow due to increase trade.

In a step toward promoting economic incentives for private sector investment in cleaner production and energy efficient technologies and processes, El Salvador established a Cleaner Production Fund that provides grants to small and medium-sized enterprises (SMEs) that request technical assistance to introduce cleaner and more efficient processes into factories. Similar initiatives should be implemented in all other CAFTA-DR countries and at the regional level to encourage investment in the region.

WEC established the Alliance for Private Sector Competitiveness in El Salvador to promote economic development in the country through strengthening the ability of Salvadoran businesses to produce goods and services more competitively, using less energy and in a sustainable and environmentally responsible manner. WEC is also working with the Ministry of Environment and Natural Resources (MARN) and Ministry of Economy (MINEC) in helping build institutional capacity by creating a framework for collaborative public-private approaches for improved environmental performance. This work is additionally guided by a high-level executive steering committee comprised of senior representation from not only MINEC and MARN, but also the National Association of Private Industries (ANEP) and the National Agro-Industrial Chamber (CAMAGRO). The companies receive assistance to improve their consumption of resources, by making more efficient their manufacturing processes. Depending on each company needs, technical assistance is directed to energy efficiency, conservation of water, subsequent wastewater pre-treatment, electrical efficiency and power quality issues, quality performance, among other areas in order to support companies to develop a more sustainable and competitive level.³⁹

Efforts have also been directed towards strengthening the capacity of national cleaner production centers to assist in the development of cleaner production policy, and the preparation of guides for good environmental practices. This mechanism provides an opportunity for the public and private sector to convene and create consensus on environmental matters. However, these centers require full government support to build trust with the private sector and increase their level of engagement and commitment. The delicate and important nature of this relationship requires careful planning and implementation of scheduled activities. Failure to do so creates false expectations and disappointment in the private sector, discouraging their participation in these initiatives.

39. World Environment Center, Programs, Capacity Building : Advancing Sustainable Solutions <<http://www.wec.org/programs-initiatives/capacity-building>>



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The implementation of voluntary mechanisms to increase the adoption of clean technologies and enhance environmental performance in priority areas likely to grow from CAFTA-DR will help bring together the private sector and government as partners to reduce contamination and better comply with environmental regulations. For instance, dairy companies in El Salvador have applied voluntary flexible mechanisms to increase their competitiveness at the national level.

3.3.2 *Public Participation*

Public participation has been a priority since the beginning of ECA-related activities. For instance, CAFTA-DR countries invited civil society organizations, and the private sector, among other groups, to participate in the thorough process of identification of priorities for the Work Plan and the Road Map. Some Parties held nation-wide public consultations; others took the opportunity to establish national institutions to accomplish these tasks; and some engaged in a continuous process of identification of gaps and needs to work with cooperation funds.

The participation of local CSOs as implementers, while not predominant, has received the strong support of USG Agencies, who have allocated funding for projects to be implemented by local organizations, and at the same time, contributed to the strengthening of their capacities. For instance, as mentioned previously, sub-theme A.3 includes a small grants program that was developed to foster ways in which civil society, through education and active engagement under public venues and mechanisms is able to work with governments to ensure effective enforcement of environmental laws. Increased participation of these groups contributes to the sustainability of projects, regardless of administration changes and supports enhancement of capacities on the ground.

Also, many of the projects include a component for public awareness through radio and TV spots, dissemination of information – billboards, publications, brochures, flyers, stickers, display windows in airports and other public buildings, – among other activities. POCs and other stakeholders agree that these initiatives have been providing good results and would like to see more funds allocated to this component, which also helps promote the environmental cooperation under the CAFTA-DR, in general. These elements should be considered when developing a communication strategy for a more efficient environmental cooperation.

Public participation should be central in the formulation and implementation of all projects and activities. The form should be decided depending on the nature and circumstance of each project. For instance, to ensure public participation, DOI facilitated a field level cross-sector round table with local NGOs, community leaders, and governmental officials, to build consensus and share information for promoting model management of the Mayan Biosphere Reserve in Guatemala.

The public sessions convened on the side lines of the EAC meetings have also served to promote public participation. It is important to continue to plan such sessions in a timely fashion and to conduct outreach to engage civil society in the ECA and EAC process.

Finally, to promote effective public participation, implementers should consider the development of indicators to measure impact and results of public participation building based on existing principles adopted by the region.

3.4 *SUSTAINABILITY*

For the purpose of this report, sustainability is being defined as the continuation of benefits after the environmental cooperation assistance has been completed. Therefore, the focus of the CAFTA-DR environmental cooperation should be on sustaining the flow of benefits into the future rather than on sustainable programs or projects. Projects are by definition not sustainable as they are a defined investment with a start and finish date.⁴⁰

While the sustainability of benefits needs to be assessed for each individual program, project or activity, it is important that this analysis is set within the broader context of country-specific circumstances. Although



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from the same region, the political and economic status of each CAFTA-DR country is substantially different. The level of private sector involvement also varies from country to country. These factors have a significant impact on the sustainability of benefits from the implementation of cooperation activities, thus they should be taken into consideration in the design of activities and programs, particularly those within the regional cooperation agenda.

A clear and precise sustainability strategy should be included in the design of all activities, projects and program of the CAFTA-DR environmental cooperation. At the ECP Thematic Framework level, sustainability is achieved via program theme and subtheme by holding regular dialogue and shifting program priorities based on a number of factors including budgetary constraints, political will, program results, and the CAFTA-DR program as a whole within a larger development scheme in the Region.

In spite of some initial confusion, the introduction of the Road Map as a preliminary tool to identify measurable outcomes and outputs under the CAFTA-DR program areas facilitates efforts to achieve sustainability by assisting in determining if the needs of the Parties are being met, if implementers and coordinators are focusing outputs, and how to best focus future funds. However, additional efforts are needed to organize and structure the format of the Road Maps according to the commonly accepted and utilized LFA model. Since managing sustainability is an ongoing process and needs to be reviewed and updated as circumstances change and lessons are learned from experience, the LFA is the most effective tool for these tasks.

Also, those implementers working with DOS/OES in the implementation of activities have been given a series of benchmarks that must be met before project outputs/deliverables can be approved. Each grants officer representative (GOR) is operating under the following guiding principles at this stage in the program continuum, and all deliverables must meet one of these three criteria: (1) does the proposed activity build on the existing framework of the program; (2) does the proposed activity further strengthen the capacity of an existing local institution in a way that the benefits will be tangible well beyond the life of the program; or (3) the stakeholder (e.g. CAFTA-DR stakeholders) must have significant ownership or investment in the outcome and participate fully in the planning and execution of the aforementioned deliverables (i.e. governments will manage and institutionalize results within their respective institutions).

A policy framework that is compatible with and supportive of program objectives is a key factor in promoting sustainability. As previously mentioned, the strengthening of regional institutions for effective implementation and enforcement of environmental laws has been a priority of the environmental cooperation. The development of several new policies and regulations, namely, the regulation for the mining sector and the creation of the Technical Council for Enforcement of Environmental Law to support the Ministry of Environment of Guatemala reflects the consideration of the sustainability issue in the overall design of the program.

EIA is a key tool for strengthening the environmental sustainability of programs and projects since it provides a framework for identifying, assessing and subsequently managing the environmental impact of proposed activities. However, EIA is more effective if it involves communities in identifying and managing environmental risks.

Stakeholders mentioned the need for installed capacities within institutions to be able to provide continuation to programs, replicate experiences and share knowledge. To improve the prospects for sustainability, training should also be considered but they should start at the right time, and be conducted throughout the program or project. Coordination with other implementing agencies is important in order to avoid duplication of training efforts, as was reported by some POCs on training related to CITES enforcement.

Effective training should not only educate but also motivate; trainees must be selected and training must be of direct relevance to their work. CAFTA-DR countries are making sure that personnel participating in capacity-building activities can become trainers and therefore able to replicate activities without the assistance of a foreign specialist. In order to address potential loss of institutional memory, due, for instance, to change of administrations, stakeholders should aim at the systematization of information and development of databases. Also, stakeholders have started to make early efforts in the identification of alternative funding to guarantee the continuity of CAFTA-DR projects beyond 2010.



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Most of the training being provided under the CAFTA-DR environmental cooperation has been in-country training, such as on-the job training. This type of training is more likely to support more sustainable benefits than overseas courses or long-term academic training for a selected few.

Training to support the introduction of new technology has also been highlighted by the countries as a need. This type of training is an essential component of a sustainability strategy, particularly since there are several projects and activities implemented that have achieved successful results thanks to the adoption of new technology. For example, the system and database in Guatemala that has helped to monitor complaints and expedite resolution, thus improving environmental enforcement; the monitoring of air quality with the recently refurbished equipment; and the ability to provide accurate and updated ecological and geographical information managing and utilizing SERVIR, among other initiatives.

Design of projects and activities which are expected to result in sustainable benefits should build on local demand and initiatives. A strong sense of local ownership and genuine participation in design are critical to successful implementation and sustainable benefits. Several projects being implemented under theme C (Market-Based Conservation) and theme D (Improved Private Sector Environmental Performance) have followed this principle. The critical factor in promoting sustainability is the role of all stakeholders involved in the CAFTA-DR environmental cooperation program, and particularly those who will benefit from those activities being implemented. Sustainability cannot be achieved without their involvement and support.

The government-to-government nature of bilateral cooperation programs requires that high-level (national) aid coordination mechanisms be in place. However, when programs and projects are being implemented in partnership with provincial or district agencies or communities, it is important for sustainability that donors have agreements with this level of government that documents their roles and responsibilities, and that there are appropriate channels for delivering resources and receiving feedback. This is particularly important when national level agency capacity is weak.⁴¹

The CAFTA-DR environmental cooperation is ensuring the sustainability of the program by featuring the private sector in one of the programmatic areas of the cooperation, specifically in theme D (Improved Private Sector Environmental Performance). However, the key to obtain the fullest benefit of private sector involvement in the implementation of activities is to identify complementarities between the program or project and the private sector. The cleaner production initiatives and BORSICCA are good examples of this, as well as the work involved in the selection or priority sectors for several projects and activities such as in strengthening EIA review.

As previously mentioned, several small grants have been awarded in the region to small, local NGOs to produce billboards, brochures, and t-shirts, events and media ads to increase awareness of endangered or threatened flora and fauna and promote conservation. Generating this kind of understanding also supports the sustainability of the cooperation program. However, as mentioned previously, the significant reduction of the amount allocated for FY08 and FY09 compared to the allocated amounts during the early phases of the implementation of environmental cooperation activities, due to different factors, including the current financial crisis, forces to examine the value added of these types of activities.

External political factors affect the sustainability of cooperation programs. The wave of elections in the region has caused changes of government – and policies – which have resulted in delays of the implementation process and revision of activities. The suspension of the Honduran State from the exercise of its right to participate in the Organization of American States, and the suspension of the U.S. Government of development aid intended for the Government of Honduras for CAFTA-DR environmental standards has seriously affected the environmental cooperation program not only at the national level but at the regional level as well. This unstable political situation hinders sustainability.

Finally, it is important to consider external unforeseen factors such as natural disasters in the design of cooperation programs. While these factors usually cannot be controlled, contingency planning and risk management strategies can play an important part in reducing their negative impact and thus the sustainability of the programs.



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IV. DESIGN OF A MONITORING AND EVALUATION PROCESS

4.1 OVERVIEW

This section aims at presenting information, analysis and insight for designing a M&E process for the ECA related cooperation, based on a RBM framework, to determine if and how cooperative activities funded under the ECA are effectively contributing to the achievement of the identified priorities within the ECA and the long-term environmental goals established by the CAFTA-DR Parties. In spite of the current evaluation scenario and limitations presented in this section, the OAS/DSD is moving forward in the development of a M&E process based on RBM principle. This entails the development of a LFA and a PMF, including the development of indicators that will measure the performance and impact of the activities implemented as part of the environmental cooperation in order to achieve the goals established by the CAFTA-DR Parties in each of the programmatic areas. It is important to mention that this process must be the object of thorough consultations with CAFTA-DR and other stakeholders, in order to have a legitimate evaluation process.

4.2 BACKGROUND: MONITORING AND EVALUATION

Monitoring is a continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention or cooperation with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact, and sustainability.⁴²

M&E is a powerful management tool to help implement successful programs or policies that produce the intended results, and to assess if and how goals are being achieved over time. Building and sustaining results-based M&E systems is not easy and is a continuous work in progress. M&E systems should provide users with useful and timely information to manage and guide resources and interventions. The value of an evaluation comes from its use.⁴³

When addressing the design of a monitoring system of indicators, it is important to recognize a few basic premises:

- ◆ Each country has its own specific institutional set up, legislative and regulatory frameworks and its own challenges to enforcement of such frameworks.
- ◆ Each country has its own specific natural resource endowments with their specific challenges and opportunities with respect to impact of the FTA.
- ◆ Each country has developed and/or is developing its own M&E systems and processes.

From the standpoint of M&E, it is therefore important to focus on each specific country's contexts and strengths and weaknesses. For this type of tasks it is important to start with an assessment of existing M&E tools and systems, their strengths and weaknesses, and the ability of the various stakeholders to monitor and report on relevant indicators.

42. Ten steps to a results-based monitoring and evaluation system: a handbook for development practitioners. Jody Zall Kusek and Ray C. Rist. 2004. The International Bank for Reconstruction and Development/The World Bank.

43. Supra note 42.



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4.3 ***PRELIMINARY FINDINGS ON CONDITIONS FOR THE DESIGN OF A MONITORING AND EVALUATION PROCESS***

As mentioned before, an extremely complex map emerges of a large number of stakeholders and players linked to the cooperation program in the CAFTA-DR. Findings from this evaluation suggest that it is quite difficult for the stakeholders in the participating countries to conceptualize and fully understand this context (see *Tables 1 & 2*).

Most stakeholders agree, and this evaluation confirms, that there is currently a scattered and fragmented approach to program management and M&E. Each USG Agency and implementer has its own system of reporting on project activities. Aggravating this situation, at the country level, is the perceived top down approach, which has not adequately taken the different country contexts into consideration. When this context is extended to include the plethora of other initiatives in place within countries, this picture is complicated even further.

Generally, the purpose of having a monitoring system is to ensure that both positive and negative aspects (successes and challenges) in implementation are being captured, reported on and in the end, acted upon. Monitoring – as understood in the RBM context – is intended to be part of a larger adaptive management approach in order to capture issues and problems early to mitigate and manage them as they occur, as well as to constantly capture lessons learned to both inform decision making and improve current and future programming. As noted, there are critical elements to any performance measurement system, process or tool and these include well defined expected results, quantitative and qualitative performance measurement indicators, baseline data, sources of data, targets, and definition of responsibility for (and frequency of) monitoring.

The research and documentation reports prepared pre-CAFTA-DR have not been fully integrated into any M&E system or tool and there is no baseline against which to measure impact. Some of the information contained on those reports could have been used to develop a baseline against which the enabling environment aspects of programming could be formulated.

There is no consistent use of LFA – or any other comparable methodology – at the regional and/or national levels. This results in definition of expected results or objectives that are not harmonized. This, together with the absence of PMFs, further complicates monitoring and reporting; not only within but among various initiatives, and not only within but among countries as well. This leads then to reports which are not harmonized and which do not report on agreed upon or consistently expected results and indicators. This also results in reports which can not be easily harmonized into one single quarterly report detailing progress and/or constraints on specific indicators. This problem is compounded by the overarching scarcity of performance measurement indicators across the program.

Overall, it is extremely challenging to set up a harmonized M&E process and system with so many stakeholders and diverse country contexts, each with their own institutional contexts, legislative frameworks, environmental challenges and opportunities. There was no M&E manual elaborated early on to streamline the processes. Likewise, there is no overarching M&E Management Information System (MIS) or database to underpin and support an effective information sharing and monitoring and reporting process at national and regional levels.

It should be noted that the environmental cooperation is an ongoing program, which is mid-way through implementation. In general, both the LFA (including expected results and performance measurement indicators) and M&E systems (including baseline data, targets, sources of verification and responsibility) would be defined at the formulation stage of the programs, and a M&E Manual would be developed accompanying participatory capacity building and LFA/PMF development workshops.



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4.4 MOVING FORWARD WITH THE DESIGN OF A M&E SYSTEM

An effort was made to organize and structure the format of the Road Maps according to the commonly accepted and utilized LFA model in order to identify the goals and outcomes, and subsequently identify outputs.

The first step involved the mapping of the various activities of the country Road Maps and aligning them with the various objectives. The information contained in the Road Maps was not changed but its use and categorization was sometimes altered in order to follow a RBM approach. The next step involved the preparation of tables listing the activities being implemented in each CAFTA-DR country, which were shared with implementers and stakeholders for input and update. The information from these tables is reflected in Annex V which will help in the identification of performance indicators. Indicators must be created to help identify some of the key variables related to the expected results that can be measured over time. It is worth mentioning that national stakeholders should have a major role in the identification of these indicators.

In order to contribute to the design of an RBM-based monitoring and evaluation process and system for the CAFTA-DR environmental cooperation program, an Institutional Stakeholder Map (see Figure 1) was developed to assist in pinpointing the most important stakeholders and their interaction from both an implementation and monitoring process perspective. In addition, other bilateral and multilateral donors are active at all these levels and were also considered. This map is based on a conceptual chart to facilitate an analysis and discussion of institutional roles and responsibilities of those involved in the CAFTA-DR ECA process (see Table 1). This will enable a clearer definition of the interface between the private and public sectors, as well as possible synergies between them at global, national and local levels.

4.4.1 Logical Framework Analysis

The LFA is a key tool for planning, executing, monitoring and evaluating projects. It also can be used to change and improve a project during its implementation. The LFA usually contains the following elements:

- ◆ The **main goal** of the program refers to the higher-order objective to which the program (in this case, the ECA and the subsequently elaborated Road Maps) is intended to contribute.
- ◆ The **purpose** of the program refers to the priority development needs of the beneficiaries identified and that are achieved through the program's activities;
- ◆ The **activities** consist of the work that must be done to carry out the project. These are undertaken using program inputs.
- ◆ The **expected results** divided into three categories:
 - Impact**, which is a long-term development result at the society level that is the logical consequence of achieving a combination of outcomes and outputs. The Impact is usually linked to the goal.
 - Outcomes** are medium-term development results (changes) that benefit an identified target population that can be achieved during the time of the project/program, and that are the logical consequence of specific combination of Outputs. The Outcome is usually linked to the purpose.
 - Outputs** are short-term development results that are the immediate consequence of the project's activities.
- ◆ The **performance measurement indicators** are quantitative or qualitative variables that

FIGURE 1. MAP OF STAKEHOLDERS

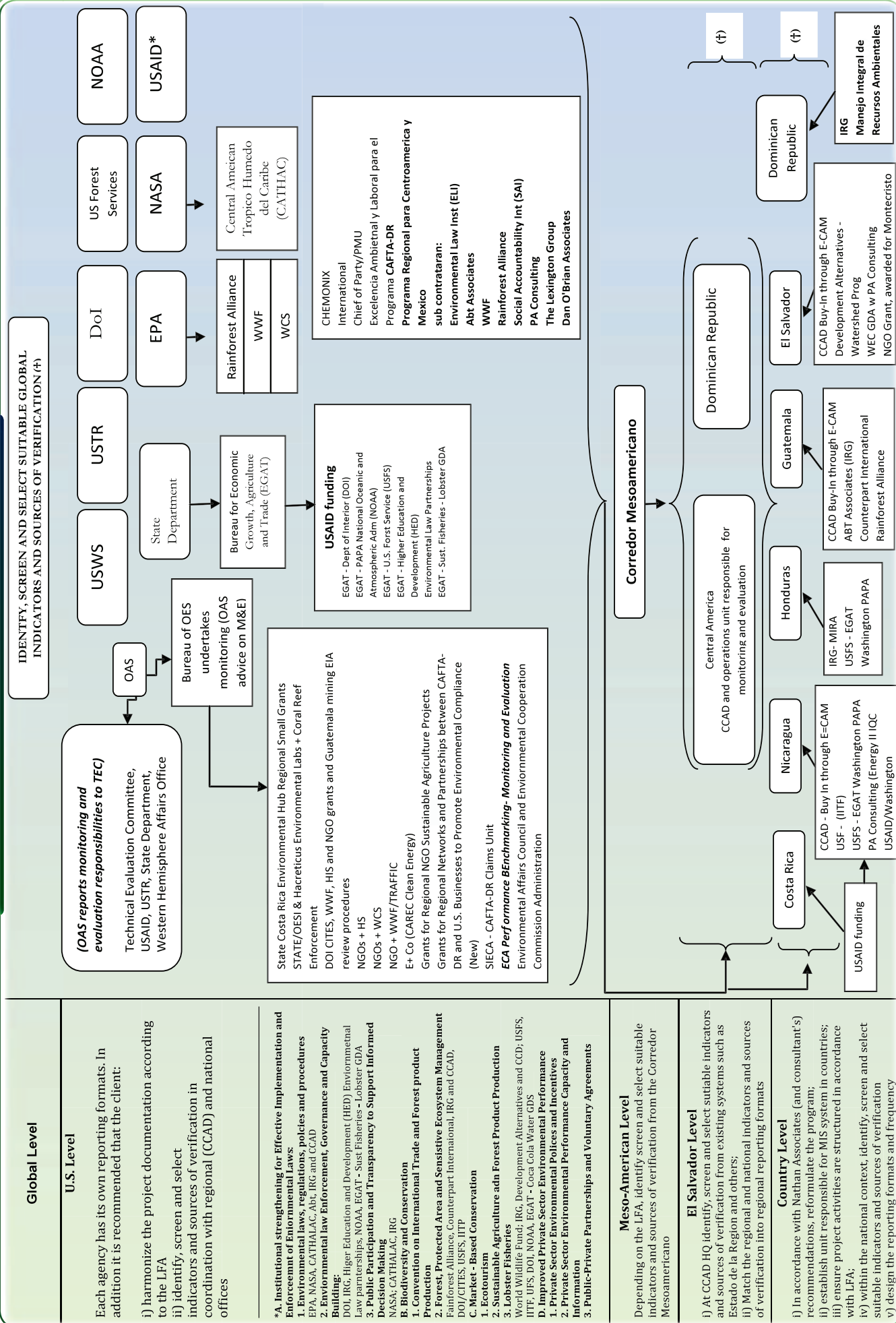


TABLE 1. CONCEPTUAL CONSIDERATIONS FOR MAPPING STAKEHOLDERS

LEVEL	CONTENTS
Global	<p>At this level, the UN agencies and international declarations, conventions and protocols with regards to environment are listed here – particularly those ratified by all stakeholders, including CITES, the CBD, the Montreal Protocol and others.</p> <p>Other important elements are the UN Millennium Development Goals, Global Compact and the Global Reporting Initiative’s guidelines on sustainable reporting principles on Corporate Social Responsibility (CSR) for the private sector.</p> <p>Conventions and institutions related to climate change, carbon financing are also initiated at this level through the Kyoto Protocol, United Nations Framework Convention on Climate Change (UNFCCC), etc.</p> <p>Global “best practices” with reference to ‘sustainable mining’, including Extractive Industries Transparency Initiative (EITI), ICMM’s Guidelines and Manuals, Global Mercury Program, etc, are mapped. Mining is a specific sector which is important to Guatemala and also to a certain extent Costa Rica and the Dominican Republic. However, “best practices” may be mapped for any sector – not only mining.</p>
U.S.	<p>U.S. institutional set up with implementing agencies are critical in this assessment. USG agencies include: DOS, USTR, USAID, USEPA, DOI, DOJ, USFS, among others.</p> <p>There are several national and international NGOs at this level, such as WWF, Rainforest Alliance, HSI, and many contractors, such as Chemonics.</p>
Regional (Latin America)	<p>This level is relevant because of environmental agreements and best practices with respect to environment at the Latin American level, for example the Cartagena Convention.</p>
Regional (Meso America)	<p>Meso America includes Central America and some southern states of Mexico and addresses specifically the Meso American Corridor – agreements and efforts. Several donor funded projects are present at this level and they require mapping. There are several relevant indicators at this level.</p>
Regional (Central America)	<p>The institutional context and regional environmental and trade agreements and efforts of Costa Rica, El Salvador, Guatemala, Nicaragua and Honduras are addressed. This is where CCAD is located as well as USAID/E-CAM. There are several donors present at this level, such as DANIDA, AECI and others. There are relevant indicators at this level in existing MIS.</p>
Regional (Central America + Dominican Republic)	<p>This comprises the CAFTA-DR countries, and the Central American Integration System through CCAD.</p>
National	<p>All major agencies and institutions are mapped with donor funded projects (as identified in the countries’ state budgets). Specifically key stakeholders’ institutional set up is highlighted with respect to CAFTA-DR. The Ministries of Natural Resources, Trade/Economy/Commerce and other agencies and institutions are mapped out here. Generally, the Unit for International Cooperation of the Ministry of Natural Resources is the cooperating agency. The judicial court system needs better mapping and more understanding.</p> <p>USAID missions are also located here.</p>
Regional	<p>Regional/provincial institutions fall in this level.</p>
Protected Areas	<p>Institutional constraints have been identified at the protected area level. It is therefore important to understand the organizational set up at this level, agreements, environment management plans and donor/NGO funded actions. A large number of donors are present and require mapping and coordination.</p>
Municipality	<p>This level of government is critical to sustainable operations and recently efforts have been focusing on this level. The Environmental Units in the Municipalities are taking on a role in sustainable environmental management. Several donor funded projects support local government and decentralization – they need to be mapped out and synergies need to be developed. Certain indicators may be found within existing M&E systems at this level.</p>
Village/community level	<p>This is where the ecosystems, the environmental issues, the population, NGOs, tourists, and villagers are physically located. Many private companies address sustainable development related issues directly with the populations and villagers. However, critical partnerships also need to be developed through the facilitation of partnerships with governance at the municipality, provincial, regional and national levels, private sector associations, NGOs, among others.</p>



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provide a simple, reliable means to measure achievement towards the expected results.

