



CAFTA-DR
Environmental Cooperation Program

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

SEVENTH EVALUATION REPORT

Costa Rica - El Salvador - United States - Guatemala - Honduras - Nicaragua - Dominican Republic



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

SEVENTH EVALUATION REPORT



June 2017



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ECA	Agreement among the Governments of Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and the United States of America on Environmental Cooperation Agreement
ECC	Environmental Cooperation Commission
ECP	CAFTA-DR Environmental Cooperation Program
EE	Energy Efficiency
EIA	Environmental Impact Assessment
EMS	Environmental Management System
ENRD	Environmental and Natural Resources Division
EPA	U.S. Environmental Protection Agency
ESEN	School of Economics and Business – El Salvador (Escuela Superior de Economía y Negocios - El Salvador)
ESNACIFOR	National Forestry Sciences School in Siguatepeque – Honduras (Escuela Nacional de Ciencias Forestales en Siguatepeque – Honduras)
FUNCORCO	Corcovado Foundation (Fundación Corcovado)
FUNJIDES	Jinotegana Foundation for Sustainable Development (Fundación Jinotegana para el Desarrollo Sostenible)
FWS	U.S. Fish and Wildlife Service
GHG	Greenhouse Gas
ha	Hectare
HSI	Humane Society International
ICF	National Institute of Forest Conservation and Development – Honduras (Instituto Nacional de Conservación y Desarrollo Forestal)
INPESCA	Nicaraguan Institute of Fisheries and Aquaculture (Instituto Nicaraguense de Pesca y Acuicultura)
ISO	International Organization for Standardization
ITAP	International Technical Assistance Program (DOI)
IUU	Illegal, Unreported and Unregulated
IWM	Integrated Watershed Management
MEA	Multilateral Environmental Agreement
MIMAT	Miskitu Indian Mairin Asla Takanka
MOUs	Memorandum of Understandings



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MSME	Micro, Small and Medium Enterprise
NCPC	National Cleaner Production Center
NDF	Non-Detrimental Finding
NGO	Non-Governmental Organization
OAS	Organization of American States
OAS-DSD	Organization of American States – Department of Sustainable Development
OSPESCA	Organization of the Fishing and Aquaculture Sectors of the Central American Isthmus (Organización del Sector Pesquero y Acuícola del Istmo Centroamericano)
POCs	Points of Contact
RA	Rainforest Alliance
SEM	Secretariat for Environmental Matters
SICA	Central American Integration System (Sistema de la Integración Centroamericana)
SIECA	Secretariat of Central American Economic Integration (Secretaría de Integración Económica Centroamericana)
SIRPAC	Central American Fisheries and Aquaculture Integrated Registry System (Sistema Integrado Regional de Pesca y Acuicultura)
SME	Small and Medium Enterprise
TRAFFIC	Wildlife Trade Monitoring Network
URL	Rafael Landívar University – Guatemala (Universidad Rafael Landívar – Guatemala)
U.S.	United States (of America)
USG	United States Government
USAID	United States Agency for International Development
US\$	U.S. dollar
USFS	United States Forest Service
WCS	Wildlife Conservation Society
WEC	World Environment Center
WWF	World Wildlife Fund



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EXECUTIVE SUMMARY

Background

On February 18th, 2005, the CAFTA-DR Parties, Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and the U.S., signed the Environmental Cooperation Agreement (ECA) where they agreed to “cooperate to protect, improve and conserve the environment, including natural resources”. Subsequent funding is aiding CAFTA-DR countries advance in the following areas: Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws; Biodiversity and Conservation; Market-based Conservation; and Improved Private Sector Performance. The success of the environmental cooperation depends on the ability of the Parties, in collaboration with various implementing agencies, to successfully execute specific activities with measurable results within the ECA and its priorities using two modalities of cooperation: regional and bilateral.