- ◆ The **risks** identify the absence of necessary conditions that must exist for cause-effect relationship between outputs, outcomes and impact and thereby shed light on potential hindrances and challenges in implementation and the achievement of results.
- ◆ The **mitigation strategies** consist of the measures that will be used to manage the risks that arise and to lessen the negative effect they can have on the implementation and success of the program.

Based on available information, the first few elements for the LFA are identified on the Table 2.

TABLE 2. IDENTIFICATION OF ELEMENTS TO THE LFA

THEME	MAIN GOAL	PURPOSE
A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws	An institutional and judicial context that facilitates and enforces environment preservation.	Strengthen environmental institutions, laws and policies, promote the effective 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.
B. Biodiversity and Conservation	A protected and conserved wildlife and habitat for the long-term economic and environmental development.	Enforce the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and improve management of forest resources and protected areas for wildlife and habitat protection.
C. Market-Based Conservation	A market based conservation system is implemented.	Maintain natural resources base and protect the environment to support sustained economic growth.
D. Improved Private Sector Environmental Performance	An improved private sector environmental performance.	Improve private sector environmental performance through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private partnerships and strengthened human and institutional capacity.



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4.4.2 *Introducing the Performance Measurement Framework*

Performance measurement is based, among other procedures, on continual measurement of progress by the persons implementing and monitoring the project, through compiling data and comparing performance to plans and expectations, and through continuous learning with integration and adaptation during execution. Performance measurement can regularly generate knowledge and teach lessons on:

- ◆ Resource use.
- ◆ Effects on beneficiaries and populations.
- ◆ Project success and results achieved at various levels and progress made.
- ◆ Specific challenges and where adjustments or improvements should be made.
- ◆ The appropriateness of risk identification and strategies for handling foreseen risks.

Monitoring implies:

- ◆ Using indicators to regularly measure achievement of, or progress towards expected results; and
- ◆ Compiling all the relevant information needed to produce useful reports.

The performance information generated by performance measurement activities improves learning and management decision making.

The PMF is a widely accepted and commonly used tool to systematically plan for and manage the collection of relevant data/information for monitoring, learning and reporting purposes. The framework itself will help with tracking the achievement of results and challenges.

The PMF is usually composed of the following performance elements:

- ◆ Expected results – Refer to what will be achieved in terms of outputs, outcome and impact.
- ◆ Indicators (defined in Section 4.4.1).
- ◆ Source of verification (or data) – Refers to where data and information can be found for monitoring purposes throughout implementation.
- ◆ Baseline data – Defines the state of the situation before starting the project for each expected result. This gives a reference point for monitoring and allows for specific assessment progress being made.
- ◆ Targets – Refer to timely (potentially yearly) specific milestones being set for achievement in the context of outputs. These can be used as a tool for yearly work planning.
- ◆ Responsibility – Specifically names who is responsible for monitoring and reporting on a particular expected result and the related indicators.
- ◆ Frequency of monitoring – Defines how often monitoring will take place for that expected result and the related indicators.

The baseline study still needs to be completed and targets must be set at a timely interval decided upon by management. The latter can be revised and updated yearly (based on progress or lack thereof) incorporated into the PMF. The PMF should be seen as a management and monitoring tool that will change over time. The responsibility for the monitoring and the frequency also needs to be decided upon by relevant management.



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V. CHALLENGES AND RECOMMENDATIONS

5.1 CHALLENGES

There is a general feeling among stakeholders that the implementation process could be more efficient if stakeholders improve coordination of activities, communication, among other issues. This section identifies major findings and recommendations to improve the implementation process and to develop constant reassessment and changes in approach of programmatic area in the CAFTA-DR environmental program.

Relevance

- ◆ It has been very difficult for CAFTA-DR countries to develop cooperation activities to their respective institutional contexts, legislative frameworks, and environmental challenges and opportunities without all the information related to the cooperation program and financial resources.
- ◆ Coherence and complementarities among various programs have not been fully sought out or realized. Opportunities for establishing or strengthening synergies to facilitate the achievement of the goals have therefore been missed.
- ◆ Delay in the establishment of the ECC has resulted in a lack of definition with regards to the formulation of the long-term goals, duration of activities (short, medium and long term) and focus of the cooperation.
- ◆ There have been problems and delays in the development, review and approval of the annual budget of the environmental cooperation. As a result, the process of planning activities is hindered and consequently affecting the overall impact and result of the program due to delayed or cancelled activities, as well as lack of funds. The implementation of the cooperation program required more time and effort than originally envisioned by implementers and POCs.
- ◆ Implementers, and particularly managing agencies (i.e. DOS/OES, USAID), have also been facing the challenge of reduced funding for the implementation of activities. The amount allocated for FY08 and FY09 is significantly less than during the early phases of the implementation of environmental cooperation activities. As a result, already planned and scheduled activities have had to be revised, causing an overall delay in programming and consequently in the implementation of activities.
- ◆ Also, some implementers face the challenge of receiving 1-year funding which makes it hard to measure long-term impacts of projects and activities.
- ◆ The assumption that both regional and national priorities are in the same categories has, in effect, resulted in confusion and frustration among the Parties and adversely affected the priority setting exercises for programming of activities. POCs and other stakeholders need more information on the mechanisms established for regional and bilateral cooperation, and need to improve coordination between regional and national activities.

Efficiency

- ◆ A complex map emerges of a large number of implementers at the regional and national level with different modalities of cooperation. Inter-agency coordination of activities has been difficult, especially in terms of priority-setting at the political and technical level. The coordination of the environmental cooperation has been conducted in a more ad hoc fashion. Findings suggest that it is quite difficult for the POCs to conceptualize and fully understand this context.
- ◆ This environmental cooperation has been all the more challenging due to the fact that this is the first time a large number of USG Agencies have engaged in the same cooperation program. This plethora of institutional players involved in the implementation of activities has caused duplication of efforts and a lack of coordination.
- ◆ Administrative procedures have been challenging on all fronts, especially with regard to the allocation of financial resources and the management of grants.



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- ◆ Another challenge lies in the design and implementation of an environmental cooperation program that is cognizant of the wide variety of pre-existing cooperation efforts in the region, particularly those executed by USAID.
- ◆ The lack of a uniform criteria for the selection of implementers and activities somewhat defeats the dual purpose of cooperation continuing to improve government to government relations and enhancing on the ground capacity. A greater number of local CSOs need to be engaged, but their efforts should be consistent with their missions. In this regard implementers should be selected based on their expertise and unbiased capacity for implementing programs.
- ◆ Exchange of information and communication via electronic means has proven to be a challenge, due to the unreliability of internet connections and the frequency of power outages throughout the region. According to stakeholders, most important milestones for the cooperation agenda have been reached and agreed upon, along with other ECA-related issues, during face-to-face meetings.
- ◆ The lack of coherence and building on complementarities between implementers, especially when new implementers are involved in the cooperation program has affected implementation of activities. This situation creates confusion, duplication of efforts and misunderstanding. When new implementers are designated to participate in cooperation activities by coordinating USG Agencies, and when these activities are taking place, said agencies should be required to give more advanced and timely notice and consider the rest of implementers' scope of work and achievements.
- ◆ The website being developed by DOS/OES should be a fundamental communication tool of CAFTA-DR environmental cooperation program. This tool should present updated information about the environmental cooperation, including the progress in achieving the short, medium and long-term goals of the cooperation.
- ◆ It has been challenging to compile all ongoing and completed activities, and often relevant information, due to the absence of a standardized reporting format and challenges in obtaining requested information on the status of activities and programs from implementers.
- ◆ From an M&E point of view there is not a clear definition of the goals, objectives, expected results and their subsequent activities. Country Road Maps are not structured according to a proper LFA format; some activities lend themselves to process monitoring only and are not clearly linked to any defined expected results. Therefore, it is very difficult to link specific activities and expected results towards the contribution of each programmatic area in a harmonized manner for all countries or programs. Thus, the application of an RBM approach to monitoring is significantly hindered.
- ◆ The language barrier is another challenge CAFTA-DR stakeholders are constantly facing. Many stakeholders are not fluent in either Spanish or English; this situation impedes a fluent discussion, and often comments and ideas get lost in translation. Also, the need to translate every official document into both languages delays the decision-making process and represents additional costs. This is of particular relevance for the SEM and its website.

Effectiveness

- ◆ In country presence of implementers is fundamental to the effectiveness of the program. The absence of a USAID office in Costa Rica has hindered the potential impact of certain cooperation activities and has called for efforts by the U.S. Environmental Hub to coordinate activities and serve as link between stakeholders facilitating the implementation process. Despite the fact that Costa Rican representatives are invited as participants in workshops, training sessions, the Hub has been working to reduce gaps and challenges regarding the inclusion of Costa Rica in regional activities. While countries with strong implementer and coordinating unit presence are advancing at a faster pace with regards to results, there are gaps related to the different representations at the national level which call for institutional strengthening to ensure success of the program.



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- ◆ Since most of the cooperation has been directed towards regional programs, it has been difficult to compare results by country to assess how programs are having a direct impact on the ground. Often times training, capacity-building, material and related support is provided at the regional level, which does not adequately take into account the specific requirements at the country level. This challenge is closely related to the lack of a focused definition for the cooperation under the ECA.
- ◆ For the preparation of this report, two political events in the region presented a challenge. Firstly, due to the change of Government in El Salvador, as of June 29th, 2009, the new Government had not yet appointed the replacement for the former environment POC for environment. New officials seemed confused about the ECA agenda and ongoing initiatives. Furthermore, the new government has a set of new priorities in their national environment agenda, including natural hazards and energy and it is not clear if this will have an effect on the cooperation.
- ◆ Another challenge seems to be related to the suspension of the Honduran State from the exercise of its right to participate in the Organization of American States and the suspension of the U.S. Government of development aid intended for the Government of Honduras for CAFTA-DR environmental standards. Notwithstanding an eventual solution to the current state of affairs, the environmental cooperation program has been seriously hindered not only at the national level but at the regional level as well.

Sustainability

- ◆ As representatives of their countries and as members of the Council, ministers are faced with the challenge of leaving aside national interest and working towards common regional goals. Changes of administration within the Parties are also factors that must be considered in the work of the Council, since these are high-level – political – posts; sustainability of the agenda and policy decisions thus represents a key challenge. This is particularly relevant due to the wave of general elections in the region for the 2008-2011 periods.
- ◆ The environmental cooperation has to secure financial resources to ensure the inclusion of the sustainability aspect in the design of projects and activities.
- ◆ There is a need to address inconsistencies between program and project objectives and the priorities identified by CAFTA-DR countries. This will strengthen the engagement of the countries in the process, increase ownership and thus ensuring sustainability.
- ◆ The sustainability of the cooperation program requires a carefully planned political and technical approach. With regard to the technical dimension, lack of information systems related to the progress made by implementers and transparency in the communication process is a challenge. Within the political dimension, political will, mutual confidence, open discussion; and country ownership of the cooperation process is fundamental.
- ◆ Provide appropriate incentives to achieve environmental sound management practices being included in the design of projects and activities.
- ◆ Potential donors and development agencies funding environmental programs need to be mapped and synergies need to be developed in order to create more ways to continue and complement efforts made by CAFTA-DR environmental cooperation.



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5.2 SUMMARY OF RECOMMENDATIONS

Relevance

- ◆ The TEC should assign resources in a manner that is consistent with the scope and the program priorities.
- ◆ There is a need for an official overarching mechanism to (a) define long-term goals and priorities for cooperation activities within the priorities of the ECA; (b) avoid duplication of efforts; and (c) assist in the monitoring of the outcomes of the activities and projects.
- ◆ Once the ECC is formally established they should look at lessons learned from similar mechanisms in order to avoid making decisions that will hinder the overall achievement of the goals set by the Parties.
- ◆ The cooperation program would benefit from country input in project design.
- ◆ Projects and programs must be result-oriented and should make a considerable contribution towards the generation of substantial and measurable impacts in national priority areas.

Efficiency

- ◆ Terms of reference for POCs should be developed establishing clear responsibilities, keeping in mind their regular functions within their ministries. The role to be played by POCs should be clearly defined, and be more active in developing strategic directions in order to establish the level of operational coordination and monitoring needed in each of the project's programmatic areas and improve their capacity to articulate their activities to all implementers and be able to seek synergies with other agencies or donors.
- ◆ Uniform and transparent criteria for the selection of both projects and implementers should be established jointly by all Parties. The selection of implementers needs to take into account not only their capacity but their mission and potential conflicts of interest. Moreover, it should be focused on the dual purpose of cooperation improving government to government relations and enhancing on the ground capacity.
- ◆ POCs should ensure that national stakeholders are able to identify and associate projects implemented through the ECP of the CAFTA-DR to promote results and highlight the impact of this type of cooperation, particularly at the national level.
- ◆ Parties should complete all the necessary internal legal processes for the formal entry into force of the ECA.
- ◆ It is important for all stakeholders to be informed of all the agencies, including CSOs, participating in the implementation of the ECA. This could help create partnerships to harmonize activities and use resources wisely and also avoid duplication of efforts.
- ◆ Exchange of experiences, dissemination of results, identification of lessons learned and other informational tools must be developed to be able to maintain and transmit a “memory of environmental cooperation”. This will help to avoid duplication of efforts and allow for the advance of cooperation activities, especially in situations such as the incorporation of new implementers or replacements of points of contacts. This information system will facilitate in the identification of complementarities among projects and will assist in the generation of lessons learned.
- ◆ Stakeholders, particularly implementers, need to identify the most efficient way to communicate, exchange information and share knowledge. The need to improve or define a communication strategy that will help facilitate contact with local or regional stakeholders is evident.
- ◆ It is important to create coordination mechanisms to promote consistency and joint decision making that enables new implementers to develop and discuss plans of action on time with key stakeholders taking into account institutions and countries needs and time framework.



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- ◆ Few original POCs remain as such since the beginning of the environmental cooperation. This unstable situation affects the continuity and institutional memory of the cooperation and slows down the implementation process, given that new POCs have to adjust to their new roles and develop rapport with all stakeholders. Since POCs are key for the implementation of activities, the ECP will benefit from seeking out a way to establish a more permanent and secure role for them.
- ◆ The SEM needs to make important strides in reaching the public in order to fulfill its mission. The SEM should be more proactive and increase their outreach efforts to promote its functions and familiarize civil society, from all CAFTA-DR countries, with the main goal of the citizen's submissions mechanism. Additionally, all the information and communication prepared by the SEM ought to be in both Spanish and English, including all the information contained on the SEM's website.
- ◆ Coordinating units should take into account how the council considers final factual records developed by the SEM in light of the objectives of the ECP.
- ◆ It is necessary that managing agencies establish a standardized monitoring and reporting system. In order to apply this monitoring tool, it is important that the reporting process for projects and programs be standardized and harmonized. This is especially important for those implementers already reporting to their managing agency. In addition, to ensure consistent use of LFAs and PMFs it is crucial that performance measurement elements and expected results be clarified in a participatory and collaborative manner with stakeholders. This process will provide an opportunity for capacity building and enhancement of management, monitoring and reporting. Moreover, the relevance of this recommendation lies in ensuring that Parties and the SEM are able to draw on the ECP information for the purposes established in Chapter 17.
- ◆ However, the cooperation would benefit from the establishment of a more formal mechanism of coordination among coordinating units, beyond these conference calls. For instance, a thematic inter-agency committee could be created among coordinating units to review progress of the ECP and discuss next steps as implementation moves forward.
- ◆ There is a need to enhance capacity for monitoring in each country to help ensure that those who may subsequently report on indicators to the regional level, for consolidation and harmonization between countries, can do so in an improved (and more results-based) manner.

Effectiveness

- ◆ Projects and activities should be formulated based on the principle of promoting linkages between trade and environment. These links are seen in projects such as those related to changing production practices, promoting access to environmental technologies, sustainable tourism practices, performance of industries due to the use of environmentally friendly technologies or the adoption of environmental management practices linked with the more efficient use of resources.
- ◆ Programs should attempt to build on elements of each other. There are some links between the activities of some projects, but this needs to be reinforced in order to facilitate the achievement of the goals. For instance, there are some links on theme A and theme D on solid waste management and the BORSICCA initiative. However, there are many activities being implemented in the different programs that need to be more coherent to achieve the outcomes established by the countries. Activities should work together and build on each other.
- ◆ Public participation should be cross-cutting element in the formulation and implementation of all projects and activities. The approach should be decided depending on the nature and circumstance of each project.
- ◆ To promote effective public participation, implementers should consider the development of indicators to measure impact and results of public participation building based on existing principles adopted by the region.



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- ◆ Also, many of the projects include a component for public awareness through radio and TV spots, dissemination of information – billboards, publications, brochures, flyers, stickers, display windows in airports and other public buildings, – among other activities. POCs and other stakeholders agree that these initiatives have been providing good results and would like to see more funds allocated to this component, which also helps promote the environmental cooperation under the CAFTA-DR, in general. These elements should be considered when developing a communication strategy for a more efficient environmental cooperation. While the importance of awareness campaigns is not argued, the value added of these types of activities for the achievement of the goals must be examined so as to determine if financing these activities through other mechanisms or in collaboration with other development agencies will be more effective, particularly in facing the current financial crisis.
- ◆ To really strengthen institutions training should cover all educational levels. Environmental studies should be introduced in schools and universities so that future expertise is nurtured. In-service training for both professional staff and technicians is equally important. Local expertise, for both the public and private sectors, must be developed through adequately funded training and technology transfer programs.
- ◆ The identification of the key stakeholders is fundamental toward achieving success in the efforts for building institutional capacity for effective enforcement of environmental laws.
- ◆ Cooperation activities need to move towards new forms of cooperation that are not simply based on assistance. There have been many knowledge-transfer related activities that CAFTA-DR countries understand and recognize as necessary, but which heretofore have not been sufficient enough to improve their environmental institutional capacity. In this regard, it is recommended that mechanisms that “support” national decision-makers be identified within the planning and management process.

Sustainability

- ◆ POCs should develop strategies for alternative funding with donors as well as international financial institutions to ensure the sustainability of projects and achieve the long term goals of the cooperation.
- ◆ It is not only important to achieve the envisioned results of the environmental cooperation but to showcase these results, the lessons learned and best practices. Hence branding of the cooperation should be a priority to ensure that all engaged stakeholders in CAFTA-DR cooperation are aware of the sources of funding.
- ◆ Sustainability of projects could be achieved by promoting further participation of small and local CSOs and universities, and thus ensuring that thorough public participation and knowledge remains in country.
- ◆ Partnerships with international and regional institutions with a trajectory on the issues addressed through the cooperation should be sought as a potential contribution to sustainability.
- ◆ All bilateral and regional cooperation activities should be designed and managed with the aim of achieving sustainability of benefits.
- ◆ Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable.
- ◆ Once funding is completed and in order to ensure the benefits obtained from the sustainable implementation of activities and programs, stakeholders must provide appropriate level of support according to their capacities and availability of resources. However, the cooperation program may need to provide some supplementary financial support or technical assistance to consolidate achievements and ensure sustainability.



VI. FINAL CONCLUSIONS

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- ◆ Capacity building in trade and environment related issues is not an easy task; as such cooperation involves different activities with varying levels of difficulty. According to the OECD, the least challenging sort of cooperation is the sharing of environmental expertise, followed by cooperation on environmental issues of regional interests. The most demanding type of cooperation is the coordination of environmental policies. Environmental cooperation activities under the CAFTA-DR ECA can be placed under each one of the three categories mentioned above; therefore, it is not surprising that a program of this magnitude will confront challenges during its implementation phase.
- ◆ Assistance must be demand-driven. Environmental capacity building can not be forced on a reluctant Party and must be suited to its needs and priorities.
- ◆ Cooperation efforts, of any kind, can only work if adequate financial resources are available and the scope and priorities are clear. Any effort towards institutional strengthening capabilities will not provide substantial results without political will, transparency and resources.
- ◆ Activities implemented by different implementers need to be coordinated and a better communication strategy must be in place to avoid duplication efforts and capitalize on resources.
- ◆ The long history of cooperation and the strong presence of agencies, such as USAID and CCAD in the region, are factors that have encouraged interaction between implementers, POCs and national institutions, but have also been a source of controversy given the heavy burden placed on a single political body, such as CCAD.
- ◆ Stakeholders must keep in mind that the success of the environmental cooperation is at the program level and not a project level.
- ◆ An ongoing assessment of the program can contribute to the effective implementation of the environmental cooperation and facilitate the achievement of the established goals.
- ◆ In addition to the environmental and economic benefits derived from this type of cooperation, there are also social benefits, for instance through the establishment of organized public participation mechanisms for the decision-making process, particularly at the national level. Moreover, this type of cooperation promotes a culture of rights and responsibilities that has direct positive impacts in the livelihoods of the population.
- ◆ The sustainability of projects and programs is a factor that requires the immediate attention of the Parties. Countries must start devising strategies and identifying alternative funding to continue working towards the protection, improvement and conservation of the environment in order to advance current efforts under the ECA.
- ◆ For a variety of reasons previously discussed throughout this report, a full-fledged and complete monitoring process can not yet be developed. Key challenges will need to be addressed, and key agreements will need to be reached as the OAS-DSD engages with countries in the development of such a process.
- ◆ The qualitative observations presented in this report provide some insight on the status of the cooperation. However, in order to measure achievement towards the goals established by the countries, and achieve the full potential of the ECA-related cooperation, it is necessary to develop simple and reliable monitoring and evaluation system based on performance indicators.
- ◆ Given the challenges posed by trade liberalization to the region's sustainable development agenda and the complex interaction between domestic institutions and laws and regulations linked to the environmental provisions contained in the CAFTA-DR, the complementary regional agenda on environmental cooperation is both timely and relevant.
- ◆ The importance of free trade to improve environmental and economic conditions of the region is evident. Agriculture is one of the main economic sectors of the region that will benefit from FTAs – and particularly with CAFTA-DR – since the U.S. is the main importer of the region's agricultural products. Also, a strong regulatory framework will attract foreign investment and will help to increase exports of the region's products to foreign markets. These arguments should encourage CAFTA-DR Parties to continue promoting and supporting the implementation of the environmental cooperation under CAFTA-DR's ECA beyond 2010.



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ANNEX I

QUESTIONNAIRE FOR INTERVIEWS

RELEVANCE

1. How were the needs of the identification process targeted within the program and the projects?
2. To what extent do the programs and projects designed respond to the countries' needs?
3. Have countries' priorities changed since the definition of the program and its activities? If so, how have the cooperation activities been adapted to these changes?
4. Has the cooperation agenda changed during the implementation process? If so, please explain those changes.
5. Has the Road Map served as a guide in the implementation process? If so, how?

EFFICIENCY

Assess the timeliness in the achievement of the objectives.

1. To what extent was the design and planning environmental cooperation programs-projects delivered within the pre-established time-frame?
2. To what extent was the time-frame for producing outputs and achieving results feasible, considering countries' institutional capacities and context?

Identify the stakeholders involved in the implementation of the cooperation agenda, along with their corresponding expertise and area(s) of responsibility.

3. Who is responsible for coordinating the CAFTA-DR environmental cooperation agenda?
4. Which office and which individuals within national institutions are responsible for coordinating projects and/or activities related to the CAFTA-DR environmental cooperation agenda?
5. Please identify implementers and the respective person(s) coordinating activities (by implementer).

Understand how stakeholders have been working collectively to achieve programmatic area goals (specifically seeking to identify the main elements associated with coordination and communication and other such challenges)

6. Please describe the coordination, communication and shared responsibility between points of contact and personnel from national institutions.
7. Please describe the coordination, communication and shared responsibility between points of contact and the implementers' coordinators.
8. Please describe the coordination, communication and shared responsibility between points of contacts in each country.
9. Has there been coordination among implementers under the environmental cooperation agenda?
10. How frequently is media used by POCs to establish communications with personnel from national institution involved in the environmental cooperation process?



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11. Has the cooperation and communication improved in the last year?
12. How frequently is media used by POCs to establish communications with the implementers' coordinators?
13. Is the CAFTA-DR website useful? Please explain.
14. Is the CAFTA-DR website updated with relevant and useful information?

POCs/Implementers: Is there a formal follow-up, evaluation and monitoring system for projects and activities under the environmental cooperation agenda? If so,

1. Does the system take into account objectives, indicators, impact, etc.?
2. Who is responsible for the monitoring and evaluation process?
3. Have the evaluation results been communicated to stakeholders involved in the cooperation agenda, and have results been considered to improve the implementation process?

EFFECTIVENESS

Assess the consistency of activities with the goals of the program based on concrete results and good implementation practices.

1. Please identify how many projects are being implemented within the environmental CAFTA-DR cooperation agenda in your country.
2. Please identify how many projects are being implemented in each programmatic area.
3. How has the program and project design process contributed to the achievement of the development outcomes? Explain.
4. Identify the possible challenges and limitations hindering the achievement of the goals.
5. Please identify elements in the cooperation process and implementation that need to be improved upon.
6. Please provide recommendations regarding improvements. Explain your rationale.
7. Please identify the main challenges faced in the cooperation process and in the implementation of the environmental cooperation agenda.

Examine the level of public participation in the implementation of activities.

1. To what extent has public participation been taken into account as part of the implementation process of the environmental cooperation agenda?

SUSTAINABILITY

1. Is there any strategy currently in place for the continuation of activities or projects being carried out by implementers in the countries?
2. Can you identify successful projects/activities under environmental cooperation agenda? If so, please explain how.



ANNEX II

LIST OF INTERVIEWED STAKEHOLDERS

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Name	Institution	Position
EL SALVADOR		
USAID		
John Garrison	USAID El Salvador	Former Regional Coordinator
Lawrence Rubey	USAID El Salvador	Director Economic Growth Office
Carlos Hasbún	USAID El Salvador	Regional Biodiversity Specialist
Orlando Altamirano	USAID El Salvador	Regional Environment Specialist
Rubén Aleman	USAID El Salvador	CAFTA Environmental Specialist
USAID-CCAD		
Ricardo Aguilar	Cooperative Agreement USAID-CCAD	Chief of Party
Gabriela Cordoba	Cooperative Agreement USAID-CCAD	Cleaner Production and Environmental Management Specialist
Judith Panameño	Cooperative Agreement USAID-CCAD	Assistant Cooperative Agreement USAID-CCAD/EPA
Jazmin Coreas de Lainez	Cooperative Agreement USAID-CCAD	Technical/Administrative Assistant
Bruno Busto Brol **	Cooperative Agreement USAID-CCAD	Former CITES Specialist
Rafael Guillen	Cooperative Agreement USAID-CCAD	Technical Assistant
Gandhi Montoya	Cooperative Agreement USAID-CCAD	Communications Specialist
Salvador Nieto	Cooperative Agreement USAID-CCAD	Coordinator, Judicial Training Program
Points of Contact		
Violeta Lardé **	Ministry of Environment and Natural Resources	Former Director for International Cooperation and Projects
José Rodolfo Villamariona	Ministry of Economy	Advisor, CAFTA-DR Office
National institutions		
Herman Rosas Chávez	Ministry of Environment and Natural Resources	Minister
Salvador Rivas	Ministry of Economy	Advisor, Energy Division
Cleaner Productions Center		
Yolanda Salazar de Tobar		Executive Director
World Environment Center (WEC)		
Ernesto Samayoa	WEC	Latin America Operations Director
Environmental and Labor Excellence Program for CAFTA-DR		
Carlos Arze	ELE Program	Deputy Director and Coordinator – Improved Private Sector Environmental Performance
Walter Jokish	ELE Program	Coordinator – Strengthening Environmental Management
Claudia P. Pinto	ELE Program	Operations and Finance Manager
Pedro Martínez Cardona	ELE Program	Coordinator – Labor and Environmental Standards
US Embassy		
Alexander Gazis	U.S. Embassy	Assistant Secretary for Economic Affairs
Edgar Escalante	U.S. Embassy	Economic Specialist



LIST OF INTERVIEWED STAKEHOLDERS (cont'd)

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Name	Institution	Position
GUATEMALA		
USAID		
Rick Garland	USAID Guatemala	Director, trade and environment
Teresa Robles	USAID Guatemala	Policy Advisor of Land and Natural Resources
USAID-CCAD		
Olga Centeno	Cooperative Agreement USAID-CCAD	Administrative Assistant
Ligia Vargas**	Cooperative Agreement USAID-CCAD	Former Administrative Assistant
Lilian Monterroso **	Cooperative Agreement USAID-CCAD	Former Administrative Assistant
Points of Contact		
Carlos Abel Noriega Velásquez	Ministry of Environment and Natural Resources	Advisor
Ileana Palma	Ministry of Economy	Advisor
National Institutions		
Otoniel Chacon	National Council for Protected Areas	Chief, Flora Division
Mygdalia Garcia	National Council for Protected Areas	Chief, Imports and Exports
Maria Amalia Porta	Guatemalan Cleaner Production Center	Executive Director
Alma Gladys Cordero	Ministry of Environment and Natural Resources	Director, International Relations and Cooperation Division
Ana Beatriz Tello	Ministry of Environment and Natural Resources	Director, General Division for Law Enforcement
Deisy Pop	Ministry of Environment and Natural Resources	Advisor
Jackson Parada	Judicial School	Director
Alejandra Sonbes	Ministry of Environment and Natural Resources	Vice-Minister, Natural Resources
Cleaner Productions Center- Guatemala		
Luiz Muñoz	Cleaner Productions Center	Executive Director
Maria Amalia Porta**	Cleaner Productions Center	Former Executive Director
SEM		
Jorge Guzmán	SEM CAFTA-DR	General Coordinator
Mario René Mancilla	SEM CAFTA-DR	Technical Assistant
Rainforest Alliance		
Alejandra Colom	RA	Deputy Director RA/USAID Project
Counterpart International		
Ronald Mejía	CPI	Deputy Director CPI/USAID Project
HONDURAS		
USAID		
Todd Hammer	USAID Honduras	Deputy Director, Trade, Environment and Agriculture Office
Eduardo Chirinos	USAID Honduras	
MIRA		
Orlando Sierra	USAID/MIRA	General Coordinator, CAFTA-DR Projects
Maritza Orellamana C.	USAID/MIRA	Communications Specialist
Jose Herrero	USAID/MIRA	North Region - Director
Points of Contact (Honduras)		
Karen Sierra	Secretary of Natural Resources and the Environment	Trade and Environment Unit, Director
Rolando Zúñiga	Secretary of Industry and Trade	Trade Negotiator, Sustainable Development



LIST OF INTERVIEWED STAKEHOLDERS (cont'd)

Name	Institution	Position
National Institutions		
Cesar Flores	Secretary of Natural Resources and the Environment	Environmental Management Office
Daysi Samayoa	National Institute of Forest Conservation	CITES Specialist
Carla Carcamo	National Institute of Forest Conservation	CITES Specialist
NICARAGUA		
Points of Contact		
Cristian Martinez Morales	Ministry of Development, Industry and Trade	Director, Trade Negotiations Division
René Castellón	Ministry of the Environment and Natural Resources	CITES Administrative Authority Biodiversity Division
National Institutions		
Maria Ines Barrios	Ministry of the Environment and Natural Resources	Administrative Assistant CCAD
USAID		
Timothy O'hare	USAID Nicaragua	Senior Economist
Angela Cardenas	USAID Nicaragua	Private Enterprise Offices
Stephen Fondriest	USAID Nicaragua	Agricultural Development Officer
US Embassy		
Ed Findlay	US Embassy	Foreign Service Officer
Mesoamerica Ecotourism Alliance (MEA)		
Mark Willuhn	MEA	Executive Director
Paso Pacífico		
Liza González	Paso Pacífico	Nicaraguan Program Director
Sarah Otterstrom	Paso Pacífico	Executive Director
COSTA RICA		
Points of Contact		
Alejandra Aguilar	Ministry of Foreign Trade (COMEX)	Environmental, Advisor
Ángela Sánchez	Ministry of Foreign Trade	Office of Trade Agreement Implementation
Rosdany Padilla	Ministry of Environment and Energy (MINAE)	Administrative Assistant
Uriel Zerón	Ministry of Environment and Energy (MINAE)	Administrative Assistant
National Institutions		
Victor Manuel Villalobos	SETENA	Environment and Natural Resources Specialist
María Guzman	Division, Management of Environmental Quality	Director
Alvaro Aguilar	National Center for Environmental Research	Director
Yamilet Mata	Environmental Tribunal	Vice President Environmental Tribunal
Alvaro Parras	CENIGA	
Esmeralda Vargas	CENIGA	Water Specialist
José Joaquín Calvo	National System of Conservation Areas (SINAC)-CITES	Coordinator
SIGMA ONE		
Rigoberto Stewart	Sigma One	Director

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Name	Institution	Position
U.S. Embassy		
Tim Lattimer	Environmental Hub for Central America and the Caribbean	Regional Environmental Officer for Central America & the Caribbean
Mark Kissel	US Embassy Costa Rica	Chief, Economic Affairs
Andrea Borrel**	Environmental Hub for Central America and the Caribbean	Former Environmental Analyst
Diego Acosta	Environmental Hub for Central America and the Caribbean	Environmental Analyst
DOMINICAN REPUBLIC		
Points of Contact		
Rosa Otero	National Secretariat for Natural Resources and Environment	Trade and Environment Director
Ariel Gautreaux Guzmán	National Secretariat for Industry and Trade	Administrative Assistant
National Institutions		
Ernesto Reyna	National Secretariat for Natural Resources and Environment	Deputy Secretary Environmental Management
Lina Baguette	National Secretariat for Natural Resources and Environment	EIA, Director
Glagys Rosado	National Secretariat for Natural Resources and Environment	Director, Environmental Quality
José Rafael Almonte	National Secretariat for Natural Resources and Environment	Director, Office of Planning
Pablo Medina	National Secretariat for Natural Resources and Environment	Trade and Environment Assistant
USAID		
Duty Greene	USAID	Team Leader, Economic Growth
Odalís Pérez	Management of Environmental Quality Division	Mission Environmental Officer
The Nature Conservancy		
Nestor Sánchez	Governmental relations	Director
Indhira de Jesús	Environmental Protection Program	Director
Environmental and Labor Excellence for CAFTA-DR		
Carlos Peterson	ELE Program	National Coordinator
IRG		
Miguel Silva	IRG	Director
PANAMA		
CATHALAC		
Francisco Delgado	SERVIR	Manager- Information Technology & Communication Division
Africa Flores	SERVIR	Research Scientist
WASHINGTON, D.C.		
U.S. Department of the Interior		
Ari Hershowitz	U.S. Department of the Interior, International Affairs	Former International Technical Assistance Program
Barbara Pitkin	U.S. Department of the Interior	Int'l. Project Manager
Cynthia Perera	U.S. Department of the Interior, International Affairs	Int'l. Project Manager

LIST OF INTERVIEWED STAKEHOLDERS (*cont'd*)

Name	Institution	Position
Humane Society International		
Marta Prado	Humane Society International	Executive Director International Trade and Development
Jennifer Dinsmore	Humane Society International- Latin America	Regional Director
Cynthia Dent	Humane Society International- Latin America	Program Manager, Trade Capacity Building
Wildlife Conservation Society*		
Kathy Marieb	Wildlife Conservation Society	Jaguar Corridor Specialist
U.S. Forest Service		
David M. Perez**	U.S. Forest Service	Former Program Assistant, Latin America & Caribbean
Dana Roth	U.S. Forest Service	Latin America Technical Specialist
TRAFFIC		
Adrian Reuter	TRAFFIC North America	National Representative Mexico Office
U.S. Department of State		
Robert Wing	Office of Environmental Policy – Bureau of Oceans and International Environmental and Scientific Affairs	Chief, Environment and Trade Division
Carmen Yee Batista**	Office of Environmental Policy – Bureau of Oceans and International Environmental and Scientific Affairs	Former Foreign Affairs Officer
Aaron Spencer	Office of Environmental Policy – Bureau of Oceans and International Environmental and Scientific Affairs	Institutional Development Advisor CAFTA-DR Program
Rachel Kastenberg**	Office of Environmental Policy – Bureau of Oceans and International Environmental and Scientific Affairs	Former Foreign Affairs Officer
Lindsay Abby	Office of Environmental Policy	Foreign Affairs Officer
USTR*		
Mara M. Burr	U.S. Trade Representative for Environment and Natural Resources	Deputy Assistant
EPA*		
Orlando González	Office of International Affairs	International Environmental Program Specialist
Cam Hill-Macon	Office of International Affairs – Latin America and Caribbean Programs	Senior Advisor
SIGMA ONE		
Diane Eames	Sigma One	Project Manager
USAID		
Peter Keller	USAID	Biodiversity Advisor
NOAA		
Nancy Daves	DOC/NOAA	Senior Fisheries Officer
Alexis Gutierrez	NOAA	Special Advisor
International Institute of Tropical Forestry, USDA Forest Service (Puerto Rico)		
Jerry Bauer	International Institute of Tropical Forestry	Assistant Director International Cooperation

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* *These interviewees were not given the questionnaire used during the interviews conducted in Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua.*

** *Interviewed during tenure of the incumbent in the listed position.*



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ANNEX III

LIST OF GOVERNMENT POINTS OF CONTACT

COSTA RICA

- ◆ Rubén Muñoz (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) – State Secretariat for Environment and Natural Resources (Secretaría de Estado de Medio Ambiente y Recursos Naturales, SEMARENA)
- ◆ Ariel Gautreaux Guzmán (Trade) – State Secretariat for Industry and Trade (Secretaría de Estado de Industria y Comercio, SEIC)

EL SALVADOR

- ◆ Salvador Nieto (Environment) – Ministry of Environment and Natural Resources (Ministerio de Medio Ambiente y Recursos Naturales, MARN)
- ◆ Rodolfo Villamairona (Trade) – Ministry of Economy (Ministerio de Economía, MINEC)

GUATEMALA

- ◆ Carlos Noriega (Environment) – Ministry of Environment and Natural Resources (Ministerio de Ambiente y Recursos Naturales, MARN)
- ◆ Ileana Palma (Trade) – Ministry of Economy (Ministerio de Economía, MINECO)

HONDURAS

- ◆ Karen Sierra (Environment) – Secretariat for Natural Resources and Environment (Secretaría de Recursos Naturales y Ambiente, SERNA)
- ◆ Rolando Zúñiga (Trade) – Secretariat of Industry and Trade (Secretaría de Industria y Comercio, SIC)

NICARAGUA

- ◆ René Castellón (Environment) – Ministry of Environment and Natural Resources (Ministerio del Ambiente y los Recursos Naturales, MARENA)
- ◆ Cristian Roberto Martínez Morales (Trade) – Ministry of Development, Industry and Trade (Ministerio de Fomento, Industria y Comercio, MIFIC)

UNITED STATES

- ◆ Rob Wing (Environment) - U.S. Department of State, Bureau of Oceans, and International Environmental and Scientific Affairs, Office of Environmental Policy (DOS/OES)
- ◆ Russell Smith (Trade) - Office of the United States Trade Representative (USTR)



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ANNEX IV

LIST OF IMPLEMENTERS BY PROGRAMMATIC AREA

MANAGING AGENCY: DOS/OES

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



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LIST OF IMPLEMENTERS BY PROGRAMMATIC AREA

MANAGING 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, NASA, CATHALAC, IRG, CCAD, MIRA, Chemonics, Abt
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, 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
Public Involvement in Environmental Decision-Making	
Theme B. Biodiversity and Conservation	
Convention on International Trade in Endangered Species Forest, Protected Area, and Sensitive Ecosystem Management	Rainforest Alliance, Counterpart International, IRG, CCAD, DOI, USFS, IITF
Theme C. Market-Based Conservation	
Ecotourism	WWF, IRG, Development Alternatives, CCAD, USFS, IITF, DOI, NOAA, EGAT
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	



A N N E X V

L I S T O F A C T I V I T I E S P E R C O U N T R Y

COSTA RICA

THE DOMINICAN REPUBLIC

EL SALVADOR

GUATEMALA

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COSTA RICA

Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Main Goal: To strengthen institutions for effective implementation and enforcement of environmental laws
Purpose: Strengthen environmental institutions, laws and policies, promote the effective 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 A.1

To strengthen government institutions for effective implementation and enforcement of environmental laws, regulation and policies

Purpose: Strengthen EIA capabilities
Outcome #1: Strengthened EIA capabilities

OUTPUTS

- 1.1 Environmental Impact Assessment (EIA) sector guidelines is used for reviewing EIAs from the commercial mining, tourism and energy sectors
- 1.2 Model procedures for preparing and reviewing EIAs are incorporated into the mining, agricultural, industrial, hydroelectric, and constructions sectors
- 1.3 Enforceable requirements to regularly monitor and report on releases to the environment are included in environmental permits
- 1.4 Improved government review time for EIAs from enterprises in the commercial mining, tourism, and energy sector
- 1.5 Improved backlog of EIAs awaiting review from enterprises in these sectors

ACTIVITIES

	Implementing Agency	Managing Agency
1. Held two coordination meetings with EIA directors	EPA	E-CAM
2. Translated and published EIA course manuals.	CCAD	E-CAM
3. Completed 3 scoping missions to explain EIA programs.	EPA/CCAD	E-CAM
4. Conducted 4 courses on principles of EIA review, attended by a total of 140 technicians.	EPA	E-CAM
5. Organized logistics for 4 EIA courses, attended by 140 technicians and environmental authorities.	CCAD/EPA	E-CAM
6. Follow-up scoping mission	EPA	E-CAM

Purpose: Strengthened laws, regulations, policies and procedures in wastewater management
Outcome #2: Wastewater management is improved



Costa Rica

(continued)

OUTPUTS		
2.1 The model for wastewater management regulation that the CAFTA-DR governments endorsed in 2005 is implemented in national environmental laws		
2.2 Best practices are implemented in wastewater treatment facilities, as described in the manual, "Appropriate Sustainable Wastewater Treatment Systems"		
2.3 Improved parameters concerning the number of facilities reporting on wastewater discharge		
ACTIVITIES		
1. Wastewater Regulatory Model adopted.	EPA	E-CAM
2. Supported implementation of a standard model.	EPA	E-CAM
3. Training course conducted on inspection of wastewater discharges and donation of sampling equipment	EPA	E-CAM
4. Second and final round of meetings/consultations with representatives of the Health and Environment Ministries and agencies/institutions that deal with the enforcement of wastewater regulations to follow-up on the development of database of dischargers and development of program to issue permits	EPA	E-CAM
5. ASWTS Manual finalized and available for distribution to all CAFTA-DR countries (regional)	EPA	E-CAM
6. Regional standard workshop on requirements for ISO 17025 Laboratory accreditation for environmental laboratories in CAFTA-DR countries	EPA	E-CAM
Purpose: Promote solid waste regional management policy and strategy at national and municipal levels		
Outcome #3: Solid waste management is improved		
OUTPUTS		
3.1 The regional solid waste policy framework is implemented at the municipal level		
3.2 CAFTA-DR governments have established Regional Solid Waste Management Exchange units		
ACTIVITIES		
1. Completed proposal for Solid Waste Management Policy and Strategy.	CCAD/EPA	E-CAM

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Costa Rica *(continued)*

Purpose: Assist governments and industry associations in strengthening procedures for the sound management of chemicals, hazardous substances and wastes
 Outcome #4: Chemical and hazardous substances management is improved

OUTPUTS

- 4.1 Practices of safe chemical management are adopted and used by Costa Rican governments' officials at all levels
- 4.2 Enhanced capacity of government officials to handle inventory of products and wastes containing mercury and the uses of mercury
- 4.3 A Regional Pollutant Release and Transfer Registry (PRTR) Work Plan according to United Nations Institute for Training and Research (UNITAR) guidelines is adopted and used by Costa Rica

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
1. With officials of the Regional Technical Committee on Chemical Safety, reviewed national efforts to implement SAICM and developed an approach for a regional strategy.	EPA	E-CAM
2. Adopted demonstrations project focusing on a search for alternatives for final disposal and treatment of chemical substances.	CCAD/EPA	E-CAM
3. Considered demonstration projects suggested by each country for safe handling of mercury; selected projects from Honduras and Costa Rica.	EPA	E-CAM
4. Completed mercury safe handling project in CR.		
5. Adopted regional PRTR work plan using UNITAR recommendations.	EPA/CCAD	E-CAM
6. Completed a regional analysis in preparation of PRTR work plan implementation (EPA - 2 countries, CCAD - 4 countries).	EPA/CCAD	E-CAM
7. Created national committees to oversee PRTR program.	CCAD	E-CAM
8. Conducted 1 training workshop (2008), with 50 participants, on safe handling and response to uncontrolled releases of chemicals (2 more workshops to be conducted).	EPA	CCAD

Purpose: Strengthen institutional capacity for air quality management
 Outcome #5: Air quality management is enhanced

OUTPUTS

- 5.1 More stringent and harmonized air quality/ fuel emissions standards are used



Costa Rica

(continued)

5.2 Air quality information is regularly published through SERVIR

ACTIVITIES	Implementing Agency	Managing Agency
1. Conducted scoping missions to region to determine human resource capacity and equipment conditions in air quality.	EPA	E-CAM
2. Held an Air Quality Management and Remote Satellite Sensing in Panama City (SERVIR Platform - CATHALAC).	EPA	E-CAM
3. Completed technical air quality monitoring visits.	EPA	E-CAM
4. Strengthened capacities of countries for inventories on air pollution.	EPA	E-CAM
5. Completed refurbishment of PM10 equipment for two air quality monitoring stations.	EPA	E-CAM

Purpose: Develop government capacity to efficiently process and evaluate requests for environmental impact evaluations from public and private entities, and ensure implementation of appropriate mitigation measures
 Outcome #6: Administrative procedures for filing environmental complaints are improved

OUTPUTS

6.1 Enhanced capacity to use an administrative procedure for filing and reviewing environmental claims
 6.2 Enhanced criteria for resolving claims in an administrative tribunal

ACTIVITIES	Implementing Agency	Managing Agency
1. Identified specific needs by country.		E-CAM
2. Developed regional model for harmonizing administrative procedures.		E-CAM
3. Validated a Guide for the Implementation of Voluntary Agreements for Cleaner Production, which is now in use.		E-CAM
4. Conducted an accreditation roundtable, attended by 275 people; also provided training in ISO/IEC 17024 Regulations.		E-CAM
5. Completed National Integrated System for Environmental Management Certification and Registration.		E-CAM

Additional outputs

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Costa Rica *(continued)*

OUTPUTS		
7.1 In accordance with the National Environmental Law, environmental ordinance is adopted and implemented by municipal government		
7.2 A law on civil and criminal responsibility for environmental damages is adopted, as well as on methodologies for assessing environmental damages		
ACTIVITIES	Implementing Agency	Managing Agency
<i>No activities reported</i>		
Sub Goal A.2 <i>To strengthen government institutions for effective enforcement of environmental laws</i>		
Purpose: Improve enforcement of environmental laws through training, coordination and technical assistance, especially in the area of customs		
Outcome #1: Environmental law enforcement and tracking and resolution of cases is improved		
OUTPUTS		
1.1 Improved environmental curriculum of universities and other institutions of higher learning (including law schools)		
1.2 Adopted and implemented environmental compliance and enforcement indicators by government institutions to better measure the effectiveness of enforcement and compliance programs		
1.3 Increased capacity of the judicial system to resolve civil and criminal environmental cases		
1.4 Improved import-export control of trade covered by MEAs		
ACTIVITIES	Implementing Agency	Managing Agency
1. Translated survey course into Spanish.	EPA	E-CAM
OUTPUTS		
Purpose: Improve coordination of officials responsible for enforcing laws ensuring the sustainability of fisheries		
Outcome #2: Fisheries regulation and law enforcement is improved		
ACTIVITIES		
2.1 With coordinating assistance from OSPESCA, capacity to assess institutional and legal frameworks for managing fisheries, with particular attention paid to monitoring, control and surveillance (MCS) strengths, weaknesses and gaps is enhanced		
ACTIVITIES	Implementing Agency	Managing Agency



Costa Rica

(continued)