The Organization of American States through its Department of Sustainable Development (OAS-DSD) has assisted in evaluating if and how the activities carried out by the countries in the region are contributing towards the achievement of the priorities established by the Parties. To this end, the OAS-DSD has worked with stakeholders in developing a monitoring and evaluation process based on key performance indicators, to capture high-level results. This seventh evaluation report focuses primarily on results achieved since the fifth evaluation report and the 10th anniversary special edition report (sixth evaluation report), by means of an impact or high-level results assessment, emphasizing sustainable changes emerging from the CAFTA-DR Environmental Cooperation Program (ECP). This report’s primary information source to examine progress in achieving ECP-expected results is a document review of narrative reports submitted by implementing agencies. A secondary source of information were the interviews conducted with key stakeholders and ECP beneficiaries. This report captures lessons learned, case studies and recommendations on the implementation process that could potentially guide the design and implementation of future environmental cooperation activities under the ECP or other similar mechanisms.

Specifically, this report focuses on improvements in the environmental regulatory framework, changes in the attitude and behavior of beneficiaries, and the environmental and socio-economic benefits derived from the ECP, which have occurred between May 2016 and April 2017. Highlighted best practices that have yielded clear impacts include: the establishment of regional meetings of officials from CAFTA-DR countries; support to national inter-institutional thematic coordination mechanisms; the implementation of the Small Grants Program to promote public participation in environmental decision-making; awareness campaigns and training focusing on wildlife conservation and environmental protection; support to CITES authorities; creating synergies among the public and private sector; working with SMEs to promote the use of cleaner production and energy efficient practices and technologies to improve environmental performance and productivity; and training both teachers and students in the importance of cleaner production and energy efficient practices.

Results and Impacts

In 11 years and more than US\$ 89 million invested to protect the environment through the CAFTA-DR ECP, results are tangible and success stories abound:

- More than 23.8 million people have potentially reached through environmental awareness campaigns
- 150 laws improved, 28 legislations adopted to address pollution, and 42 policies, laws, agreements or regulations implemented promoting sustainable natural resource management and conservation
- Over 137,000 people trained in environmental policy and enforcement, environmental decision-making, nature resource management and conservation, and economic-alternatives



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- Around 8,800 animals saved through the rescue centers
- More than 1.54 million hectares of land have been protected or improved
- Over 780 micro, small and medium enterprises have been supported in cleaner production activities

Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

Work during this period continued to support institutions and officials responsible for the enforcement and compliance of environmental legislation, as well as implement six new policies, agreements and/or regulations. However, most importantly, through outreach interventions of implementing agencies, CAFTA-DR ECP disseminated information that helped governments, private sector stakeholders, and especially civil society organizations and individuals acquire a culture geared towards environmental protection and compliance with environmental laws.

Biodiversity and Conservation

Implementing agencies launched various initiatives to build and strengthen capacities and harmonize enforcement across the CAFTA-DR region. These initiatives include training government officials on CITES basic legal structures, enforcement and compliance; developing accessible, replicable training material; supporting the development of procedures and systems that increase the performance and effectiveness of CITES implementation; use of scientific studies to improve knowledge on CITES listed species; and conducting a number of regional, national, bi-national and tri-national workshops and capacity-building activities. Regional meetings of CITES officials and other relevant parties have provided an efficient venue to share best practices, discuss national and regional priorities, identify capacity gaps, and provide opportunities for government officials within the region to engage in joint collaboration, and enhance government-to-government cooperation in CITES as a result. Additionally, implementing agencies have been particularly successful in promoting public awareness campaigns focusing on the importance of the conservation of wildlife and its habitat, as well as preventing illegal timber and wildlife trafficking.