<i>No activities reported</i>		
Sub Goal A.3		
<i>To increase public participation and transparency to support informed decision-making</i>		
Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development		
Outcome #1: More quality environmental information is accessible for the population		
OUTPUTS		
1.1 Improved procedures and protocols for accurately measuring environmental data and quality in accordance with international standards		
1.2 Improved environmental data collection methods to increase available information on the Mesoamerican Environmental Information System (SIAM) and link it to SERVIR		
ACTIVITIES	Implementing Agency	Managing Agency
1. Trained 40 people in the use of SERVIR.	NASA	E-CAM
2. Registered 109 new users in SERVIR's information portal.	NASA	E-CAM
3. Received and reviewed proposals for pilot projects; 1 in CR (16 in total).	NASA	E-CAM
4. Completed Regional Model for Registration and Certification of Environmental Service Providers.		E-CAM
5. Delivered EMS training to 10 local consultants.		E-CAM
6. Supported CR in design, development, and implementation of MINAE official CAFTA-DR website.	CCAD	E-CAM
Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development		
Outcome #2: Public Involvement in Environmental Decision-Making is improved		
OUTPUTS		
2.1 Enhanced capacity for government institutions to receive and process and respond to public complaints about violations of environmental laws.		
2.3 Civilians and members of civil society organizations are involved in environmental decision-making and enforcement		
ACTIVITIES	Implementing Agency	Managing Agency
1. Conducted 2-day Environmental Congress in schools and presented awards for winning projects; 358 participants.	NGO	OES

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Costa Rica *(continued)*

Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Main Goal: To strengthen institutions for effective implementation and enforcement of environmental laws
 Purpose: Strengthen environmental institutions, laws and policies, promote the effective 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 A.1
To strengthen government institutions for effective implementation and enforcement of environmental laws, regulation and policies

Purpose: Strengthen EIA capabilities
 Outcome #1: Strengthened EIA capabilities

OUTPUTS

- 1.1 Environmental Impact Assessment (EIA) sector guidelines is used for reviewing EIAs from the commercial mining, tourism and energy sectors
- 1.2 Model procedures for preparing and reviewing EIAs are incorporated into the mining, agricultural, industrial, hydroelectric, and constructions sectors
- 1.3 Enforceable requirements to regularly monitor and report on releases to the environment are included in environmental permits
- 1.4 Improved government review time for EIAs from enterprises in the commercial mining, tourism, and energy sector
- 1.5 Improved backlog of EIAs awaiting review from enterprises in these sectors

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
1. Held two coordination meetings with EIA directors	EPA	E-CAM
2. Translated and published EIA course manuals.	CCAD	E-CAM
3. Completed 3 scoping missions to explain EIA programs.	EPA/CCAD	E-CAM
4. Conducted 4 courses on principles of EIA review, attended by a total of 140 technicians.	EPA	E-CAM
5. Organized logistics for 4 EIA courses, attended by 140 technicians and environmental authorities.	CCAD/EPA	E-CAM
6. Follow-up scoping mission	EPA	E-CAM

Purpose: Strengthened laws, regulations, policies and procedures in wastewater management
 Outcome #2: Wastewater management is improved



Costa Rica

(continued)

9. Issued 7 MOUs with NGOs to initiate events, media ads and materials for public education on endangered species conservation.	HSI	OES
Purpose: Promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging Outcome #2: Improved forest, protected area and sensitive ecosystem management		
OUTPUTS		
2.1 Improved capacities to enforce its laws related to forests and protected areas		
2.2 Improved environmental management in existing protected areas, watersheds, buffer zones, and environmental corridors		
ACTIVITIES		
1. Created listings of frequently commercialized wildlife in a publication for use by enforcement entities.	CCAD	E-CAM
2. Conducted regional rescue center best practices workshop for 24 NGOs and government representatives; distributed 330 manuals/brochures; funded 6 NGO grants to improve wildlife rescue facilities.	HSI	OES
3. Supported bird monitoring and conservation efforts at <i>Tortuguero</i> National Park.	FS	
Purpose: Improve compliance with requirements and promote adoption of best practices to reduce accidental by-catch of endangered sea turtles Outcome #3: Improved sea turtle conservation		
OUTPUTS		
3.1 Enhanced capacities to mitigate and reduce sea turtle by-catch and post-hooking mortality		
3.2 Established observer program to help ensure that vessels are properly using TEDs and circle hooks and complete experimental fishing trips		
ACTIVITIES		
1. Conducted needs assessments for 6 ecotourism sites; awarded 8 NGO grants for infrastructure, promotion and training.	HSI	OES
2. Disbursed 6 grants for infrastructure and 6 for printed tourism materials for ecotourism providers.	HSI	OES
Theme C. Market-based Conservation		
Main Goal: To implement a market based conservation system Purpose: Maintain natural resources base and protect the environment to support sustained economic growth		

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Purpose: Support economic growth projects in sustainable agriculture and tourism that promote conservation and generate income for surrounding communities
 Outcome #1: Improved management and conservation of the environment through ecotourism, environmental friendly agricultural and forest product commercialization practices and organically certified crop production

OUTPUTS

- 1.1 Enhanced comprehension of families, community leaders, or guides who live in or around protected and buffer zones, biosphere reserves and local biological corridors that eco-tourism and sustainable agriculture and forestry production can be economically profitable
- 1.2 Trainers have enhanced capacities of small and medium-sized business owners and protected area managers to implement effective marketing strategies to increase access to markets for sustainably and environmentally produced biodiversity-related, agricultural, and forest products and eco-tourism services.
- 1.3 Improved management of conservations areas that are part of the National System of Conservation Areas.
- 1.4 Strengthened strategies or policies that promote sustainable tourism practices
- 1.5 More environmental friendly farming practices and increased market shares for, and income from their quality products.
- 1.6 Increased amount of arable land that supports organically certified crops and where farmers are implementing environmental management best practices.

ACTIVITIES

	Implementing Agency	Managing Agency



Costa Rica

(continued)

1. Certified 5000 new hectares under Rainforest Alliance Certification, for a total of more than 89,000 ha to date. RA OES
2. Drafted the Farmer Self Assessment Guide to help farmers understand sustainable agriculture standards and assess their needs for improved farming techniques. RA OES
3. Implemented five 2-day workshops for 149 participants to improve the quality of cacao pods. HSI OES
4. Developed and distributed workshop materials to 149 participants directly, and 4000 producers indirectly. HSI OES
5. Trained 142 producers on the requirements of independent certification programs, including flora and fauna inventories. HSI OES
6. Distributed education and PR materials to over 200 cooperative and community centers and 4000 cacao producers. HSI OES
7. With partners in Costa Rica, Honduras and Nicaragua, FS is completing a biophysical and economic assessment of cacao landscapes. Recommendations will help small landowners optimize their management to maximize biodiversity conservation, income generation and carbon sequestration. FS

Theme D. Improved Private Sector Environmental Performance

Main Goal: To improve the private sector environmental performance

Purpose: Improve private sector environmental performance through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private partnerships and strengthened human and institutional capacity

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production

Outcome #1: Improved trade related environment policies and incentives

OUTPUTS

- 1.1 Enhanced national policy framework by incorporating the regional cleaner production policy/strategy and environmental management system guidelines
- 1.2 Augmented will of the private sector to enter in voluntary agreements with the government to improve environmental performance

ACTIVITIES

1. Facilitated functioning of Regional and National Inter-sectorial commissions.
2. Facilitated creation of regional Cleaner Production Award.
3. Facilitated initiation of Waste Commercialization System.

Implementing Agency	Managing Agency
HSI	OES
CCAD	USAID
CCAD	E-CAM

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4. Facilitated national policies for cleaner production.	CCAD	USAID
Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #2: Increased commitment of the private sector to environmental performance (Capacity and Information)		
OUTPUTS		
2.1 Cleaner production and energy efficiency practices and strategies adopted and used by business of the private sector		
2.2 Enhanced capacities of environmental experts to train, accredit and certify cleaner production		
ACTIVITIES		
1. Developed Environmental Management Systems (EMS) training materials.	EPA	E-CAM
2. Proposed technical standards for sectorial diagnostics in slaughterhouses.		
Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #3: Improved and context adapted public-private partnerships and voluntary agreements		
OUTPUTS		
3.1 Improved performance in voluntary approaches to cleaner production agreements in priority sectors: dairy products, pineapple production.		
3.2 Improved cleaner production finance systems.		
ACTIVITIES		
1. Facilitated Environmental Performance National Recognition System for companies.	EPA	USAID



DOMINICAN REPUBLIC

Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Main Goal: To strengthen institutions for effective implementation and enforcement of environmental laws
Purpose: Strengthen environmental institutions, laws and policies, promote the effective 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 A.1

To strengthen government institutions for effective implementation and enforcement of environmental laws, regulation and policies

Purpose: Strengthen EIA capabilities

Outcome #1: Strengthened EIA capabilities

OUTPUTS

- 1.1 Environmental Impact Assessment (EIA) sector guidelines is used for reviewing EIAs from the commercial mining, tourism and energy sectors
- 1.2 Conduct at least six trainings for more than 40 government officials and representatives from the private sector on “Principles for EIA Review.”
- 1.3 Improved backlog of EIAs awaiting review from enterprises in these sectors

ACTIVITIES

	Implementing Agency	Managing Agency
1. Held two coordination meetings with EIA directors	EPA	E-CAM
2. Translated and published EIA course manuals.	CCAD	E-CAM
3. Completed 3 scoping missions to explain EIA programs.	EPA/CCAD	E-CAM
4. Conducted 4 courses on principles of EIA review, attended by a total of 140 technicians.	EPA	E-CAM
5. Organized logistics for 4 EIA courses, attended by 140 technicians and environmental authorities.	CCAD/EPA	E-CAM
6. Purchased a server and other electronic equipment for the re-designed National Environmental Information System.	IRG/EPA	USAID/DR
7. Designed procedures for the National Environmental Information System to support and improve the EIA review process.	IRG/EPA	USAID/DR
8. Assessed current situation of the National Environmental Information System, and proposed necessary modification for its improvements	IRG/EPA	USAID/DR
9. Provided technical assistance for drafting a general guideline for revision of EIAs for the tourism sector	IRG/EPA	USAID/DR
10. Provided technical assistance for drafting general terms of reference in the tourism, agriculture, manufacturing, energy and construction sectors.	IRG/EPA	USAID/DR

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11. Follow-up scoping mission	EPA	E-CAM
Purpose: Strengthened laws, regulations, policies and procedures in wastewater management Outcome #2: Wastewater management is improved		
OUTPUTS		
2.1 The model for wastewater management regulation that the CAFTA-DR governments endorsed in 2005 is implemented in national environmental laws		
2.2 Best practices are implemented in wastewater treatment facilities, as described in the manual, "Appropriate Sustainable Wastewater Treatment Systems"		
2.3 Improved parameters concerning the number of facilities reporting on wastewater discharge		
2.4 Develop a manual that describes best practices in wastewater treatment		
2.5 Work with at least five industrial facilities to implement best practices in wastewater treatment		
ACTIVITIES		
1. Wastewater Regulatory Model adopted.	EPA	E-CAM
2. Supported implementation of a standard model.	EPA	E-CAM
3. Completed assigned portion of final reviews and resolution of Groundwater Regulation.	IRG	USAID/DR
4. Second and final round of meetings/consultations with representatives of the Environment and Health Ministries and agencies/institutions that deal with enforcement of wastewater regulations to follow-up wastewater regulations implementation priorities agreed on First Round.	EPA	E-CAM
5. Training course on inspection of wastewater discharges and donation of sampling equipment	EPA	E-CAM
6. ASWTS Manual finalized and available for distribution to all CAFTA-DR countries (regional)	EPA	E-CAM
7. Regional standard workshop on requirements for ISO 17025 Laboratory accreditation for environmental laboratories in CAFTA-DR countries	EPA	E-CAM
Purpose: Promote solid waste regional management policy and strategy at national and municipal levels		
Outcome #3: Solid waste management is improved		



Dominican Republic

(continued)

OUTPUTS

3.1 The regional solid waste policy framework is implemented at the municipal level (at least 8 municipalities)

ACTIVITIES	Implementing Agency	Managing Agency
1. Completed proposal for Solid Waste Management Policy and Strategy.	CCAD/EPA	E-CAM

Purpose: Assist governments and industry associations in strengthening procedures for the sound management of chemicals, hazardous substances and wastes
 Outcome #4: Chemical and hazardous substances management is improved

OUTPUTS

4.1 Enhanced capacity of government officials to handle inventory of products and wastes containing mercury and the uses of mercury

4.2 At least one element of the Regional Pollutant Release and Transfer Registry (PRTR) Work Plan is adopted according to United Nations Institute for Training and Research (UNITAR) guidelines

4.3 Implement at least one element of the Strategic Approach to International Chemicals Management (SAICM).

4.4 Train at least 20 people to respond safely to uncontrolled releases of chemical substances.

4.5 Train at least 25 people on the safe handling of pesticides and safe recycling of pesticide containers to reduce the impact related to their handling.

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
1. With officials of the Regional Technical Committee on Chemical Safety, reviewed national efforts to implement SAICM and developed an approach for a regional strategy.	EPA	E-CAM
2. Adopted demonstrations project focusing on a search for alternatives for final disposal and treatment of chemical substances.	CCAD/EPA	E-CAM
3. Considered demonstration projects suggested by each country for safe handling of mercury; selected projects from Honduras and Costa Rica.	EPA	E-CAM
4. Adopted regional PRTR work plan using UNITAR recommendations.	EPA/CCAD	E-CAM

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<p>5. Completed a regional analysis in preparation of PRTR work plan implementation (EPA - 2 countries, CCAD - 4 countries).</p> <p>6. Created national committees to oversee PRTR program.</p> <p>7. Conducted hazardous waste and emergency response training.</p>	<p>EPA</p> <p>CCAD</p> <p>EPA</p>	<p>E-CAM</p> <p>E-CAM</p> <p>USAID</p>
<p>Purpose: Strengthen institutional capacity for air quality management Outcome #5: Air quality management is enhanced</p>		
OUTPUTS		
<p>5.1 Regularly air quality information is published through SERVIR</p> <p>5.2 Work with other CAFTA-DR governments to develop a regional policy on improving the quality of vehicular emissions</p> <p>5.3 Put into operation in selected cities two new mobile and three new fixed air quality monitoring stations and at least one air monitoring station in Santo Domingo for monitoring PM10</p> <p>5.4 Participate in a Regional Air Monitoring Network and develop and implement a harmonized Air Quality Index</p>		
ACTIVITIES		
<p>1. Conducted scoping missions to region to determine human resource capacity and equipment conditions in air quality.</p> <p>2. Held an Air Quality Management and Remote Satellite Sensing in Panama City (SERVIR Platform - CATHALAC).</p> <p>3. Completed technical air quality monitoring visits.</p> <p>4. Completed refurbishment of PM10 equipment for two air quality monitoring stations.</p> <p>5. Donated air quality equipment.</p> <p>6. Strengthened capacities of countries for inventories on air pollution.</p>	<p>EPA</p> <p>EPA</p> <p>EPA</p> <p>EPA</p> <p>CCAD</p> <p>EPA</p>	<p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p>
<p>Purpose: Develop government capacity to efficiently process and evaluate requests for environmental impact evaluations from public and private entities, and ensure implementation of appropriate mitigation measures</p>		



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Outcome #6: Administrative procedures for filing environmental complaints are improved		
OUTPUTS		
6.1 Enhanced capacity to use an administrative procedure for filing and reviewing environmental claims		
6.2 Enhanced criteria for resolving claims in an administrative tribunal		
ACTIVITIES	Implementing Agency	Managing Agency
1. Identified specific needs by country.		E-CAM
2. Developed regional model for harmonizing administrative procedures.		E-CAM
3. Validated a Guide for the Implementation of Voluntary Agreements for Cleaner Production, which is now in use.		E-CAM
4. Integrated monitoring and evaluation methodology, System for Management Effectiveness of the Protected Areas in the National System of Protected Areas (SINAP); in execution.		E-CAM
5. Developed needs assessments for measures required to accredit environmental laboratories; provided recommendations.	CCAD/EPA	E-CAM
Additional outputs		
OUTPUTS		
7.1 In accordance with the National Environmental Law, environmental ordinance is adopted and implemented by at least 25 municipal government		
ACTIVITIES	Implementing Agency	Managing Agency
<i>No activities reported</i>		
Sub Goal A.2		
<i>To strengthen government institutions for effective enforcement of environmental laws</i>		
Purpose: Improve enforcement of environmental laws through training, coordination and technical assistance, especially in the area of customs		
Outcome #1: Environmental law enforcement and tracking and resolution of cases is improved		
OUTPUTS		
1.1 Improved environmental curriculum of universities and other institutions of higher learning (including law schools)		

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1.2 Adopted and implemented environmental compliance and enforcement indicators by government institutions to better measure the effectiveness of enforcement and compliance programs

1.3 Increased capacity of the judicial system to resolve civil and criminal environmental cases

1.4 Improved import-export control of trade covered by MEAs

1.5 Train at least 100 individuals to conduct environmental inspections, investigate and prosecute environmental crimes, and/or adjudicate violations of civil and criminal environmental laws, including laws related to controlling river pollution, operating waste treatment plants, and protecting and preserving marine areas, forests, wildlife.

ACTIVITIES	Implementing Agency	Managing Agency
1. Translated survey course into Spanish.	EPA	E-CAM
Purpose: Improve coordination of officials responsible for enforcing laws ensuring the sustainability of fisheries Outcome #2: Fisheries regulation and law enforcement is improved		
OUTPUTS		
2.1 With coordinating assistance from OSPESCA, capacity to assess institutional and legal frameworks for managing fisheries, with particular attention paid to monitoring, control and surveillance (MCS) strengths, weaknesses and gaps is enhanced	Implementing Agency	Managing Agency
1. Completed final draft of Sector law for Coastal and Marine resources.		
Sub Goal A.3		
<i>To increase public participation and transparency to support informed decision-making</i>		
Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development Outcome #1: More quality environmental information is accessible for the population		
OUTPUTS		
1.1 Improved procedures and protocols for accurately measuring environmental data and quality in accordance with international standards		
1.2 Ensure that a minimum of one accredited environmental laboratory and one mobile environmental laboratory are operative		



Dominican Republic

(continued)

ACTIVITIES	Implementing Agency	Managing Agency
<ol style="list-style-type: none"> 1. Trained 40 people in the use of SERVIR. 2. Registered 109 new users in SERVIR's information portal. 3. Received and reviewed proposals for pilot projects; 1 in DR (16 in total). 4. Conducted 2-day course on strategic planning (environment) for municipalities. 5. Completed 19 Environmental ordinances for UGAMs 6. Procured 4 computers and allied hardware/software to equip the Office of Commerce and Environment. 	<p>NASA NASA NASA</p>	<p>E-CAM E-CAM E-CAM USAID/DR USAID/DR USAID/DR</p>
<p>Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development Outcome #2: Public Involvement in Environmental Decision-Making is improved</p>		
OUTPUTS		
<p>2.1 Enhanced capacity for government institutions to receive and process and respond to public complaints about violations of environmental laws.</p> <p>2.2 Two environmental information centers that are open and accessible to the public</p> <p>2.3 Civilians and members of civil society organizations are involved in environmental decision-making and enforcement</p>		
ACTIVITIES	Implementing Agency	Managing Agency
<ol style="list-style-type: none"> 1. Conducted outreach activities in media and in workshops for private sector and journalists. 2. Displayed and presented information at FIPA Fair, 8/07, regarding environmental policies and procedures. 3. Assisted public claims processing and conflict resolution. 	<p>NGO</p>	<p>OES USAID/DR USAID/DR</p>
<p>Theme B. Biodiversity and Conservation Main Goal: To protect wildlife and habitat for the long term economic and environmental development Purpose: Enforce the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and improve management of forest resources and protected areas for wildlife and habitat protection</p>		
<p>Purpose: Work with local government and non-governmental partners to strengthen the effective enforcement of national environmental laws and MEAs, specifically CITES, to enhance to long-term protection of wildlife</p>		

- COSTA RICA
- DOMINICAN REPUBLIC
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- HONDURAS
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COSTA RICA
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Dominican Republic

(continued)

Outcome # 1: Dominican Republic's environment protection program is aligned with CITES

OUTPUTS

- 1.1 Increased capacities in law enforcement aimed at preventing illegal trade of species
- 1.2 Education and outreach campaigns on species conservation conducted
- 1.3 Strengthen and/or improve the application of laws and procedures with the objective of bringing to trial people that illegally possess, sell, distribute, and market species protected under CITES and domestic laws
- 1.4 Support facilities that are working to rehabilitate, protect, and conserve endangered or threatened flora and fauna.

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
1. Established formal partnership with CITES Secretariat to develop long-term, sustainable regional training; conducted joint high-level consultations and training.	DOI	OES
2. Finalized CITES gap analyses and obtained clearance prior to printing and distribution.	TRAFFIC	OES
3. Designed curricula on CITES for 20-40 hour training course with diploma for judges, lawyers, professors and others, executed with IPEP, SEMARN and UNPHU participation.		USAID/DR
4. Facilitated and conducted workshop on sister sanctuaries; created Action Plan (marine mammals)		USAID
5. Conducted workshop in which 30 participants identified concrete actions to strengthen decision-making; distributed educational materials to all Authorities representatives and participants.	HSI	OES
6. Conducted 5-day workshop for 18 participants in Coral Reef Crime Scene Investigation.	ICRAN	OES
7. Awarded 14 NGO grants for billboards, brochures, stickers, media spots, t-shirts and education curricula; reached at least 723,000 local persons	HSI	OES
8. Awarded 7 NGO grants for travel agency sales manual, posters, CDs; reached 70,000 tourists.	HSI	OES
9. Issued 7 MOUs with NGOs to initiate events, media ads and materials for public education on endangered species conservation.	HSI	OES



Dominican Republic

(continued)

Purpose: Promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging

Outcome #2: Improved management of protected areas and ecosystems

OUTPUTS

2.1 Improved capacities to enforce its laws related to forests and protected areas

ACTIVITIES

Implementing Agency	Managing Agency
CCAD	E-CAM
HSI	OES
DOI	USAID/DR EGAT

1. Created listings of frequently commercialized wildlife in a publication for use by enforcement entities.
2. Conducted regional rescue center best practices workshop for 24 NGOs and government representatives; distributed 330 manuals/brochures; funded 6 NGO grants to improve wildlife rescue facilities.
3. Conducted 4-day training on protected areas co-management and sustainable tourism (Sabana de la Mar).
4. Completed law enforcement needs assessments for protected areas.

Purpose:

Outcome #3: Sustainable alternatives to wildlife extraction and trade / ecotourism

OUTPUTS

No outputs identified

ACTIVITIES

Implementing Agency	Managing Agency
HSI	OES
FS	USAID/DR

1. Conducted needs assessments for 6 ecotourism sites; awarded 8 NGO grants for infrastructure, promotion and training.
2. Supported conservation efforts of Bicknell's Thrush

Purpose:

Outcome #4: Forest, protected areas and sensitive ecosystem management

OUTPUTS

4.1 Implemented national strategies for enforcing laws related to forests and protected areas

4.2 Provision of a wood identification manual to customs and border officials to combat illegal trade of timber

ACTIVITIES

Implementing Agency	Managing Agency
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COSTA RICA
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Dominican Republic

(continued)

1. GDR approved Strategic Plan for managing the Jaragua-Bahoruco-Enriquillo Biosphere Reserve.	FS	USAID/DR
2. Conducted strategic planning and auto-evaluation workshops for Watershed Council Aniana Vargas in Monseñor Nouel province.		USAID/DR
Purpose: Improve compliance with requirements and promote adoption of best practices to reduce accidental by-catch of endangered sea turtles		
Outcome #5: Improved sea turtle conservation		
OUTPUTS		
<i>No outputs identified</i>		
ACTIVITIES		
1. Completed final review and publication of Coastal and Marine Resources and Biodiversity policy documents with the Environmental Secretariat.	IRG	USAID/DR
Theme C. Market-based Conservation		
Main Goal: To implement a market based conservation system		
Purpose: Maintain natural resources base and protect the environment to support sustained economic growth		
Purpose: Support economic growth projects in sustainable agriculture and tourism that promote conservation and generate income for surrounding communities		
Outcome #1: Improved management and conservation of the environment through ecotourism, environmental friendly agricultural and forest product commercialization practices and organically certified crop production		
OUTPUTS		
1.1 Enhanced comprehension of families, community leaders, or guides who live in or around protected and buffer zones, biosphere reserves and local biological corridors that eco-tourism and sustainable agriculture and forestry production can be economically profitable		
1.2 Trainers have enhanced capacities of small and medium-sized business owners and protected area managers to implement effective marketing strategies to increase access to markets for sustainably and environmentally produced biodiversity-related, agricultural, and forest products and eco-tourism services.		
1.3 More environmental friendly farming practices and increased market shares for, and income from their quality products		
1.4 Fee structures that will generate funds for use in improving the management of aquatic, marine, terrestrial and cultural resources established in three protected areas		



Dominican Republic

(continued)

ACTIVITIES	Implementing Agency	Managing Agency
<ol style="list-style-type: none"> 1. Conducted short term training on financial management practices to DAMAJAGUAR project staff. 2. Certified 5000 new hectares under Rainforest Alliance Certification, for a total of more than 89,000 ha to date. 3. Drafted the Farmer Self Assessment Guide to help farmers understand sustainable agriculture standards and assess their needs for improved farming techniques. 4. Conducted 5 training events and diagnostics regarding sustainable farming management practices for NGOs, producer groups, and private and government stakeholders 5. Completed 7 of 17 new land recovery projects, the majority of which related to recovery of sustainable agriculture and forest production damaged by tropical storm Noel. 	<p>IRG-IPEP RA RA RA</p>	<p>USAID/DR OES OES OES</p>
<p>Theme D. Improved Private Sector Environmental Performance Main Goal: To improve the private sector environmental performance Purpose: Improve private sector environmental performance through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private partnerships and strengthened human and institutional capacity</p>		
<p>Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #1: Improved trade related environment policies and incentives</p>		
<p style="text-align: center;">OUTPUTS</p>		
<p>1.1 Enhanced national policy framework by incorporating the regional cleaner production policy/strategy and environmental management system guidelines</p>		
<p>1.2 Participate in a regional high profile award ceremony to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives</p>		
<p>1.3 Develop, promote, and disseminate manuals and case studies that describe best practices for cleaner production in five sectors</p>		
<p>1.4 Promote regional public-private partnerships to leverage private sector funding, help green supply chains and implement national and regional cleaner production strategies, policy instruments, and initiatives</p>		
<p>1.5 Promote environmental or energy audits that will lead cleaner production projects.</p>		

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Dominican Republic

(continued)

ACTIVITIES	Implementing Agency	Managing Agency
1. Facilitated functioning of Regional and National Inter-sectorial commissions.	HSI	OES
2. Facilitated creation of regional Cleaner Production Award.	CCAD	USAID
3. Facilitated initiation of Waste Commercialization System.	CCAD	E-CAM
4. Completed and submitted report to GDR on Assessment of Environmental Alternatives for Swine Farms.	CCAD	E-CAM
5. Developed Environmental Management Systems (EMS) training materials.	CCAD	E-CAM
6. Completed 5 projects regarding cleaner production (clean energy, organic fertilizers, sound production/processing system).		USAID/DR
Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #2: Increased commitment of the private sector to environmental performance (Capacity and Information)		
OUTPUTS		
<i>No outputs identified</i>		
ACTIVITIES	Implementing Agency	Managing Agency
<i>No activities reported</i>		
Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #3: Improved and context adapted public-private partnerships and voluntary agreements		
OUTPUTS		
<i>No outputs identified</i>		
ACTIVITIES	Implementing Agency	Managing Agency
<i>No activities reported</i>		



EL SALVADOR

Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Main Goal: To strengthen institutions for effective implementation and enforcement of environmental laws

Purpose: Strengthen environmental institutions, laws and policies, promote the effective 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 A.1

To strengthen government institutions for effective implementation and enforcement of environmental laws, regulation and policies

Purpose: Strengthen EIA capabilities

Outcome #1: Strengthened EIA capabilities

OUTPUTS

1.1 Environmental Impact Assessment (EIA) sector guidelines developed and used for reviewing EIAs from the commercial mining, tourism and energy sectors

1.2 At least six trainings conducted for more than 40 government officials and representatives from the private sector on “Principles for EIA Review.”

1.3 The number of EIAs received each year increase from 2006 levels.

1.4 Activities, works, or projects [that require EIAs] categorized in accordance with the list established in Article 21 of its Environmental Law.

1.5 Backlog of EIAs awaiting review from enterprises in these sectors improved.

1.6 A process to certify and register the EIA consultants and auditors, and provide a certification and registry office functioning with personnel trained in the evaluation of environmental compliance is established and certified.

1.7 Guidelines for undertaking public consultations during the EIA process developed.

ACTIVITIES

Implementing Agency

Managing Agency

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El Salvador <i>(continued)</i>	
<ol style="list-style-type: none"> 1. Held two coordination meetings with EIA directors 2. Translated and published EIA course manuals. 3. Completed 5 scoping missions to explain EIA programs. 4. Conducted 4 courses on principles of EIA review, attended by a total of 140 technicians. 5. Organized logistics for 4 EIA courses, attended by 140 technicians and environmental authorities. 6. Follow-up scoping mission 	<p>EPA E-CAM</p> <p>CCAD E-CAM</p> <p>EPA/CCAD E-CAM</p> <p>EPA E-CAM</p> <p>CCAD/EPA E-CAM</p> <p>EPA E-CAM</p>
<p>Purpose: Strengthened laws, regulations, policies and procedures in wastewater management Outcome #2: Wastewater management is improved</p>	
OUTPUTS	
<p>2.1 The model for wastewater management regulation that the CAFTA-DR governments endorsed in 2005 is implemented in national environmental laws</p> <p>2.2 Best practices are implemented in wastewater treatment facilities, as described in the manual, "Appropriate Sustainable Wastewater Treatment Systems"</p> <p>2.3 Improved parameters concerning the number of facilities reporting on wastewater discharge</p> <p>2.4 As part of implementation of the wastewater regulation, wastewater discharge parameters for facilities are adopted in one of following sectors: pig farms, poultry, sugar, coffee, dairy, slaughter houses, or textiles.</p>	
ACTIVITIES	
<ol style="list-style-type: none"> 1. Wastewater Regulatory Model adopted. 2. Training course conducted on inspection of wastewater discharges and donation of sampling equipment 3. First and second rounds of meetings/consultations with representatives of the Health and Environment Ministries and agencies/institutions that deal with the enforcement of wastewater regulations to follow-up on the development of database of dischargers and development of program to issue permits 4. ASWTS Manual finalized and available for distribution to all CAFTA-DR countries (regional) 5. Regional standard workshop on requirements for ISO 17025 Laboratory accreditation for environmental laboratories in CAFTA-DR countries 	<p>EPA E-CAM</p> <p>EPA E-CAM</p> <p>EPA E-CAM</p> <p>EPA E-CAM</p> <p>EPA E-CAM</p>



El Salvador

(continued)

Purpose: Promote solid waste regional management policy and strategy at national and municipal levels
 Outcome #3: Solid waste management is improved

OUTPUTS

- 3.1 The process of implementing the regional solid waste policy framework is started.
- 3.2 A robust national recycling program is in place and the number of tons of waste material recycled increased from 2006 levels.
- 3.3 A system for monitoring the amount of solid waste that enters landfills and the amount of recycling that occurs adopted and implemented.
- 3.4 Officials from at least 100 municipalities trained on implementing solid-waste recycling programs.
- 3.5 CAFTA-DR governments have established Regional Solid Waste Management Exchange units.
- 3.6 The amount of waste sold on the exchange increased from 2006 levels.

ACTIVITIES

	Implementing Agency	Managing Agency
1. Completed proposal for Solid Waste Management Policy and Strategy.	CCAD/EPA	E-CAM
2. Developed and implemented Regional Commodity Exchange and Inventories, Business Plans	CCAD/EPA	ECAM

Purpose: Assist governments and industry associations in strengthening procedures for the sound management of chemicals, hazardous substances and wastes
 Outcome #4: Chemical and hazardous substances management is improved

OUTPUTS

- 4.1 At least one element of the Strategic Approach to International Chemicals Management (SAICM) implemented.
- 4.2 At least 50 people trained to respond safely to uncontrolled releases of chemical substances.
- 4.3 A Regional Pollutant Release and Transfer Registry (PRTR) Work Plan according to United Nations Institute for Training and Research (UNITAR) guidelines is adopted and used by Costa Rica

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El Salvador

(continued)

ACTIVITIES	Implementing Agency	Managing Agency
1. With officials of the Regional Technical Committee on Chemical Safety, reviewed national efforts to implement SAICM and developed an approach for a regional strategy.	EPA	E-CAM
2. Adopted demonstrations project focusing on a search for alternatives for final disposal and treatment of chemical substances.	CCAD/EPA	E-CAM
3. Considered demonstration projects suggested by each country for safe handling of mercury; selected projects from Honduras and Costa Rica.	EPA	E-CAM
4. Completed mercury safe handling project in ES.		
5. Completed a regional analysis in preparation of PRTR work plan implementation (EPA - 2 countries, CCAD - 4 countries).	EPA	E-CAM
6. Adopted regional PRTR work plan using UNITAR recommendations.	EPA/CCAD	E-CAM
7. Created national committees to oversee PRTR program.	CCAD	E-CAM
8. Conducted 1 training workshop (2008), with 50 participants, on safe handling and response to uncontrolled releases of chemicals.	EPA	CCAD
Purpose: Strengthen institutional capacity for air quality management Outcome #5: Air quality management is enhanced		
OUTPUTS		
5.1 A PM10 air monitoring network in place in San Salvador.		
5.2 Participation in a Regional Air Monitoring Network and develop and implement a harmonized Air Quality Index.		
5.3 Air quality information is regularly published through SERVIR.		
ACTIVITIES	Implementing Agency	Managing Agency



El Salvador

(continued)

- | | | |
|---|-----|-------|
| 1. Conducted scoping missions to region to determine human resource capacity and equipment conditions in air quality. | EPA | E-CAM |
| 2. Held an Air Quality Management and Remote Satellite Sensing in Panama City (SERVIR Platform - CATHALAC). | EPA | E-CAM |
| 3. Completed technical air quality monitoring visits. | EPA | E-CAM |
| 4. Strengthened capacities of countries for inventories on air pollution. | EPA | E-CAM |

Purpose: Develop government capacity to efficiently process and evaluate requests for environmental impact evaluations from public and private entities, and ensure implementation of appropriate mitigation measures
 Outcome #6: Administrative procedures for filing environmental complaints are improved

OUTPUTS

6.1 Enhanced capacity to use an administrative procedure for filing and reviewing environmental claims

ACTIVITIES

- | ACTIVITIES | Implementing Agency | Managing Agency |
|--|---------------------|-----------------|
| 1. Identified specific needs by country. | | E-CAM |
| 2. Developed regional model for harmonizing administrative procedures. | | E-CAM |
| 3. Validated a Guide for the Implementation of Voluntary Agreements for Cleaner Production, which is now in use. | | E-CAM |
| 4. Formulated procedures to channel complaints under Chapter 17. | | E-CAM |
| 5. Proposed amended regulations for the Registry and Certification of Service and Environmental Audits | | E-CAM |

Additional outputs

OUTPUTS

- 7.1 A model for evaluating and determining responsibility for environmental damages developed.
 7.2 Officials from at least 150 municipalities trained to implement environmental management tools and apply municipal environmental information systems.

ACTIVITIES

No activities reported

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El Salvador *(continued)*

Sub Goal A.2

To strengthen government institutions for effective enforcement of environmental laws

Purpose: Improve enforcement of environmental laws through training, coordination and technical assistance, especially in the area of customs
 Outcome #1: Environmental law enforcement and tracking and resolution of cases is improved

OUTPUTS

- 1.1 Improved environmental curriculum of universities and other institutions of higher learning (including law schools)
- 1.2 Adopted and implemented environmental compliance and enforcement indicators by government institutions to better measure the effectiveness of enforcement and compliance programs
- 1.3 Increased capacity of the judicial system to resolve civil and criminal environmental cases
- 1.4 Improved import-export control of trade covered by MEAs
- 1.5 At least 100 individuals trained to conduct environmental inspections, investigate and prosecute environmental crimes, and/or adjudicate violations of civil and criminal environmental laws, including laws related to controlling river pollution, operating waste treatment plants, and protecting and preserving marine areas, forests, and wildlife
- 1.6 Number of enforcement actions for wastewater law violations increase from 2006

ACTIVITIES

	Implementing Agency	Managing Agency
1. Translated survey course into Spanish.	EPA	E-CAM
2. Conducted regional courses for 22 environmental and customs officers	EPA	E-CAM
3. Provided a course on Application and Environmental Compliance for government officials	EPA	E-CAM
4. Delivered course entitled Negotiating and Environmental Cooperation-Effective National Program Design	EPA	E-CAM
5. Negotiated first-ever Inter-Ministerial Customs/Environmental Cooperation Agreement	EPA	E-CAM

Purpose: Improve coordination of officials responsible for enforcing laws ensuring the sustainability of fisheries
 Outcome #2: Fisheries regulation and law enforcement is improved

OUTPUTS



El Salvador

(continued)

2.1 With coordinating assistance from OSPESCA, capacity to assess institutional and legal frameworks for managing fisheries, with particular attention paid to monitoring, control and surveillance (MCS) strengths, weaknesses and gaps is enhanced

ACTIVITIES	Implementing Agency	Managing Agency
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No activities reported

Sub Goal A.3
To increase public participation and transparency to support informed decision-making

Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development
 Outcome #1: More quality environmental information is accessible for the population

OUTPUTS

1.1 Improved procedures and protocols for accurately measuring environmental data and quality in accordance with international standards

1.2 Improved environmental data collection methods to increase available information on the Mesoamerican Environmental Information System (SIAM) and link it to SERVIR

1.3 Ensure that a minimum of six accredited environmental laboratories and one mobile environmental laboratory are operative

ACTIVITIES	Implementing Agency	Managing Agency
1. Trained 40 people in the use of SERVIR.	NASA	E-CAM
2. Registered 109 new users in SERVIR's information portal.	NASA	E-CAM
3. Received and reviewed proposals for pilot projects; 6 in El Salvador (16 in total).	NASA	E-CAM
4. Completed Regional Model for Registration and Certification of Environmental Service Providers.		E-CAM
5. Provided Trifinio Tri-national Commission with images of ASTER park area.	NASA	E-CAM
6. Delivered EMS training to 10 local consultants.		E-CAM
7. Selected pilot projects for execution	NASA	E-CAM
8. Provided a supply of ASTER images to CCAD for the evaluation of Mangle Corridor (Jiquilisco, ES to Padre, N).	NASA	E-CAM

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El Salvador

(continued)

9. Provided equipment and software to strengthen information management systems.	CCAD	E-CAM
Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development Outcome #2: Public Involvement in Environmental Decision-Making is improved		
OUTPUTS		
2.1 Enhanced capacity for government institutions to receive and process and respond to public complaints about violations of environmental laws		
2.2 Civilians and members of civil society organizations are involved in environmental decision-making and enforcement		
ACTIVITIES		
1. Trained government units in 5 municipalities in methods and mechanisms for conducting public information campaigns.	NGO	Managing Agency OES
Theme B. Biodiversity and Conservation		
Main Goal: To protect wildlife and habitat for the long term economic and environmental development		
Purpose: Enforce the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and improve management of forest resources and protected areas for wildlife and habitat protection		
Purpose: Work with local government and non-governmental partners to strengthen the effective enforcement of national environmental laws and MEAs, specifically CITES, to enhance to long-term protection of wildlife		
Outcome # 1: El Salvador's environment protection program is aligned with CITES		
OUTPUTS		
1.1 CITES implementing legislation and regulations amended to ensure El Salvador attains category 1 status under the CITES Secretariat's National Legislation Project		
1.2 Increased capacities in law enforcement aimed at preventing illegal trade of species		
1.3 Education and outreach campaigns on species conservation conducted		
1.4 Animal rescue centers follow CITES guidelines on rehabilitation, confiscation, and possible disposal of species		
1.5 Improved systems for tracking and monitoring permitted wildlife that complies with CITES national obligations.		



El Salvador

(continued)

1.6 Enhanced capabilities of officials from El Salvador to make non-detriment findings under CITES

ACTIVITIES	Implementing Agency	Managing Agency
1. Established formal partnership with CITES Secretariat to develop long-term, sustainable regional training; conducted joint high-level consultations and training.	DOI	OES
2. Finalized CITES gap analyses and obtained clearance prior to printing and distribution.	TRAFFIC	OES
3. Completed law enforcement needs assessments for protected areas	DOI	EGAT
4. Supported participation at workshop in CR and Honduras - 40 officials and additional experts trained in standardized approaches to wildlife trade and enforcement issue - and in workshop in Mexico on Non Detriment Findings - 92 CAFTA-DR persons trained.	TRAFFIC	OES
5. Trained 35 enforcement/inspection personnel to combat illegal trade; distributed 45 sets of training materials and 70 CDs.	HSI	OES
6. Government officially designated its Management and Scientific Authorities for CITES.	DOI	OES
7. Completed CITES implementing regulations; signed off by the Ministers of Environment and Agriculture.	DOI	OES
8. Evaluated CITES sanctions	DOI	OES
9. Launched comprehensive education, outreach, monitoring and protection program for the Hawksbill sea turtle in partnership with the local NGO.	DOI	OES
10. Conducted workshop in which 30 participants identified concrete actions to strengthen decision-making; distributed educational materials to all Authorities representatives and participants.	HSI	OES
11. Conducted 5-day workshop for 18 participants in Coral Reef Crime Scene Investigation.	ICRAN	OES
12. Awarded 14 NGO grants for billboards, brochures, stickers, media spots, t-shirts and education curricula; reached at least 723,000 local persons	HSI	OES
13. Awarded 7 NGO grants for travel agency sales manual, posters, CDs; reached 70,000 tourists.	HSI	OES
14. Issued 7 MOUs with NGOs to initiate events, media ads and materials for public education on endangered species conservation.	HSI	OES

Purpose: Promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging

- COSTA RICA
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El Salvador (continued)

Outcome #2: Improved management of protected areas and ecosystems		
OUTPUTS		
2.1 Improved capacities to enforce its laws related to forests and protected areas		
2.2 Improved environmental management in existing protected areas, watersheds, buffer zones, and environmental corridors		
ACTIVITIES		
	Implementing Agency	Managing Agency
1. Created listings of frequently commercialized wildlife in a publication for use by enforcement entities.	CCAD	E-CAM
2. Conducted regional rescue center best practices workshop for 24 NGOs and government representatives; distributed 330 manuals/brochures; funded 6 NGO grants to improve wildlife rescue facilities.	HSI	OES
3. Issued 8 grants (4 institutional, 4 technical assistance) to improve capacity of local wildlife rescue centers and establish model a center; held 4 technical trainings.	HSI	OES
Purpose:		
Outcome #3: Sustainable alternatives to wildlife extraction and trade / ecotourism		
OUTPUTS		
<i>No outputs identified</i>		
ACTIVITIES		
	Implementing Agency	Managing Agency
1. Conducted needs assessments for 6 ecotourism sites; awarded 8 NGO grants for infrastructure, promotion and training.	HSI	OES
2. Disbursed 6 grants for infrastructure and 6 for printed tourism materials for ecotourism providers.	HSI	OES
Purpose:		
Outcome #4: Forest, protected areas and sensitive ecosystem management		
OUTPUTS		
4.1 Implemented national strategies for enforcing laws related to forests and protected areas		



El Salvador

(continued)

4-2 Improved environmental management of 33,000 hectares of existing protected areas, watersheds, buffer zones, and environmental corridors

4-3 Provision of a wood identification manual to customs and border officials to combat illegal trade of timber

ACTIVITIES	Implementing Agency	Managing Agency
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No activities reported

Purpose: Improve compliance with requirements and promote adoption of best practices to reduce accidental by-catch of endangered sea turtles
 Outcome #5: Improved sea turtle conservation

OUTPUTS

5-1 Enhanced capacities to mitigate and reduce sea turtle by-catch and post-hooking mortality

5-2 Established observer program to help ensure that vessels are properly using TEDs and circle hooks and complete experimental fishing trips

5-3 Train a minimum of 125 people (including fishermen, captains, boat owners, enforcement officials and other government personnel) on the proper use of turtle excluder devices (TEDs)

ACTIVITIES	Implementing Agency	Managing Agency
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No activities reported

Theme C. Market-based Conservation

Main Goal: To implement a market based conservation system

Purpose: Maintain natural resources base and protect the environment to support sustained economic growth

Purpose: Support economic growth projects in sustainable agriculture and tourism that promote conservation and generate income for surrounding communities

Outcome #1: Improved management and conservation of the environment through ecotourism, environmental friendly agricultural and forest product commercialization practices and organically certified crop production

OUTPUTS

- COSTA RICA
- DOMINICAN REPUBLIC
- EL SALVADOR
- GUATEMALA
- HONDURAS
- NICARAGUA
- UNITED STATES



COSTA RICA
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El Salvador

(continued)

- 1.1 Enhanced comprehension of families, community leaders, or guides who live in or around protected and buffer zones, biosphere reserves and local biological corridors that eco-tourism and sustainable agriculture and forestry production can be economically profitable
- 1.2 Trainers have enhanced capacities of small and medium-sized business owners and protected area managers to implement effective marketing strategies to increase access to markets for sustainably and environmentally produced biodiversity-related, agricultural, and forest products and eco-tourism services.
- 1.3 Improved environmental sustainability of visitor's infrastructure and tourism services at El Parque Montecristo, Parque Nacional Los Volcanes y Barra de Santiago.
- 1.4 A protected area tourism network is established
- 1.5 Farming practices of cacao, coffee, and banana farmers are made more environmentally friendly and market shares and income from their products is increased.

ACTIVITIES

	Implementing Agency	Managing Agency
1. Certified 5000 new hectares under Rainforest Alliance Certification, for a total of more than 89,000 ha to date.	RA	OES
2. Drafted the Farmer Self Assessment Guide to help farmers understand sustainable agriculture standards and assess their needs for improved farming techniques.	RA	OES
3. Delivered 46 best practices events in coffee production to a total of 500 agronomists, technicians, and internal auditors.	RA	OES
4. Completed value chain analysis for increased sales volume and revenue from certified sustainable coffee, cacao and bananas.	RA	OES
5. Launched 2-year coffee cultivation and tropical bird study; identified a local NGO to host activity; established research stations for "bird-friendly" coffee production.	RA	OES
6. Disseminated IDB training materials for the Specialty Coffee Project.	TS	OES
7. Implemented 2-day training on good practices in high-quality coffee harvesting and processing.	TN	OES
8. Implemented 2 study tours for 6 coffee growers to 2 coffee mills to compare and demonstrate milling methods.	TN	OES

Theme D. Improved Private Sector Environmental Performance

Main Goal: To improve the private sector environmental performance

Purpose: Improve private sector environmental performance through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private partnerships and strengthened human and institutional capacity



El Salvador

(continued)

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production
 Outcome #1: Improved trade related environment policies and incentives

OUTPUTS

- 1.1 Enhanced national policy framework by incorporating the regional cleaner production policy/strategy and environmental management system guidelines
- 1.2 Augmented will of the private sector to enter in voluntary agreements with the government to improve environmental performance
- 1.3 Incentives promoted for the establishment of public-private partnerships that encourage (1) use of cleaner production processes, (2) improved energy efficiency, (3) adoption of environmental management systems, and (4) easier access to financing for cleaner production projects
- 1.4 A regional high profile award ceremony is held to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives
- 1.5 At least one technical, energy efficiency standard for motors, equipment, household products, or other products adopted

ACTIVITIES

1. Facilitated functioning of Regional and National Inter-sectorial commissions.
2. Facilitated creation of regional Cleaner Production Award.
3. Facilitated initiation of Waste Commercialization System.
4. Created business plans for industrial waste exchange
5. Facilitated Environmental Award System for companies.
6. Facilitated National Cleaner Production Award.

Implementing Agency

- | | |
|------|-------|
| HSI | OES |
| CCAD | USAID |
| CCAD | E-CAM |
| CCAD | ECAM |
| CCAD | USAID |
| CCAD | USAID |

Managing Agency

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production
 Outcome #2: Increased commitment of the private sector to environmental performance (Capacity and Information)

OUTPUTS

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(continued)

<p>2.1 Manuals and case studies that describe best practices for cleaner production in five sectors, developed, promoted, and disseminated</p> <p>2.2 Enhanced capacities of environmental experts to train, accredit and certify cleaner production</p> <p>2.3 Work with the CPC to conduct workshops and train professionals from government agencies, financial institutions, industry associations, universities, and NGOs on cleaner production and EMS, establishing a core team of national “train-the-trainers” in the field</p> <p>2.4 Work with the CPC to develop and disseminate (including to Universities and other institutions of higher learning) training materials, course curricula, and case studies on cleaner production, EMS implementation, and environmental auditing.</p>	<p>Implementing Agency EPA</p>	<p>Managing Agency E-CAM</p>
<p>ACTIVITIES</p> <p>1. Developed Environmental Management Systems (EMS) training materials.</p> <p>2. Proposed technical standards for sectorial diagnostics in poultry and dairy sectors.</p>		
<p>Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #3: Improved and context adapted public-private partnerships and voluntary agreements</p>		
<p>OUTPUTS</p> <p>3.1 Work to implement up to five cleaner production agreements.</p> <p>3.2 Encourage small and medium-sized enterprises to participate in USAID’s Development Credit Agreement (DCA) loan guarantee program for acquiring cleaner production technologies.</p> <p>3.3 In cooperation with the National Energy Council and the Salvadorian Association of Industries, conduct five detailed energy audits in five private firms.</p> <p>3.4 Work with one soft drink bottler to ensure its compliance with secondary wastewater standards.</p> <p>3.5 Work to strengthen the capacity of three to five key industries in water use efficiency and wastewater management.</p> <p>3.6 Work with up to 200 companies to adopt cleaner production and/or energy efficiency technologies.</p>		
<p>ACTIVITIES</p>		
	<p>Implementing Agency</p>	<p>Managing Agency</p>



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|---|-----|-----|
| 1. Created a public-private alliance and program executive steering committee. | WEC | OES |
| 2. Signed MOU agreements for program participation with 11 SME dairy companies, Wal-Mart and a small hotel association (APEHGUA). | WEC | OES |



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GUATEMALA

Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Main Goal: To strengthen institutions for effective implementation and enforcement of environmental laws
Purpose: Strengthen environmental institutions, laws and policies, promote the effective 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 A.1

To strengthen government institutions for effective implementation and enforcement of environmental laws, regulation and policies

Purpose: Strengthen EIA capabilities
Outcome #1: Strengthened EIA capabilities

OUTPUTS

- 1.1 Environmental Impact Assessment (EIA) sector guidelines developed and used for reviewing EIAs from the commercial mining, tourism and energy sectors
- 1.2 Model procedures for preparing and reviewing EIAs formulated and incorporated into the mining, agricultural, industrial, hydroelectric, and constructions sectors
- 1.3 Enforceable requirements to regularly monitor and report on releases to the environment are included in environmental permits
- 1.4 Improved government review time for EIAs from enterprises in the commercial mining, tourism, and energy sector
- 1.5 Conduct at least six trainings for more than 50 government officials and representatives from the private sector on “Principles for EIA Review.”