Market-based Conservation

ECP activities in this area have yielded clearly tangible impacts both for the population whose livelihoods come from the forest and plantations, and for the environment from which they get their living. Specifically, Rainforest Alliance (RA) worked with coffee, cacao, banana and pineapple producers to enhance the environmental and economic sustainability of their production through their organic and fair trade certification process, while Humane Society International (HSI) worked with farmers who had abandoned cacao plantations or were having very limited yield, to enhance their production and highlighted the importance of protecting wildlife living in these productive areas. Results during this reporting period focused on the improved management in mangrove forests, the planting of endangered tree species, and the training of individuals in economic alternatives.

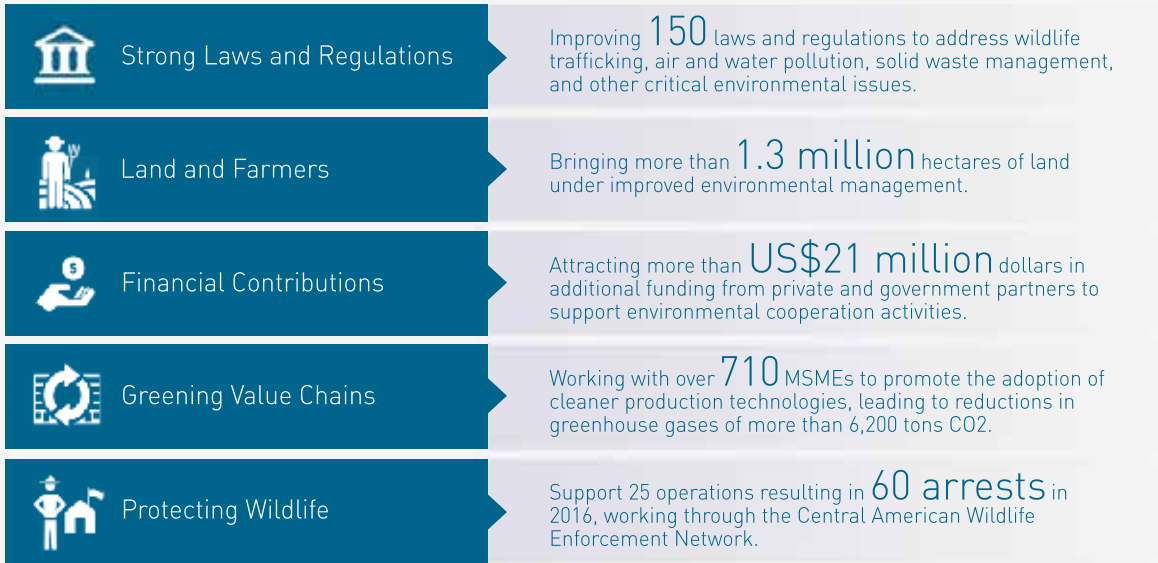
Improved Private Sector Performance

Overall, expanding results from the CAFTA-DR ECP implementation have begun to reveal positive environmental impacts jointly with positive economic results for participating enterprises. Currently, WWF is starting a project that may reach up to 24 businesses; while WEC provided follow up on work implemented in 11 companies in El Salvador and Guatemala.