ACTIVITIES

	Implementing Agency	Managing Agency
1. Held two coordination meetings with EIA directors	EPA	E-CAM
2. Translated and published EIA course manuals.	CCAD	E-CAM
3. Completed 3 scoping missions to explain EIA programs.	EPA/CCAD	E-CAM
4. Conducted 4 courses on principles of EIA review, attended by a total of 140 technicians.	EPA	E-CAM
5. Organized logistics for 4 EIA courses, attended by 140 technicians and environmental authorities.	CCAD/EPA	E-CAM

Purpose: Strengthened laws, regulations, policies and procedures in wastewater management
Outcome #2: Wastewater management is improved

OUTPUTS

- 2.1 The model for wastewater management regulation that the CAFTA-DR governments endorsed in 2005 is implemented in national environmental laws
- 2.2 Improved parameters concerning the number of facilities reporting on wastewater discharge



Guatemala

(continued)

2.3 Evaluate and monitor entities in 1.1 sectors that generate wastewater, including: municipalities, the hospitality industry, sugar mills, mining, coffee mills, textiles, slaughterhouses, tanneries, animal feed plants, rudimentary industries, and pharmaceuticals.

ACTIVITIES	Implementing Agency	Managing Agency
1. Wastewater Regulatory Model adopted.	EPA	E-CAM
2. First and second rounds of meetings/consultations with representatives of the Health and Environment Ministries and agencies/institutions that deal with the enforcement of wastewater regulations to follow-up on the development of database of dischargers and development of program to issue permits	EPA	E-CAM
3. Carried out assessment of current wastewater and sludge management for the fruits and vegetables and textiles sectors.	ABT	USAID/G
4. Drafted strategy, which was approved by GOG, to ensure implementation and best practices of wastewater management in the fruits and vegetables, and textiles sectors.	ABT	USAID/G
5. ASWTS Manual finalized and available for distribution to all CAFTA-DR countries (regional)	EPA	E-CAM
6. Regional standard workshop on requirements for ISO 17025 Laboratory accreditation for environmental laboratories in CAFTA-DR countries	EPA	E-CAM

Purpose: Promote solid waste regional management policy and strategy at national and municipal levels
 Outcome #3: Solid waste management is improved

OUTPUTS

- 3.1 Implement in at least six municipalities the Guatemalan regulatory framework for integral management of solid residues and waste
- 3.2 A system for monitoring the amount of solid waste that enters landfills and the amount of recycling that occurs is adopted and implemented
- 3.3 CAFTA-DR governments have established Regional Solid Waste Management Exchange units
- 3.4 The amount of solid waste sold on the exchange increased from 2006

ACTIVITIES	Implementing Agency	Managing Agency
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- COSTA RICA
- DOMINICAN REPUBLIC
- EL SALVADOR
- GUATEMALA
- HONDURAS
- NICARAGUA
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(continued)

1. Completed proposal for Solid Waste Management Policy and Strategy.	CCAD/EPA	E-CAM
2. Developed and implemented Regional Solid Waste Management Exchange unit, and Inventories, Business Plans	CCAD/EPA	E-CAM
Purpose: Assist governments and industry associations in strengthening procedures for the sound management of chemicals, hazardous substances and wastes Outcome #4: Chemical and hazardous substances management is improved		
OUTPUTS		
4.1 Implement at least one element of the Strategic Approach to International Chemicals Management (SAICM)		
4.2 Train at least 25 people to respond safely to uncontrolled releases of chemical substances		
4.3 Train at least 25 people on the safe handling of pesticides and safe recycling of pesticide containers to reduce the impact related to their handling		
4.4 Complete a national inventory of products and wastes containing mercury and uses of mercury		
4.5 A Regional Pollutant Release and Transfer Registry (PRTR) Work Plan according to United Nations Institute for Training and Research (UNITAR) guidelines is developed		
ACTIVITIES		
1. With officials of the Regional Technical Committee on Chemical Safety, reviewed national efforts to implement SAICM and developed an approach for a regional strategy.	EPA	E-CAM
2. Adopted demonstrations project focusing on a search for alternatives for final disposal and treatment of chemical substances.	CCAD/EPA	E-CAM
3. Considered demonstration projects suggested by each country for safe handling of mercury; selected projects from Honduras and Costa Rica.	EPA	E-CAM
4. Completed a regional analysis in preparation of PRTR work plan implementation (EPA - 2 countries; CCAD - 4 countries).	EPA/CCAD	E-CAM
5. Adopted regional PRTR work plan using UNITAR recommendations.	EPA/CCAD	E-CAM
6. Created national committees to oversee PRTR program.	CCAD	E-CAM



Guatemala

(continued)

7. Conducted 1 training workshop (2008), with 50 participants, on safe handling and response to uncontrolled releases of chemicals (2 more workshops to be conducted). EPA CCAD

Purpose: Strengthen institutional capacity for air quality management
 Outcome #5: Air quality management is enhanced

OUTPUTS

5.1 Implement the existing technical regulations on the quality of fuel

5.2 Put into place new air quality monitoring stations in selected cities, including the capital city, for monitoring PM10

5.3 Participate in a Regional Air Monitoring Network, and develop and implement a harmonized Air Quality Index

5.4 Regularly air quality information is published through SERVIR

ACTIVITIES

1. Conducted scoping missions to region to determine human resource capacity and equipment conditions in air quality. EPA E-CAM

2. Held an Air Quality Management and Remote Satellite Sensing in Panama City (SERVIR Platform - CATHALAC). EPA E-CAM

3. Completed technical air quality monitoring visits. EPA E-CAM

4. Strengthened capacities of countries for inventories on air pollution. EPA E-CAM

Purpose: Develop government capacity to efficiently process and evaluate requests for environmental impact evaluations from public and private entities, and ensure implementation of appropriate mitigation measures

Outcome #6: Administrative procedures for filing environmental complaints are improved

OUTPUTS

6.1 Enhanced capacity to use an administrative procedure for sanctioning environmental law violations

ACTIVITIES

1. Identified specific needs by country. Implementing Agency Managing Agency E-CAM

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<p>2. Developed regional model for harmonizing administrative procedures.</p> <p>3. Validated a Guide for the Implementation of Voluntary Agreements for Cleaner Production, which is now in use.</p> <p>4. Conducted 2 national workshops</p> <p>5. Received proposals for regulation of chemicals</p> <p>6. Drafted regulation defining procedure for environmental audits and implementation; in process of approval.</p> <p>7. Initiated study for proposed amendment of regulation for Wastewater Discharges and Re-Use and Disposal of Sludge.</p> <p>8. Assisted in creation of Environmental Laboratories Registry.</p>	<p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p> <p>E-CAM</p>
Additional outputs	
OUTPUTS	
<p>7.1 In accordance with the National Environmental Law, environmental ordinance is adopted and implemented by municipal government</p> <p>7.2 A law on civil and criminal responsibility for environmental damages is adopted, as well as on methodologies for assessing environmental damages and health risks associated with the damage for assigning responsibility for the damage</p>	
ACTIVITIES	
<p><i>No activities reported</i></p>	
Sub Goal A.2	
<i>To strengthen government institutions for effective enforcement of environmental laws</i>	
<p>Purpose: Improve enforcement of environmental laws through training, coordination and technical assistance, especially in the area of customs</p> <p>Outcome #1: Environmental law enforcement and tracking and resolution of cases is improved</p>	
OUTPUTS	
<p>1.1 Improved environmental curriculum of universities and other institutions of higher learning (including law schools)</p> <p>1.2 Adopted and implemented environmental compliance and enforcement indicators by government institutions to better measure the effectiveness of enforcement and compliance programs</p>	



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(continued)

- 1.3 Increased capacity of the judicial system to resolve civil and criminal environmental cases
- 1.4 Improved import-export control of trade covered by MEAs

1.5 Train at least 100 individuals (including members of the judiciary, the Office of the Public Prosecutor and Attorney General, DIPRONA, CONAP and INAB) to conduct environmental inspections, investigate and prosecute environmental crimes, and/or adjudicate violations of civil and criminal environmental laws, including laws related to controlling river pollution, operating waste treatment plants, and protecting and preserving marine areas, forests, and wildlife

ACTIVITIES

Implementing Agency	Managing Agency
EPA	E-CAM
ABT	USAID/G
ABT	USAID/G

1. Translated survey course into Spanish.
2. Performed a gap analysis and provided environmental justice recommendations related to the Millennium Development Goals, GOG's sustainable development initiatives and Chapter 17.
3. Conducted an assessment of the status of GOG/s progress in achieving initiatives related to environmental justice recommendations, related to the MDGs and GOG's sustainable development initiatives.

Purpose: Improve coordination of officials responsible for enforcing laws ensuring the sustainability of fisheries
 Outcome #2: Fisheries regulation and law enforcement is improved

OUTPUTS

- 2.1 With coordinating assistance from OSPESCA, capacity to assess institutional and legal frameworks for managing fisheries, with particular attention paid to monitoring, control and surveillance (MCS) strengths, weaknesses and gaps is enhanced

ACTIVITIES

Implementing Agency	Managing Agency

No activities reported

Sub Goal A.3

To increase public participation and transparency to support informed decision-making

Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development
 Outcome #1: More quality environmental information is accessible for the population

OUTPUTS



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<p>1.1 Improved procedures and protocols for accurately measuring environmental data and quality in accordance with international standards</p> <p>1.2 Improved environmental data collection methods to increase available information on the Mesoamerican Environmental Information System (SIAM) and link it to SERVIR</p> <p>1.3 Ensure that a minimum of six accredited environmental laboratories and one mobile environmental laboratory are operative</p>	Implementing Agency	Managing Agency
ACTIVITIES		
1. Trained 40 people in the use of SERVIR.	NASA	E-CAM
2. Registered 109 new users in SERVIR's information portal.	NASA	E-CAM
3. Received and reviewed proposals for pilot projects; 16 in total.	NASA	E-CAM
4. Completed Regional Model for Registration and Certification of Environmental Service Providers.	NASA	E-CAM
5. Provided Trifinio Tri-national Commission with images of ASTER park area.	NASA	E-CAM
6. Delivered EMS training to 10 local consultants.	NASA	E-CAM
7. Selected pilot projects for execution	NASA	E-CAM
8. Provided equipment and software to strengthen information management systems.	CCAD	E-CAM
<p>Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development</p> <p>Outcome #2: Public Involvement in Environmental Decision-Making is improved</p>		
OUTPUTS		
2.1 Enhanced capacity for government institutions to receive and process and respond to public complaints about violations of environmental laws		
2.2 21 environmental information centers (branches of MARN) that are opened and accessible to the public		
2.3 Civilians and members of civil society organizations are involved in environmental decision-making and enforcement		
ACTIVITIES		
1. Conducted media campaign and outreach fairs in 3 regional languages; with Ministry for Environment and Natural Resources established environmental complaint hotline; activities involved 186 municipalities.	Helvetas	OES



Guatemala

(continued)

Theme B. Biodiversity and Conservation

Main Goal: To protect wildlife and habitat for the long term economic and environmental development
Purpose: Enforce the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and improve management of forest resources and protected areas for wildlife and habitat protection

Purpose: Work with local government and non-governmental partners to strengthen the effective enforcement of national environmental laws and MEAs, specifically CITES, to enhance to long-term protection of wildlife

Outcome # 1: Guatemala's environment protection program is aligned with CITES

OUTPUTS

1.1 Increased capacities in law enforcement aimed at preventing illegal trade of species

1.2 Education and outreach campaigns on species conservation conducted

1.3 Animal rescue centers follow CITES guidelines on rehabilitation, confiscation, and possible disposal of species

1.4 Improved systems for tracking and monitoring permitted wildlife that complies with CITES national obligations.

1.5 Enhanced capabilities of officials from Guatemala to make non-detriment findings under CITES

1.6 Guatemalan enforcement actions utilized to assess measures and penalties for CITES violations.

ACTIVITIES

1. Established formal partnership with CITES Secretariat to develop long-term, sustainable regional training; conducted joint high-level consultations and training.

2. Finalized CITES gap analyses and obtained clearance prior to printing and distribution.

3. Completed law enforcement needs assessments for protected areas

4. Completed Jaguar conservation corridor plan and obtained national endorsements of corridor. Completed "ground truthing manual, trained 174 stakeholders, conducted numerous surveys and related activities.

5. Purchased and distributed law enforcement patrol equipment for use in Mayan Biosphere Reserve.

Implementing Agency	Managing Agency
DOI	OES
TRAFFIC	OES
DOI	EGAT
WCS	OES
DOI	OES

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6. Completed law enforcement and governance strategy and action plan for northern protected areas.	DOI	OES
7. Located and built strategic law enforcement control posts in Mayan Biosphere Reserve.	DOI	OES
8. Developed governance and law enforcement monitoring indicators to measure implementation of strategy and action plan recommendations.	DOI	OES
9. Developed manuals and protocols for protected area field staff on patrolling to collect crime data, analyze and categorize environmental data collected and use of self-protective measures in conflict zones.	DOI	OES
10. Completed first-ever field level cross-sector round table to build consensus and share information for promoting model management of the Mayan Biosphere Reserve.	DOI	OES
11. Supported and trained Balam, a local NGO later selected by GOG to represent all NGOs in the Petén Security Work Group.	DOI	OES
12. Designed visitor infrastructure that minimizes impact to resources in Mirador area in the Petén region.	DOI	OES
13. Analyzed viable park access options to remote national parks.	DOI	OES
14. Designed and installed interpretive panels value of Mirador area, and to educate visitors on minimizing impact to resources.	DOI	OES
15. Conducted workshop in which 30 participants identified concrete actions to strengthen decision-making; distributed educational materials to all Authorities representatives and participants.	HSI	OES
16. Conducted 5-day workshop for 18 participants in Coral Reef Crime Scene Investigation.	ICRAN	OES
17. Awarded 14 NGO grants for billboards, brochures, stickers, media spots, t-shirts and education curricula; reached at least 723,000 local persons	HSI	OES
18. Awarded 7 NGO grants for travel agency sales manual, posters, CDs; reached 70,000 tourists.	HSI	OES
19. Issued 7 MOUs with NGOs to initiate events, media ads and materials for public education on endangered species conservation.	HSI	OES
Purpose: Promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging		
Outcome #2: Improved management of protected areas and ecosystems		
OUTPUTS		
2.1 Improved capacities to enforce its laws related to forests and protected areas		



Guatemala

(continued)

2.2 Improved environmental management in existing protected areas, watersheds, buffer zones, and environmental corridors

ACTIVITIES			Implementing Agency	Managing Agency
1.	Created listings of frequently commercialized wildlife in a publication for use by enforcement entities.		CCAD	E-CAM
2.	Conducted regional rescue center best practices workshop for 24 NGOs and government representatives; distributed 330 manuals/brochures; funded 6 NGO grants to improve wildlife rescue facilities.		HSI	OES
3.	Issued 8 grants (4 institutional, 4 technical assistance) to improve capacity of local wildlife rescue centers and establish model a center; held 4 technical trainings.		HSI	OES
4.	Conducted various meetings to create a coordinating body and strategy for the Meso-American Biological Corridor.		CCAD	ECAM
Purpose:				
Outcome #3: Sustainable alternatives to wildlife extraction and trade / ecotourism				
OUTPUTS				
<i>No outputs identified</i>				
ACTIVITIES			Implementing Agency	Managing Agency
1.	Conducted needs assessments for 6 ecotourism sites; awarded 8 NGO grants for infrastructure, promotion and training.		HSI	OES
2.	Disbursed 6 grants for infrastructure and 6 for printed tourism materials for ecotourism providers.		HSI	OES
3.	Contributed to 2-month Visitor Guide Training Course for 25 community representatives to begin transition from resource extraction to tourism/resource protection economy in the Biosphere Reserve.		DOI	OES
Purpose:				
Outcome #4: Forest, protected areas and sensitive ecosystem management				
OUTPUTS				
4.1 Implemented national strategies for enforcing laws related to forests and protected areas				
4.2 Improved environmental management of 33,000 hectares of existing protected areas, watersheds, buffer zones, and environmental corridors				
4.3 Train people from 120 indigenous communities in Guatemala living in and near ten protected areas in resource management strategies				

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- 4.4 Provision of a wood identification manual for customs and border officials (including officials from DIPRONA, SAT SEPA-OIRSA), to combat illegal trade and facilitate legal trade in timber
- 4.5 Train a minimum of 200 officials total on the full range of taxonomy and identification of wood species, including CITES listed species
- 4.6 Implement a “pilot” chain of custody system for both broadleaf and pine forests to help verify the legality of wood
- 4.7 Participate in mapping out a “jaguar corridor” as part of the Mesoamerican Biological Corridor

ACTIVITIES

	Implementing Agency	Managing Agency
1. Provided technical capacity building activities that lead to better efficiency and higher levels of product yield in agro-forestry.	RA	USAID/G
2. Developed a business plan with FORESCOM (Community Forest Enterprise)	RA	USAID/G
3. Provided 9 business development program models to community stakeholders	RA	USAID/G
4. Provided financial investment through OIKOCREDIT for FORESCOM.	AC/Hel	USAID/G
5. Facilitated product development, promotional materials, and market access for local cooperative to sell Xate, a non-wood forest product	RA	USAID/G
6. Strengthened the Asociacion de Reforestadores del Petén (ARP) ability to access financial services and sound business management in reforestation activities	RA	USAID/G
7. Facilitated microcredit access for local reforesters.	RA	USAID/G
8. Implemented a national inventory of cedar and rosebush	RA	USAID/G
9. Developed national strategy for the management and commercialization of tropical green leaf	RA	USAID/G
10. Provided technical capacity building activities for the development of markets and the organization of sustainable supply chains for tropical green leaf	RA	USAID/G
11. Provided technical support in obtaining Forest Stewardship Council (FSC) certification for private exporters of tropical green leaf	RA	USAID/G

Purpose: Improve compliance with requirements and promote adoption of best practices to reduce accidental by-catch of endangered sea turtles
 Outcome #5: Improved sea turtle conservation

OUTPUTS

- 5.1 Enhanced capacities to mitigate and reduce sea turtle by-catch and post-hooking mortality



Guatemala

(continued)

5.2 Established observer program to help ensure that vessels are properly using TEDs and circle hooks and complete experimental fishing trips

ACTIVITIES	Implementing Agency	Managing Agency
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No activities reported

Theme C. Market-based Conservation

Main Goal: To implement a market based conservation system

Purpose: Maintain natural resources base and protect the environment to support sustained economic growth

Purpose: Support economic growth projects in sustainable agriculture and tourism that promote conservation and generate income for surrounding communities

Outcome #1: Improved management and conservation of the environment through ecotourism, environmental friendly agricultural and forest product commercialization practices and organically certified crop production

OUTPUTS

1.1 Enhanced comprehension of families, community leaders, or guides who live in or around protected and buffer zones, biosphere reserves and local biological corridors that eco-tourism and sustainable agriculture and forestry production can be economically profitable

1.2 Trainers have enhanced capacities of small and medium-sized business owners and protected area managers to implement effective marketing strategies to increase access to markets for sustainably and environmentally produced biodiversity-related, agricultural, and forest products and eco-tourism services.

1.3 Fee structures that will generate funds for use in improving the management of aquatic, marine, terrestrial and cultural resources established in three protected areas

1.4 Strengthened strategies or policies that promote sustainable tourism practices

1.5 Visitor infrastructure and tourism services at ecotourism sites developed and/or improved

1.6 A protected area tourism network is established

1.7 More environmental friendly farming practices and increased market shares for, and income from their quality products.

1.8 Increased amount of arable land that supports organically certified crops and where farmers are implementing environmental management best practices

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- DOMINICAN REPUBLIC
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- HONDURAS
- NICARAGUA
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ACTIVITIES	Implementing Agency	Managing Agency
1. Certified 5000 new hectares under Rainforest Alliance Certification, for a total of more than 89,000 ha to date.	RA	OES
2. Drafted the Farmer Self Assessment Guide to help farmers understand sustainable agriculture standards and assess their needs for improved farming techniques.	RA	OES
3. Delivered 46 best practices events in coffee production to a total of 500 agronomists, technicians, and internal auditors.	RA	OES
4. Completed value chain analysis for increased sales volume and revenue from certified sustainable coffee, cacao and bananas.	RA	OES
5. Adapted Sustainable Tourism Best Practices Guide for use with rural communities and small businesses.	CPI	USAID/G
6. Facilitated 42 enterprises to complete Green Deal Tourism Certification by providing workshops, initial audits and aiding in the design and implementation of best practices plans.	CPI	USAID/G
7. Provided assistance to Rupalaj Community Guide Association, on Lake Atitlan, the first community-based venue certified by Green Deal in Guatemala.	CPI	USAID/G
8. Provided a 3-day sustainable tourism marketing workshop for 30 43 representatives from community-based tourism destinations.	CPI	USAID/G
9. Provided technical assistance and training to the community "Puerta al Mundo Maya" on logistics coordination and minimizing visitor impact on ecosystem.	CPI	USAID/G
10. Created and disseminated a series of eco-tourism facts for 13 destinations in Guatemala.	CPI	USAID/G
11. Provided technical assistance to Guatemala's Community Tourism Federation (FENATUCGUA) on producing community-based tourism promotional materials. 7,000 copies have been disseminated to date.	CPI	USAID/G
12. Sponsored the Geoforum and the official launching of the Geotourism Initiative in Guatemala City and provided promotional materials.	CPI	USAID/G
13. Sustainable harvesting of Ocellated Turkey in the Maya Biosphere Reserve	CPI	USAID/G
14. Marketing of Protected Areas available for Tourism	CPI	USAID/G
15. Public-Use Planning for Protected Areas	CPI	USAID/G

Theme D. Improved Private Sector Environmental Performance

Main Goal: To improve the private sector environmental performance

Purpose: Improve private sector environmental performance through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private partnerships and strengthened human and institutional capacity

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production



Guatemala

(continued)

Outcome #1: Improved trade related environment policies and incentives

OUTPUTS

- 1.1 Enhanced national policy framework by incorporating the regional cleaner production policy/strategy and environmental management system guidelines
- 1.2 Augmented will of the private sector to enter in voluntary agreements with the government to improve environmental performance
- 1.3 Incentives promoted for the establishment of public-private partnerships that encourage (1) use of cleaner production processes, (2) improved energy efficiency, (3) adoption of environmental management systems, and (4) easier access to financing for cleaner production projects
- 1.4 A regional high profile award ceremony is held to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives
- 1.5 New technical, energy efficiency standard for motors, equipment, household products, or other products adopted

ACTIVITIES

	Implementing Agency	Managing Agency
1. Facilitated functioning of Regional and National Inter-sectorial commissions.	HSI	OES
2. Facilitated creation of regional Cleaner Production Award.	CCAD	USAID
3. Facilitated initiation of Waste Commercialization System.	CCAD	E-CAM
4. Facilitated national policies for cleaner production.	CCAD	USAID
5. Created business plans for industrial waste exchange	CCAD	USAID

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production
 Outcome #2: Increased commitment of the private sector to environmental performance (Capacity and Information)

OUTPUTS

- 2.1 Develop, promote, and disseminate manuals and case studies that describe best practices for cleaner production in five sectors
- 2.2 Work with other CAFTA-DR governments to establish a regional cleaner production information center that includes a cleaner production and EMS database and website with technical guides, case studies, industrial benchmarks, standardized templates for audit reports and bidding documents and other relevant information linked to the Mesoamerican Environmental Information System (SIAM) to promote greater understanding and adoption of cleaner production and energy efficiency technologies and practices

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<p>2.3 Conduct workshops, in association with the Cleaner Production Center, and train professionals from government agencies, financial institutions, industry associations, universities, and NGOs on cleaner production and EMS, establishing a core team of national “train-the-trainers” in the field</p> <p>2.4 Work with the CPC to develop and disseminate (including to Universities and other institutions of higher learning) training materials, course curricula, and case studies on cleaner production, EMS implementation, and environmental auditing</p> <p>2.5 Enhanced capacities of environmental experts to train, accredit and certify cleaner production</p>		Managing Agency
ACTIVITIES	Implementing Agency	Managing Agency
<p>1. Developed Environmental Management Systems (EMS) training materials.</p> <p>2. Proposed technical standards for sectorial diagnostics in poultry and tourism sectors.</p>	EPA	E-CAM
<p>Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production</p> <p>Outcome #3: Improved and context adapted public-private partnerships and voluntary agreements</p>		
OUTPUTS		
<p>3.1 Work with a large transnational company to ensure its compliance with secondary wastewater standards</p> <p>3.2 Implement two voluntary cleaner production agreements in two priority sectors [sectors to be defined by the Government of Guatemala]</p> <p>3.3 Establish at least two public-private partnerships to leverage private sector funding, help green their supply-chain and implement national and regional cleaner production strategies, policy instruments, and initiatives</p> <p>3.4 Improved cleaner production finance systems</p> <p>3.5 Work with at least five companies to adopt cleaner production and/or energy efficiency technologies</p>		
ACTIVITIES	Implementing Agency	Managing Agency
<p>1. Conducted cleaner production workshops attended by 18 people from SME dairy companies.</p>	WEC	OES



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2. Signed MOU agreements for program participation with 11 SME dairy companies, Wal-Mart and a small hotel association (APEHGUA).

OES

WEC



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Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Main Goal: To strengthen institutions for effective implementation and enforcement of environmental laws
Purpose: Strengthen environmental institutions, laws and policies, promote the effective 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 A.1

To strengthen government institutions for effective implementation and enforcement of environmental laws, regulation and policies

Purpose: Strengthen EIA capabilities
Outcome #1: Strengthened EIA capabilities

OUTPUTS

- 1.1 Environmental Impact Assessment (EIA) sector guidelines is used for reviewing EIAs from the commercial mining, tourism and energy sectors
- 1.2 Conduct at least six trainings for more than 40 government officials and representatives from the private sector on “Principles for EIA Review”
- 1.3 Decrease from 2006 levels backlogs of EIAs awaiting review from enterprises in the commercial mining, tourism, and energy sectors

ACTIVITIES

	Implementing Agency	Managing Agency
1. Held two coordination meetings with EIA directors	EPA	E-CAM
2. Translated and published EIA course manuals	CCAD	E-CAM
3. Created draft regulation for the registry of environmental service providers	MIRA	USAID/H
4. Carried out two workshops to disseminate information about application of regulations	MIRA	USAID/H
5. Follow up scoping mission	EPA	E-CAM

Purpose: Strengthened laws, regulations, policies and procedures in wastewater management
Outcome #2: Wastewater management is improved

OUTPUTS

- 2.1 At least two basic elements of the model for wastewater management regulation that the CAFTA-DR governments endorsed in 2005 are implemented in national environmental laws



Honduras

(continued)

2.2 Best practices are implemented in at least three wastewater treatment facilities, as described in the manual, “Appropriate Sustainable Wastewater Treatment Systems”

ACTIVITIES	Implementing Agency	Managing Agency
1. Wastewater Regulatory Model adopted.	EPA	E-CAM
2. Supported implementation of a standard model	EPA	E-CAM
3. Crafted draft regulation for wastewater discharge and re-use.	MIRA	USAID/H
4. Carried out two workshops to disseminate information about application of regulations	MIRA	USAID/H
5. Second and final round of meetings / consultations with representatives of the Environment and Health Ministries and agencies/institutions that deal with enforcement of wastewater regulations to follow-up wastewater regulation implementation priorities agreed on First round. This is a follow-up to a first visit.	EPA	E-CAM
6. Training course on inspection of wastewater discharges and donation of sampling equipment	EPA	E-CAM
7. ASWTS Manual finalized and available for distribution to all CAFTA-DR countries (regional)	EPA	E-CAM
8. Regional standard workshop on requirements for ISO 17025 Laboratory accreditation for environmental laboratories in CAFTA-DR countries	EPA	E-CAM
Purpose: Promote solid waste regional management policy and strategy at national and municipal levels Outcome #3: Solid waste management is improved		
OUTPUTS		
3.1 Adopt and begin implementing key elements of the Regional Solid Waste Policy Framework.		
3.2 At the municipal level, implement a pilot program for national recycling.		
3.3 Institute a system of solid waste exchanges that is integrated into a regional solid waste exchange network		
ACTIVITIES	Implementing	Managing

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	Agency	Agency
<ol style="list-style-type: none"> 1. Completed proposal for Solid Waste Management Policy and Strategy. 2. Developed and implemented Regional Solid Waste Management Exchange unit and Inventories, Business Plans and Platform. 3. Created draft regulation for integrated solid waste management. 4. Worked with SERNA to prioritize 8 key regulations for the four priority export sectors in the CAFTA-DR agreement (textile, forest, tourism, and agro-industries) 5. Drafted regulations, procedures, and best practices guidelines based on the National Environmental Law 6. Carried out two workshops to disseminate information about application of regulations. 	<p>CCAD/EPA</p> <p>CCAD/EPA</p> <p>MIRA</p> <p>MIRA</p> <p>MIRA</p> <p>MIRA</p>	<p>E-CAM</p> <p>USAID/H</p> <p>USAID/H</p> <p>USAID/H</p> <p>USAID/H</p>
<p>Purpose: Assist governments and industry associations in strengthening procedures for the sound management of chemicals, hazardous substances and wastes</p> <p>Outcome #4: Chemical and hazardous substances management is improved</p>		
OUTPUT		
<ol style="list-style-type: none"> 4.1 Adopt a strategy for implementing Strategic Approach to International Chemicals Management (SAICM) 4.2 Train at least 25 people to respond safely to uncontrolled releases of chemical substances 4.3 Train at least 25 people on the safe handling of pesticides and safe recycling of pesticide containers to reduce the impact related to their handling 4.4 Complete a national inventory of products and wastes containing mercury and uses of mercury 4.5 Complete a demonstration project on reduction of mercury use in hospitals 4.6 A strategy for adopting a Regional Pollutant Release and Transfer Registry (PRTR) Work Plan is developed according to United Nations Institute for Training and Research (UNITAR) guidelines. 		
ACTIVITIES	Implementing Agency	Managing Agency



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1. With officials of the Regional Technical Committee on Chemical Safety, reviewed national efforts to implement SAICM and developed an approach for a regional strategy.	EPA	E-CAM
2. Adopted demonstrations project focusing on a search for alternatives for final disposal and treatment of chemical substances.	CCAD/EPA	E-CAM
3. Considered demonstration projects suggested by each country for safe handling of mercury; selected projects from Honduras and Costa Rica.	EPA	E-CAM
4. Laid foundation of mercury safe handling project.	MIRA	USAID/H
5. Completed a regional analysis in preparation of PRTR work plan implementation (EPA - 2 countries, CCAD - 4 countries).	EPA	E-CAM
6. Created draft regulation for control of chemical substances.	MIRA	USAID/H
7. Created draft regulation for the transportation of chemical substances, wastes, and hazardous materials.	MIRA	USAID/H
8. Carried out two workshops to disseminate information about application of regulations.	MIRA	USAID/H
9. Adopted regional PRTR work plan using UNITAR recommendations.	EPA/CCAD	E-CAM
10. Completed a regional analysis in preparation of PRTR work plan implementation (EPA - 2 countries, CCAD - 4 countries).	EPA/CCAD	E-CAM
11. Created national committees to oversee PRTR program.	CCAD	E-CAM

Purpose: Strengthen institutional capacity for air quality management
 Outcome #5: Air quality management is enhanced

OUTPUTS

- 5.1 A national standard of car emissions adopted and implemented
- 5.2 Work to implement the national regulation on emissions from fixed sources
- 5.3 Put in place a PM10 air monitoring network in Managua
- 5.4 Participate in a Regional Air Monitoring Network and develop and implement a harmonized Air Quality Index.

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5.5 air quality information is published through SERVIR regularly

ACTIVITIES

- 1 Conducted technical visits to region to establish contact points in air quality.
2. Held an Air Quality Management and Remote Satellite Sensing in Panama City (SERVIR Platform - CATHALAC).
3. Completed technical air quality monitoring visits
4. Strengthened capacities of countries for inventories on air pollution.
5. Provided training in air quality monitoring to government officials.
6. Created draft regulation for Control of Stationary-Source Air Emissions.
7. Carried out two workshops to disseminate information about application of regulations.
8. Strengthened capacities of countries for inventories on air pollution.

Purpose: Develop government capacity to efficiently process and evaluate requests for environmental impact evaluations from public and private entities, and ensure implementation of appropriate mitigation measures
 Outcome #6: Administrative procedures for filing environmental complaints are improved

OUTPUTS

6.1 Improve the existing administrative procedures for receiving information about possible violations of environmental laws, following-up, and resolving any complaints associated with such violations

ACTIVITIES

1. Identified specific needs by country.
2. Developed regional model for harmonizing administrative procedures.
3. Validated a Guide for the Implementation of Voluntary Agreements for Cleaner Production, which is now in use.
4. Conducted an accreditation roundtable, attended by 275 people; also provided training in ISO/IEC 17024 Regulations.

Additional outputs

OUTPUTS

Implementing Agency	Managing Agency
EPA	E-CAM
EPA	E-CAM
EPA	E-CAM
EPA	E-CAM
EPA/CCAD	E-CAM
MIRA	USAID/H
MIRA	USAID/H
EPA	E-CAM

Implementing Agency	Managing Agency
E-CAM	E-CAM
E-CAM	E-CAM
E-CAM	E-CAM
E-CAM	E-CAM

Implementing Agency	Managing Agency
E-CAM	E-CAM
E-CAM	E-CAM
E-CAM	E-CAM
E-CAM	E-CAM



Honduras

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7.1 In accordance with the National Environmental Law, environmental ordinance is adopted and implemented by municipal government

7.2 Adopt and implement a strategy that establishes priorities for environmental compliance activities

ACTIVITIES	Implementing Agency	Managing Agency
<i>No activities reported</i>		
Sub Goal A.2		
<i>To strengthen government institutions for effective enforcement of environmental laws</i>		
Purpose: Improve enforcement of environmental laws through training, coordination and technical assistance, especially in the area of customs		
Outcome #1: Environmental law enforcement and tracking and resolution of cases is improved		
OUTPUTS		
1.1 Improved environmental curriculum of universities and other institutions of higher learning (including law schools)		
1.2 Adopted and implemented environmental compliance and enforcement indicators by government institutions to better measure the effectiveness of enforcement and compliance programs		
1.3 Increased capacity of the judicial system to improve their environmental law training program		
1.4 Improved import-export control of trade covered by MEAs		
1.5 Train at least 100 individuals to conduct environmental inspections, investigate and prosecute environmental crimes, and/or adjudicate violations of civil and criminal environmental laws, including laws related to controlling river pollution, operating waste treatment plants, and protecting and preserving marine areas, forests, and wildlife		
ACTIVITIES	Implementing Agency	Managing Agency
1. Translated survey course into Spanish. Course is presented for investigators and prosecutors from environmental ministries, justice ministries, and police forces in the Region.	EPA	E-CAM
2. Created draft regulation for Environmental Audits.	MIRA	USAID/H
3. Carried out two workshops to disseminate information about application of environmental regulations.	MIRA	USAID/H

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Purpose: Improve coordination of officials responsible for enforcing laws ensuring the sustainability of fisheries
 Outcome #2: Fisheries regulation and law enforcement is improved

OUTPUTS

2.1 With coordinating assistance from OSPESCA, capacity to assess institutional and legal frameworks for managing fisheries, with particular attention paid to monitoring, control and surveillance (MCS) strengths, weaknesses and gaps is enhanced

ACTIVITIES

Managing Agency

Implementing Agency

No activities reported

Sub Goal A.3

To increase public participation and transparency to support informed decision-making

Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development
 Outcome #1: More quality environmental information is accessible for the population

OUTPUTS

1.1 Improved procedures and protocols for accurately measuring environmental data and quality in accordance with international standards

1.2 Improved environmental data collection methods to increase available information on the Mesoamerican Environmental Information System (SIAM) and link it to SERVIR

1.3 Ensure that a minimum of one accredited environmental laboratory and one mobile environmental laboratory are operative

1.4 A National System of Environmental Information is implemented

ACTIVITIES

Managing Agency

Implementing Agency

1. Trained 40 people in the use of SERVIR.

2. Registered 109 new users in SERVIR's information portal.

3. Received and reviewed proposals for pilot projects (16 in total).

4. Provided Trifinio Tri-national Commission with images of ASTER park area.

5. Completed SERVIR national training.

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6. Upgraded SERNA website to include online system for public inquiries, for public complaints and a web-based system for environmental review. MIRA USAID/H

Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development
 Outcome #2: Public Involvement in Environmental Decision-Making is improved

OUTPUTS

2.1 Enhanced capacity for government institutions to receive and process and respond to public complaints about violations of environmental laws

2.2 An environmental information center that is opened and accessible to the public

2.3 Civilians and members of civil society organizations are involved in environmental decision-making and enforcement

ACTIVITIES

1. Sponsored workshops; drafted summary of GOH opportunities/obligations under Chapter 17 and other laws. NGO OES

2. Created draft regulation for registry of environmental service providers. MIRA USAID/H

Theme B. Biodiversity and Conservation

Main Goal: To protect wildlife and habitat for the long term economic and environmental development
 Purpose: Enforce the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and improve management of forest resources and protected areas for wildlife and habitat protection

Purpose: Work with local government and non-governmental partners to strengthen the effective enforcement of national environmental laws and MEAs, specifically CITES, to enhance to long-term protection of wildlife

Outcome #1: Honduras' environment protection program is aligned with CITES

OUTPUTS

1.1 Increased capacities in law enforcement aimed at preventing illegal trade of species

1.2 Education and outreach campaigns on species conservation conducted

1.3 Animal rescue centers follow CITES guidelines on rehabilitation, confiscation, and possible disposal of species

1.4 Improved systems for tracking and monitoring permitted wildlife that complies with CITES national obligations

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1.5 Enhanced capabilities of officials to make non-detriment findings under CITES and work to institutionalize the training
 1.6 A scientific assessment and complete inventory of mahogany is conducted

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
1. Established formal partnership with CITES Secretariat to develop long-term, sustainable regional training; conducted joint high-level consultations and training.	DOI	OES
2. Finalized CITES gap analyses and obtained clearance prior to printing and distribution.	TRAFFIC	OES
3. Completed law enforcement needs assessments for protected areas.	DOI	EGAT
4. Supported participation at workshop in CR and Honduras - 40 officials and additional experts trained in standardized approaches to wildlife trade and enforcement issue - and in workshop in Mexico on Non Detriment Findings - 92 CAFTA-DR persons trained.	TRAFFIC	OES
5. Obtained national endorsements of corridor; completed ground truthing manual, trained 174 stakeholders, conducted numerous surveys and related activities	WCS	OES
6. Trained 35 enforcement/inspection personnel to combat illegal trade; distributed 45 sets of training materials and 70 CDs.	HSI	OES
7. Worked with SERNA to create a National Environmental Law Enforcement Strategy.	MIRA	USAID/H
8. Conducted workshop in which 30 participants identified concrete actions to strengthen decision-making; distributed educational materials to all Authorities representatives and participants.	HSI	OES
9. Conducted 5-day workshop for 18 participants in Coral Reef Crime Scene Investigation.	ICRAN	OES
10. Worked with SERNA to create procedural and best practice guidelines between subsectors	MIRA	USAID/H
11. Presented manuals of standards for wildlife management to the vice-minister of the Forest Conservation Institute.		
12. Awarded 14 NGO grants for billboards, brochures, stickers, media spots, t-shirts and education curricula; reached at least 723,000 local persons	HSI	OES
13. Awarded 7 NGO grants for travel agency sales manual, posters, CDs; reached 70,000 tourists.	HSI	OES
14. Issued 7 MOUs with NGOs to initiate events, media ads and materials for public education on endangered species conservation.	HSI	OES



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15. Developed methodology for conducting an inventory of big-leaf mahogany in the Rio Platano Biological Reserve.	FS		
16. Providing technical assistance as well as funds to the Nature Conservancy and other partners to build capacity on research methodologies and data analysis and to design interventions to help protect the Golden-Cheeked Warbler and its habitat.	FS		
17. With local partner, COHECO, completed first phase of big-leaf mahogany inventory within Rio Platano Reserve. This is the first phase of a two phase planned inventory process. A total of 52 parcels were inventoried in the reserve.	FS		
18. Created Microsoft access database for the compilation and analysis of data collected during big-leaf mahogany inventory. Working with local partners to populate this database with data obtained during first phase of inventory.	FS		
Purpose: Promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging			
Outcome #2: Improved management of protected areas and ecosystems			
OUTPUTS			
2.1 Improved capacities to enforce its laws related to forests and protected areas			
2.2 Improved environmental management in existing protected areas, watersheds, buffer zones, and environmental corridors			
ACTIVITIES			
1. Created listings of frequently commercialized wildlife in a publication for use by enforcement entities.	CCAD	E-CAM	
2. Conducted regional rescue center best practices workshop for 24 NGOs and government representatives; distributed 330 manuals/brochures; funded 6 NGO grants to improve wildlife rescue facilities.	HSI	OES	
3. Issued 8 grants (4 institutional, 4 technical assistance) to improve capacity of local wildlife rescue centers and establish model a center; held 4 technical trainings.).	HSI	OES	
4. Prepared a National Wetland Inventory that is published and available to the public	MIRA	USAID/H	
Purpose: Outcome #3: Sustainable alternatives to wildlife extraction and trade / ecotourism			
OUTPUTS			
<i>No outputs identified</i>			
ACTIVITIES			
	Implementing Agency	Managing Agency	

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- 1. Conducted needs assessments for 6 ecotourism sites; awarded 8 NGO grants for infrastructure, promotion and training. OES
- 2. Disbursed 6 grants for infrastructure and 6 for printed tourism materials for ecotourism providers. HIS OES

Purpose:

Outcome #4: Forest, protected areas and sensitive ecosystem management

OUTPUTS

- 4.1 Implementation of the Strategic Plan of the National System of Protected Areas started
- 4.2 Improve environmental management in five existing protected areas
- 4.3 Train people from at least 20 indigenous communities living in and near ten protected areas in resource management strategies
- 4.4 Provision of a wood identification manual to customs and border officials to facilitate legal and combat illegal timber trade
- 4.5 Train at least 80 officials total on the full range of taxonomy and identification of wood species (including CITES listed species)
- 4.6 Train an official from a Honduran non-governmental organization in the best ways to engage in conservation and sustainable management of forest resources
- 4.7 Begin implementation of the Regional Forestry Strategic Program (PERFOR) for the management of the forest
- 4.8 Implement a “pilot” chain of custody system for broadleaf mahogany
- 4.9 Participate in mapping out a “jaguar corridor” as part of the Mesoamerican Biological Corridor.

ACTIVITIES

- 1. Developed bilingual wood identification manual for use in Honduras and other CAFTA countries to promote the legal trade of timber species. This is pending translation and printing FS
- 2. Supported conservation efforts for the golden-cheeked warbler and its pine-oak habitat. FS

Purpose: Improve compliance with requirements and promote adoption of best practices to reduce accidental by-catch of endangered sea turtles
 Outcome #5: Improved sea turtle conservation



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OUTPUTS

5.1 Enhanced capacities on the proper use of turtle excluder devices (TEDs).

ACTIVITIES

Implementing Agency

Managing Agency

No activities reported

Theme C. Market-based Conservation

Main Goal: To implement a market based conservation system

Purpose: Maintain natural resources base and protect the environment to support sustained economic growth

Purpose: Support economic growth projects in sustainable agriculture and tourism that promote conservation and generate income for surrounding communities

Outcome #1: Improved management and conservation of the environment through ecotourism, environmental friendly agricultural and forest product commercialization practices and organically certified crop production

OUTPUTS

1.1 Enhanced comprehension of families, community leaders, or guides who live in or around protected and buffer zones, biosphere reserves and local biological corridors that eco-tourism and sustainable agriculture and forestry production can be economically profitable

1.2 Trainers have enhanced capacities of small and medium-sized business owners and protected area managers to implement effective marketing strategies to increase access to markets for sustainably and environmentally produced biodiversity-related, agricultural, and forest products and eco-tourism services

1.3 Fee structures that will generate funds for use in improving the management of aquatic, marine, terrestrial and cultural resources established in three protected areas

1.4 National Ecosystem Strategy Strengthened

1.5 The amount of arable land that supports organically certified crops and where farmers are implementing environmental management best practices is expanded

1.6 More environmental friendly farming practices and increased market shares for, and income from their quality products

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- 1.7 Work to ensure that at least 30 entities from the private sector, government, and civil society participate in activities to improve lobster fishery management.
- 1.8 Work to ensure that at least 30% of the industrial fleet adopts “Better Lobster Management Practices.”
- 1.9 Work to ensure that at least 20% of the artisanal fleet adopts “Better Lobster Management Practices.”