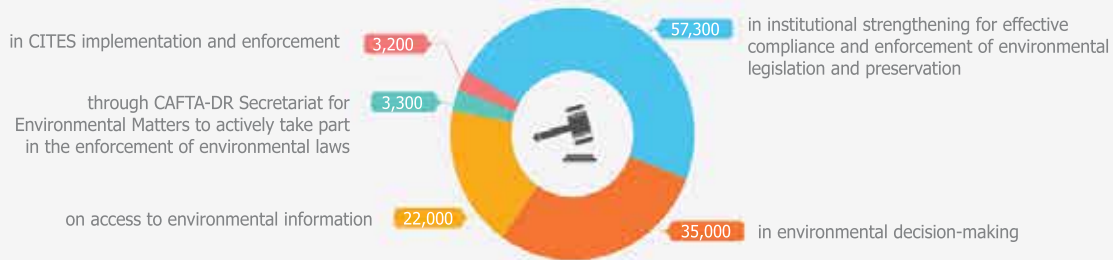


The United States, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, and Nicaragua are the Parties to the Central America–Dominican Republic Free Trade Agreement (CAFTA-DR), which entered into force on March 1, 2006. Combined, CAFTA-DR represents the United States' 16th largest goods trading partner, with \$52.3 billion in total two-way goods trade in 2016. CAFTA-DR not only promotes strong economic ties and fair trade but also seeks to level the playing field by advancing the enforcement of robust environmental laws. Through the CAFTA-DR Environmental Cooperation Program, Parties work together to strengthen environmental protection, promote transparency, and encourage public participation in decision-making processes.

CAFTA-DR BY THE NUMBERS



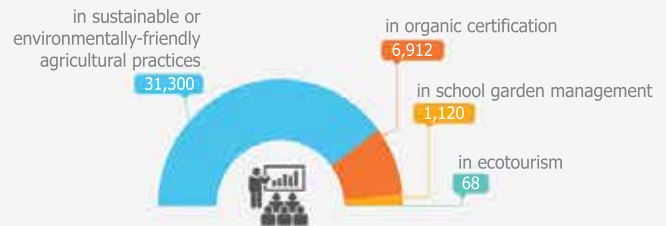
Training **120,800** people in environmental policy and enforcement:



Reaching over **20 million** people through public awareness campaigns:



Training **39,400** people in natural resource management and/or biodiversity conservation:







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I. INTRODUCTION

Background

On February 18th, 2005, the CAFTA-DR Parties¹ signed the Environmental Cooperation Agreement (ECA) where they agreed to “cooperate to protect, improve and conserve the environment, including natural resources”. They also came to an understanding that the objective of the ECA was to “establish a framework for such cooperation among the Parties”. The ECA builds on previous environmental capacity-building efforts in the region. Among its innovative features, the ECA includes provisions for establishing benchmarks to identify short-, medium-, and long-term goals for improving environmental protection in the region.

Since 2005, the United States has invested over US\$ 89million to fund the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR) environmental cooperation. This funding is aiding CAFTA-DR countries to advance in the following four areas: Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws; Biodiversity and Conservation; Market-based Conservation; and Improved Private Sector Performance. The success of the environmental cooperation depends on the ability of the Parties to successfully execute specific activities with measurable results within the ECA and its priorities using two modalities of cooperation: regional and bilateral. In particular, it depends on their ability to advance in the achievement of their long-term environmental goals in the four programmatic areas. These long-term goals include:

- Compliance with CAFTA-DR Environment Chapter (Chapter 17) obligations:
 - ◊ To ensure that CAFTA-DR ECA Parties’ environmental laws and policies provide for and encourage high levels of environmental protection;
 - ◊ To effectively enforce their environmental laws
 - ◊ To ensure that judicial, quasi-judicial, or administrative proceedings are available to sanction or remedy violations of environmental laws;
- Improved protection and conservation of the environment, including natural resources;
- Transparency and public participation in environmental decision-making; and
- An improved culture of environmental protection and compliance with environmental laws through, among other things, the promotion of economic opportunities, voluntary measures to enhance environmental performance, and job creation.

In support of these priority areas, the ECA (Article IV) requires that the Environmental Cooperation Commission (ECC)² be responsible for examining and evaluating the cooperation activities under the Agreement. The ECA also highlights that the ECC must seek and consider input from relevant international organizations and other stakeholders regarding how best to ensure that it is accurately monitoring progress, and to comply with other commitments of the agreement. These include establishing benchmarks or other types of performance measures to assist the ECC to examine and evaluate the progress of specific cooperative programs, projects and activities

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

² The Environmental Cooperation Commission has yet to be established. As of March 2016 all signatory countries but Costa Rica had notified the completion of their internal requirements for the entry into force of the ECA. Article XII(1) of the ECA states that the Agreement shall enter into force thirty days after the OAS Secretariat notifies that all the instruments of ratification have been deposited by all the parties.