ACTIVITIES	Implementing Agency	Managing Agency
1. With partners in Costa Rica, Honduras and Nicaragua, FS is completing a biophysical and economic assessment of cacao landscapes. Recommendations will help small landowners optimize their management to maximize biodiversity conservation, income generation and carbon sequestration.	FS	
2. Solicited local support and held two meetings with two eco-tourism enterprises with the objective of meeting sustainability criteria as defined by the Honduras Institute of Tourism.	MIRA	USAID/H
3. Trained 65 guides in topics covering biodiversity basics, search and rescue, and basic first aid.	MIRA	USAID/H
4. Created Las Palmas Nature Trail Initiative with the Cueri y Salado Wildlife Refuge Foundation.	MIRA	USAID/H
5. Assisted four Paseo Cangrejal initiatives with technical expertise and financial resources.	MIRA	USAID/H
6. Certified 5000 new hectares under Rainforest Alliance Certification, for a total of more than 89,000 ha to date.	RA	OES
7. Drafted the Farmer Self Assessment Guide to help farmers understand sustainable agriculture standards and assess their needs for improved farming techniques.	RA	OES
8. Delivered 46 best practices events in coffee production to a total of 500 agronomists, technicians, and internal auditors.	RA	OES
9. Completed value chain analysis for increased sales volume and revenue from certified sustainable coffee, cacao and bananas.	RA	OES
10. Implemented five 2-day workshops for 149 participants to improve the quality of cacao pods.	HSI	OES
11. Developed and distributed workshop materials to 149 participants directly, and 4000 producers indirectly.	HSI	OES
12. Trained 100 farmers in agro-forestry implementation and high value alternative crops.	MIRA	USAID/H
13. Carried out 98 monitoring visits and 80 training events on parcel maintenance, management of various agro-forestry crops (plantain, rambutan, coconut, and manioc) and the certification process for hardwood species.	MIRA	USAID/H
14. Worked through Greenwood/Madera Verde to create market linkages between Taylor guitars and indigenous communities to source high quality and sustainably harvested wood.	FS	



Honduras

(continued)

Theme D. Improved Private Sector Environmental Performance

Main Goal: To improve the private sector environmental performance

Purpose: Improve private sector environmental performance through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private partnerships and strengthened human and institutional capacity

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production
Outcome #1: Improved trade related environment policies and incentives

OUTPUTS

1.1 Enhanced national policy framework by incorporating the regional cleaner production policy/strategy and environmental management system guidelines

1.2 Augmented will of the private sector to enter in voluntary agreements with the government to improve environmental performance

1.3 Incentives promoted for the establishment of public-private partnerships that encourage (1) use of cleaner production processes, (2) improved energy efficiency, (3) adoption of environmental management systems, and (4) easier access to financing for cleaner production projects

1.4 A regional high profile award ceremony is held to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives

1.5 New technical, energy efficiency standard for motors, equipment, household products, or other products adopted

1.6 With support from the CNP+LH, establish norms for certifying cleaner production trainers and training courses.

ACTIVITIES

1. Facilitated functioning of Regional and National Inter-sectorial commissions.

2. Facilitated creation of regional Cleaner Production Award.

3. Facilitated initiation of Waste Commercialization System.

4. Created inventories of industrial waste sources and volumes.

5. Facilitated national policies for cleaner production

Implementing Agency	Managing Agency
HSI	OES
CCAD	USAID
CCAD	E-CAM
CCAD	E-CAM
CCAD	USAID

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Honduras *(continued)*

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #2: Increased commitment of the private sector to environmental performance (Capacity and Information)		
OUTPUTS		
2.1 Cleaner production and energy efficiency practices and strategies adopted and used by business of the private sector		
2.2 Enhanced capacities of environmental experts to train, accredit and certify cleaner production		
ACTIVITIES		
	Implementing Agency	Managing Agency
1. Developed Environmental Management Systems (EMS) training materials.	EPA	E-CAM
2. Conducted training for the pork and poultry sectors in cleaner production methodologies.	EPA	USAID
3. Drafted a biodiesel guide with specialists from the Honduran Cleaner Production Center.	MIRA	USAID/H
4. Developed proposal for cleaner production guidelines for tilapia farming, poultry and swine production; African palm plantations and palm-fruit processing (focused on biofuels); primary forest sector; tourism (hotels); textiles and sugar cane plantations.	MIRA	USAID/H
Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production Outcome #3: Improved and context adapted public-private partnerships and voluntary agreements		
OUTPUTS		
3.1 Work with a soft-drink bottler to ensure it complies with the wastewater standards		
3.2 Work with a large transitional company and strengthen the capacity of three to five other key industries in water use efficiency and wastewater management		
3.3 Implement a voluntary cleaner production agreement in at least one of the priority sectors: textiles, tourism, forestry or agro-industry		
3.4 Work with at least five companies to adopt cleaner production and/or energy efficiency technologies		
ACTIVITIES		
	Implementing Agency	Managing Agency
<i>No activities reported</i>		



N I C A R A G U A

Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Main Goal: To strengthen institutions for effective implementation and enforcement of environmental laws
Purpose: Strengthen environmental institutions, laws and policies, promote the effective 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 A.1

To strengthen government institutions for effective implementation and enforcement of environmental laws, regulation and policies

Purpose: Strengthen EIA capabilities
Outcome #1: Strengthened EIA capabilities

OUTPUTS

- 1.1 Environmental Impact Assessment (EIA) sector guidelines is used for reviewing EIAs from the commercial mining, tourism and energy sectors
- 1.2 Decrease from 2006 levels review time for EIAs from enterprises in commercial mining, tourism, and energy sectors
- 1.3 Implement EIA procedures established in CATEGORIES II and III of the Environmental Evaluation decree 76-2006
- 1.4 Train at least 100 government officials and private sector representatives on “Principals for EIA Review”

ACTIVITIES

- 1. Held two coordination meetings with EIA directors
- 2. Translated and published EIA course manuals.
- 3. Completed 5 scoping missions to explain EIA programs.
- 4. Follow-up scoping mission

Implementing Agency	Managing Agency
EPA	E-CAM
CCAD	E-CAM
EPA/CCAD	E-CAM
EPA	E-CAM

Purpose: Strengthened laws, regulations, policies and procedures in wastewater management
Outcome #2: Wastewater management is improved

OUTPUTS

- 2.1 The model for wastewater management regulation that the CAFTA-DR governments endorsed in 2005 is implemented in national environmental laws

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Nicaragua *(continued)*

- 2.2 Best practices are implemented in wastewater treatment facilities, as described in the manual, “Appropriate Sustainable Wastewater Treatment Systems”
- 2.3 Implementation of the basic elements of the revised wastewater regulation started
- 2.4 Improved parameters concerning the number of facilities reporting on wastewater discharge
- 2.5 The number of facilities reporting on wastewater discharges increased by 50 percent

ACTIVITIES

	Implementing Agency	Managing Agency
1. Wastewater Regulatory Model adopted.	EPA	E-CAM
2. Supported implementation of a standard model.	EPA	E-CAM
3. Second and final round of meetings / consultations with representatives of the Environment and Health Ministries and agencies/institutions that deal with enforcement of wastewater regulations to follow-up wastewater regulation implementation priorities agreed on First round. This is a follow-up to a first visit.	EPA	E-CAM
4. Training course on inspection of wastewater discharges and donation of sampling equipment	EPA	E-CAM
5. ASWTS Manual finalized and available for distribution to all CAFTA-DR countries (regional)	EPA	E-CAM
6. Regional standard workshop on requirements for ISO 17025 Laboratory accreditation for environmental laboratories in CAFTA-DR countries	EPA	E-CAM

Purpose: Promote solid waste regional management policy and strategy at national and municipal levels

Outcome #3: Solid waste management is improved

OUTPUTS

- 3.1 A system for monitoring the amount of solid waste that enters landfills and the amount of recycling that occurs adopted and implemented
- 3.2 CAFTA-DR governments have established Regional Solid Waste Management Exchange units

ACTIVITIES

Implementing Agency	Managing Agency



Nicaragua

(continued)

1. Completed proposal for Solid Waste Management Policy and Strategy. CCAD/EPA E-CAM
2. Developed and implemented Regional Solid Waste Management Exchange unit and Inventories, Business Plans and Platform.

Purpose: Assist governments and industry associations in strengthening procedures for the sound management of chemicals, hazardous substances and wastes
 Outcome #4: Chemical and hazardous substances management is improved

OUTPUTS

- 4.1 Implement at least one element of the Strategic Approach to International Chemicals Management (SAICM)
- 4.2 Train at least 20 people to respond safely to uncontrolled releases of chemical substances.
- 4.3 Complete a more detailed national inventory of products and wastes containing mercury and uses of mercury.
- 4.4 Complete a demonstration project on reduction of mercury use in hospitals.
- 4.5 A Regional Pollutant Release and Transfer Registry (PRTR) Work Plan according to United Nations Institute for Training and Research (UNITAR) guidelines is adopted and used by Costa Rica

ACTIVITIES

- | ACTIVITIES | Implementing Agency | Managing Agency |
|---|---------------------|-----------------|
| 1. With officials of the Regional Technical Committee on Chemical Safety, reviewed national efforts to implement SAICM and developed an approach for a regional strategy. | EPA | E-CAM |
| 2. Adopted demonstrations project focusing on a search for alternatives for final disposal and treatment of chemical substances. | CCAD/EPA | E-CAM |
| 3. Considered demonstration projects suggested by each country for safe handling of mercury; selected projects from Honduras and Costa Rica. | EPA | E-CAM |
| 4. Adopted regional PRTR work plan using UNITAR recommendations. | EPA/CCAD | E-CAM |
| 5. Completed a regional analysis in preparation of PRTR work plan implementation (EPA - 2 countries, CCAD - 4 countries). | EPA/CCAD | E-CAM |
| 6. Created national committees to oversee PRTR program. | CCAD | E-CAM |

Purpose: Strengthen institutional capacity for air quality management
 Outcome #5: Air quality management is enhanced

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Nicaragua (continued)

OUTPUTS

- 5.1 More stringent and harmonized air quality/ fuel emissions standards are used
- 5.2 Put in place a PM10 air monitoring network in Managua.
- 5.3 Participate in a Regional Air Monitoring Network and develop and implement a harmonized Air Quality Index.
- 5.4 Air quality information is published through SERVIR regularly

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
1. Conducted scoping missions to region to determine human resource capacity and equipment conditions in air quality.	EPA	E-CAM
2. Held an Air Quality Management and Remote Satellite Sensing in Panama City (SERVIR Platform - CATHALAC).	EPA	E-CAM
3. Completed refurbishment of PM10 equipment for two air quality monitoring stations.	EPA	E-CAM
4. Donated air quality equipment.	CCAD	E-CAM
5. Strengthened capacities of countries for inventories on air pollution.	EPA	E-CAM

Purpose: Develop government capacity to efficiently process and evaluate requests for environmental impact evaluations from public and private entities, and ensure implementation of appropriate mitigation measures
 Outcome #6: Administrative procedures for filing environmental complaints are improved

OUTPUTS

- 6.1 Enhanced capacity to use an administrative procedure for filing and reviewing environmental claims
- 6.2 Enhanced criteria for resolving claims in an administrative tribunal

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
1. Identified specific needs by country.		E-CAM
2. Developed regional model for harmonizing administrative procedures.		E-CAM
3. Validated a Guide for the Implementation of Voluntary Agreements for Cleaner Production, which is now in use.		E-CAM
4. Conducted an accreditation roundtable, attended by 275 people; also provided training in ISO/IEC 17024 Regulations.		E-CAM



Nicaragua

(continued)

<p>5. Integrated monitoring and evaluation methodology, System for Management Effectiveness of the Protected Areas in the National System of Protected Areas (SINAP). E-CAM</p> <p>6. Developed needs assessments for measures required to accredit environmental laboratories; provided recommendations. CCAD/EPA E-CAM</p> <p>7. Conducted 2 national workshops. E-CAM</p> <p>8. Created manual for environmental inspectors; in consultation process. E-CAM</p> <p>9. Provided Model Law on Soil Use for the BOSAWAS Reserve. E-CAM</p>		
OUTPUTS		
<p>7.1 In accordance with the National Environmental Law, environmental ordinance is adopted and implemented by municipal government</p> <p>7.2 A law enforcing accountability for and penalizing violation of environmental regulations is adopted</p>	Implementing Agency	Managing Agency
<i>No activities reported</i>		
Sub Goal A.2		
<i>To strengthen government institutions for effective enforcement of environmental laws</i>		
<p>Purpose: Improve enforcement of environmental laws through training, coordination and technical assistance, especially in the area of customs</p> <p>Outcome #1: Environmental law enforcement and tracking and resolution of cases is improved</p>		
OUTPUTS		
<p>1.1 Improved environmental curriculum of universities and other institutions of higher learning (including law schools)</p> <p>1.2 Adopted and implemented environmental compliance and enforcement indicators by government institutions to better measure the effectiveness of enforcement and compliance programs</p> <p>1.3 Increased capacity of judges on environmental issues that may arise in court cases brought to enforce environmental laws</p>		

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Nicaragua (continued)

1.4 Improved import-export control of trade covered by MEAs

1.5 Train at least 100 individuals to conduct environmental inspections, investigate and prosecute environmental crimes, and/or adjudicate violations of civil and criminal environmental laws, including laws related to controlling river pollution, operating waste treatment plants, and protecting and preserving marine areas, forests, and wildlife

ACTIVITIES

	Implementing Agency	Managing Agency
1. Translated survey course into Spanish. Course is presented for investigators and prosecutors from environmental ministries, justice ministries, and police forces in the Region.	EPA	E-CAM
2. Trained over 100 customs officials, police, and other authorities over 5 workshops on new laws on forestry	FS	USAID/N

Purpose: Improve coordination of officials responsible for enforcing laws ensuring the sustainability of fisheries
 Outcome #2: Fisheries regulation and law enforcement is improved

OUTPUTS

2.1 With coordinating assistance from OSPESCA, capacity to assess institutional and legal frameworks for managing fisheries, with particular attention paid to monitoring, control and surveillance (MCS) strengths, weaknesses and gaps is enhanced

ACTIVITIES

No activities reported

Sub Goal A.3

To increase public participation and transparency to support informed decision-making

Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development
 Outcome #1: More quality environmental information is accessible for the population

OUTPUTS

1.1 Improved procedures and protocols for accurately measuring environmental data and quality in accordance with international standards

1.2 Improved environmental data collection methods to increase available information on the Mesoamerican Environmental Information System (SIAM) and link it to SERVIR

1.3 Ensure that a minimum of one accredited environmental laboratory and one mobile environmental laboratory are operative



Nicaragua

(continued)

ACTIVITIES	Implementing Agency	Managing Agency
1. Trained 40 people in the use of SERVIR. 2. Registered 109 new users in SERVIR's information portal. 3. Received and reviewed proposals for pilot projects; 2 in Nicaragua (16 in total). 4. Completed Regional Model for Registration and Certification of Environmental Service Providers.	NASA NASA NASA	E-CAM E-CAM E-CAM E-CAM
Purpose: Engage civil society in environmental decision-making to create a general culture of environmental protection and sustainable development Outcome #2: Public Involvement in Environmental Decision-Making is improved		
OUTPUTS		
2.1 Enhanced capacity for government institutions to receive and process and respond to public complaints about violations of environmental laws		
2.2 An environmental information center that is opened and accessible to the public		
2.3 Civilians and members of civil society organizations are involved in environmental decision-making and enforcement		
ACTIVITIES	Implementing Agency	Managing Agency
1. Sought to strengthen information follow-up of 200 organizations, to build capacity of small enterprises and promote public-private partnerships.	NGO	OES
Theme B. Biodiversity and Conservation		
Main Goal: To protect wildlife and habitat for the long term economic and environmental development		
Purpose: Enforce the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and improve management of forest resources and protected areas for wildlife and habitat protection		
Purpose: Work with local government and non-governmental partners to strengthen the effective enforcement of national environmental laws and MEAs, specifically CITES, to enhance to long-term protection of wildlife		
Outcome #1: Nicaragua's environment protection program is aligned with CITES		
OUTPUTS		

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- 1.1 Increased capacities in law enforcement aimed at preventing illegal trade of species
- 1.2 Education and outreach campaigns on species conservation conducted
- 1.3 Strengthen and/or improve the application of laws and procedures with the objective of bringing to trial people that illegally possess, sell, distribute, and market species protected under CITES and domestic laws.
- 1.4 Support facilities that are working to rehabilitate, protect, and conserve endangered or threatened flora and fauna.

ACTIVITIES	Implementing Agency	Managing Agency
1. Established formal partnership with CITES Secretariat to develop long-term, sustainable regional training; conducted joint high-level consultations and training.	DOI	OES
2. Finalized CITES gap analyses and obtained clearance prior to printing and distribution.	TRAFFIC	OES
3. Completed law enforcement needs assessments for protected areas.	DOI	EGAT
4. Supported participation at workshop in CR and Honduras - 40 officials and additional experts trained in standardized approaches to wildlife trade and enforcement issue - and in workshop in Mexico on Non Detriment Findings - 92 CAFTA-DR persons trained.	TRAFFIC	OES
5. Obtained national endorsements of corridor; completed ground truthing manual, trained 174 stakeholders, conducted numerous surveys and related activities	WCS	OES
6. Conducted workshop in which 30 participants identified concrete actions to strengthen decision-making; distributed educational materials to all Authorities representatives and participants.	HSI	OES
7. Conducted 5-day workshop for 18 participants in Coral Reef Crime Scene Investigation.	ICRAN	OES
8. Awarded 14 NGO grants for billboards, brochures, stickers, media spots, t-shirts and education curricula; reached at least 723,000 local persons	HSI	OES
9. Awarded 7 NGO grants for travel agency sales manual, posters, CDs; reached 70,000 tourists.	HSI	OES
10. Issued 7 MOUs with NGOs to initiate events, media ads and materials for public education on endangered species conservation.	HSI	OES



Nicaragua

(continued)

Purpose: Promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging

Outcome #2: Improved management of protected areas and ecosystems

OUTPUTS

2.1 Improved capacities to enforce its laws related to forests and protected areas

2.2 Improved environmental management in existing protected areas, watersheds, buffer zones, and environmental corridors

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
------------	---------------------	-----------------

- | | | |
|---|------|-------|
| 1. Created listings of frequently commercialized wildlife in a publication for use by enforcement entities. | CCAD | E-CAM |
| 2. Conducted regional rescue center best practices workshop for 24 NGOs and government representatives; distributed 330 manuals/brochures; funded 6 NGO grants to improve wildlife rescue facilities. | HSI | OES |
| 3. Issued 8 grants (4 institutional, 4 technical assistance) to improve capacity of local wildlife rescue centers and establish model a center; held 4 technical trainings). | HSI | OES |

Purpose:

Outcome #3: Sustainable alternatives to wildlife extraction and trade / ecotourism

OUTPUTS

No outputs identified

ACTIVITIES

ACTIVITIES	Implementing Agency	Managing Agency
------------	---------------------	-----------------

- | | | |
|---|-----|-----|
| 1. Conducted needs assessments for 6 ecotourism sites; awarded 8 NGO grants for infrastructure, promotion and training. | HSI | OES |
| 2. Disbursed 6 grants for infrastructure and 6 for printed tourism materials for ecotourism providers. | HSI | OES |

Purpose:

Outcome #4: Forest, protected areas and sensitive ecosystem management

OUTPUTS

4.1 Implemented national strategies for enforcing laws related to forests and protected areas

4.2 Provision of a wood identification manual to customs and border officials to combat illegal trade of timber

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Purpose: Promote sustainable management of wildlife, forests, protected areas and other ecologically important ecosystems, including reduction of illegal logging

Outcome #2: Improved management of protected areas and ecosystems

OUTPUTS

2.1 Improved capacities to enforce its laws related to forests and protected areas

2.2 Improved environmental management in existing protected areas, watersheds, buffer zones, and environmental corridors

ACTIVITIES

	Implementing Agency	Managing Agency
1. Created listings of frequently commercialized wildlife in a publication for use by enforcement entities.	CCAD	E-CAM
2. Conducted regional rescue center best practices workshop for 24 NGOs and government representatives; distributed 330 manuals/brochures; funded 6 NGO grants to improve wildlife rescue facilities.	HSI	OES
3. Issued 8 grants (4 institutional, 4 technical assistance) to improve capacity of local wildlife rescue centers and establish model a center; held 4 technical trainings.).	HSI	OES

Purpose:

Outcome #3: Sustainable alternatives to wildlife extraction and trade / ecotourism

OUTPUTS

No outputs identified

ACTIVITIES

	Implementing Agency	Managing Agency
1. Conducted needs assessments for 6 ecotourism sites; awarded 8 NGO grants for infrastructure, promotion and training.	HSI	OES
2. Disbursed 6 grants for infrastructure and 6 for printed tourism materials for ecotourism providers.	HSI	OES

Purpose:

Outcome #4: Forest, protected areas and sensitive ecosystem management

OUTPUTS

4.1 Implemented national strategies for enforcing laws related to forests and protected areas

4.2 Provision of a wood identification manual to customs and border officials to combat illegal trade of timber



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(continued)

- 4.3 Train an official from a Nicaraguan non-governmental organization in the best ways to engage in conservation and sustainable management of forest resources
- 4.4 Participate in mapping out a “jaguar corridor” as part of the Mesoamerican Biological Corridor.

ACTIVITIES	Implementing Agency	Managing Agency
1. Conducted workshop on CITES woods species identification 2. 32 government officials from five agencies trained on wood identification to facilitate their ability to identify CITES and other timber species. Currently translating and printing this document, May 29, 2009 3. Supported a local NGO and agroforestry project to establish agroforestry systems on 54 farms. More than 60 producers benefited from 12 training workshops on watershed management, integrated pest management, and soil and water conservation practices and 408 hectares across 10 communities were under improved environmental management. Agroforestry species used will help provide income within five years.	FS FS FS	USAID/N USAID/N USAID/N
Purpose: Improve compliance with requirements and promote adoption of best practices to reduce accidental by-catch of endangered sea turtles Outcome #5: Improved sea turtle conservation		
OUTPUTS		
5.1 Enhanced capacities to mitigate and reduce sea turtle by-catch and post-hooking mortality		
5.2 Established observer program to help ensure that vessels are properly using TEDs and circle hooks and complete experimental fishing trips		
ACTIVITIES	Implementing Agency	Managing Agency
No activities reported		
Theme C. Market-based Conservation		
Main Goal: To implement a market based conservation system Purpose: Maintain natural resources base and protect the environment to support sustained economic growth		
Purpose: Support economic growth projects in sustainable agriculture and tourism that promote conservation and generate income for surrounding communities		

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Outcome #1: Improved management and conservation of the environment through ecotourism, environmental friendly agricultural and forest product commercialization practices and organically certified crop production

OUTPUTS

- 1.1 Enhanced comprehension of families, community leaders, or guides who live in or around protected and buffer zones, biosphere reserves and local biological corridors that eco-tourism and sustainable agriculture and forestry production can be economically profitable
- 1.2 Trainers have enhanced capacities of small and medium-sized business owners and protected area managers to implement effective marketing strategies to increase access to markets for sustainably and environmentally produced biodiversity-related, agricultural, and forest products and eco-tourism services
- 1.3 Officials trained in forest certification processes, tree harvest selection, and strategic planning
- 1.4 More environmental friendly farming practices and increased market shares for, and income from their quality products
- 1.5 Work to ensure that at least 30% of the industrial fleet adopts “Better Lobster Management Practices.”
- 1.6 Work to ensure that at least 20% of the artisanal fleet adopts “Better Lobster Management Practices.”

ACTIVITIES

	Implementing Agency	Managing Agency
1. With partners in Costa Rica, Honduras and Nicaragua, FS is completing a biophysical and economic assessment of cacao landscapes. Recommendations will help small landowners optimize their management to maximize biodiversity conservation, income generation and carbon sequestration.	FS	
2. Certified 5000 new hectares under Rainforest Alliance Certification, for a total of more than 89,000 ha to date.	RA	OES
3. Drafted the Farmer Self Assessment Guide to help farmers understand sustainable agriculture standards and assess their needs for improved farming techniques.	RA	OES
4. Delivered 46 best practices events in coffee production to a total of 500 agronomists, technicians, and internal auditors.	RA	OES
5. Completed value chain analysis for increased sales volume and revenue from certified sustainable coffee, cacao and bananas.	RA	OES
6. Implemented five 2-day workshops for 149 participants to improve the quality of cacao pods.	HSI	OES
7. Developed and distributed workshop materials to 149 participants directly, and 4000 producers indirectly.	HSI	OES



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(continued)

- 8. Trained 142 producers on the requirements of independent certification programs, including flora and fauna inventories. HSI OES
- 9. Distributed education and PR materials to over 200 cooperative and community centers and 4000 cacao producers. HSI OES
- 10. Implemented 2-day workshop for 132 producers on increased market access and pricing. HSI OES

Theme D. Improved Private Sector Environmental Performance

Main Goal: To improve the private sector environmental performance

Purpose: Improve private sector environmental performance through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private partnerships and strengthened human and institutional capacity

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production
Outcome #1: Improved trade related environment policies and incentives

OUTPUTS

- 1.1 Enhanced national policy framework by incorporating the regional cleaner production policy/strategy and environmental management system guidelines
- 1.3 Augmented will of the private sector to enter in voluntary agreements with the government to improve environmental performance
- 1.3 Incentives promoted for the establishment of public-private partnerships that encourage (1) use of cleaner production processes, (2) improved energy efficiency, (3) adoption of environmental management systems, and (4) easier access to financing for cleaner production projects
- 1.4 A regional high profile award ceremony is held to honor enterprises that have effectively implemented cleaner production and environmental compliance initiatives
- 1.5 New technical, energy efficiency standard for motors, equipment, household products, or other products adopted

ACTIVITIES

- 1. Facilitated functioning of Regional and National Inter-sectorial commissions.
- 2. Facilitated creation of regional Cleaner Production Award.
- 3. Facilitated initiation of Waste Commercialization System.
- 4. Created inventories of industrial waste sources and volumes.

Implementing Agency	Managing Agency
HSI	OES
CCAD	USAID
CCAD	E-CAM
CCAD	E-CAM

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(continued)

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production
 Outcome #2: Increased commitment of the private sector to environmental performance (Capacity and Information)

OUTPUTS

2.1 Develop, promote, and disseminate manuals and case studies that describe best practices for cleaner production in five sectors

2.2 Work with other CAFTA-DR governments to establish a regional cleaner production information center that includes a cleaner production and EMS data base and website with technical guides, case studies, industrial benchmarks, standardized templates for audit reports and bidding documents and other relevant information linked to the Mesoamerican Environmental Information System (SIAM) to promote greater understanding and adoption of cleaner production and energy efficiency technologies and practices

2.3 Work with the Cleaner Production Center to conduct nine workshops and train a total of 225 professionals from government agencies, financial institutions, industry associations, universities, and NGOs on cleaner production and EMS to establish a core team of national “train-the-trainers” in the field

2.4 Work with the CPC to develop and disseminate (including to universities and other institutions of higher learning) training materials, course curricula, and case studies on cleaner production, EMS implementation, and environmental auditing

ACTIVITIES

1. Developed Environmental Management Systems (EMS) training materials.
2. Drafted energy sector baseline study.
3. Drafted financial assistance plan for the private sector on use of clean energy production methods.

Implementing Agency

EPA
 Contractors
 Contractors

Managing Agency

E-CAM
 USAID/N
 USAID/N

Purpose: Promote policy and incentives, increase capacity and encourage public-private partnerships and voluntary agreements for cleaner production
 Outcome #3: Improved and context adapted public-private partnerships and voluntary agreements

OUTPUTS

3.1 Improved performance in voluntary approaches to cleaner production agreements in priority sectors: dairy products, pineapple production.

ACTIVITIES

Implementing Agency

Managing Agency

No activities reported





Organization of
American States

Costa Rica Dominican Republic El Salvador Guatemala
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Guatemala Honduras Nicaragua United States Costa Rica
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