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in meeting their intended goals, and to maintain procedural mechanisms for the enforcement of environmental laws.³

The Organization of American States through its Department of Sustainable Development (OAS-DSD) is assisting the ECC of the CAFTA-DR⁴ in evaluating if and how the activities carried out by the countries in the region are contributing towards the achievement of the priorities established by the parties. For this purpose, the OAS-DSD has worked with stakeholders in developing an evaluation process based on key performance indicators. Starting in 2009, the OAS-DSD has prepared independent evaluation reports to provide a general overview of the CAFTA-DR Environmental Cooperation Program (ECP), including success stories, case studies, challenges and recommendations witnessed from the beginning of the implementation of the Program⁵, with a view to improve future environmental cooperation programming.

For this seventh evaluation report, the OAS-DSD will continue to use the indicators developed for the fifth Report. This report focuses on the most recent results and impacts of the implementing agencies, with particular emphasis on improvements in people's welfare, environmental conditions, and governance.

Methodology

This seventh report focuses mainly on the results obtained between May 2016 and April 2017, through an assessment of impacts or high-level outcomes, emphasizing the sustainable changes that arise from the implementation of the ECP. Specifically, this report focuses on improvements in the environmental regulatory framework, changes in the attitude and behavior of beneficiaries, and the environmental and socio-economic benefits derived from the ECP. This report's primary information source to examine progress in achieving ECP-expected results is a document review of impact-level reports and other narrative reports submitted by implementing agencies, as well as presentations given by implementing agencies at the meeting of Points of Contact (POCs) in Guatemala in January 2017. A secondary source of information were the interviews conducted with key stakeholders and ECP beneficiaries. The OAS-DSD recently developed a simple reporting template to capture high-level results of the ECP, using the new set of impact-level indicators from the current CAFTA-DR ECP monitoring framework. The OAS-DSD selected these new indicators through an iterative process and in consultation with CAFTA-DR points of contact and implementing agencies.

This report captures lessons learned, case studies and recommendations that could potentially guide the design and implementation of future environmental cooperation activities under CAFTA-DR ECP or other similar mechanisms.

Limitations

In general, the process of documenting impacts rather than completed activities or short-term results is not an easy task. In the case of the CAFTA-DR ECP, this process has been particularly challenging due to the fact that this is a regional program with a significant number of implementing agencies participating in its execution. Added to this is the fact that there was not a clear performance management framework in place before implementing agencies began their work in the region. Several other challenges in the process of documenting impacts include:

³ To support this mechanism the parties designated the Secretariat for Environmental Matters to consider public submissions on environmental law enforcement. Created under the CAFTA-DR and operating under the sole direction and supervision of the Environmental Affairs Council (EAC).

⁴ Since the ECC has not yet been established, by default the OAS-DSD is assisting the CAFTA-DR signatory countries.

⁵ Cooperation efforts began in late 2005.



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- The data elements supplied by different implementing agencies for specific indicators were not always comparable, as they did not always appear to be collected in a systematic fashion.
- In some cases, numerical values are provided for the indicators, but details on what has been specifically accomplished are not provided.
- In some cases, numerical values are provided for the indicators, but details on what has been specifically accomplished are not provided.
- A number of projects were still too new to demonstrate tangible changes with respect to environmental protection and socio-economic benefits for local communities and enterprises (e.g., COCATRAM, EPA – Air quality program).
- Project design did not always consider modalities or budget to report on impacts. This was particularly evident in projects that delivered training with little or no follow-up activity.
- At times, the scope of projects made it difficult to clearly attribute impact-level results to CAFTA-DR ECP projects alone. In most cases, the projects made a significant, but hard-to-assess contribution to achieving the desired impacts.
- Implementing agencies do not have the same reporting cycles.

Notwithstanding these limitations, this report provides an accurate picture of progress made in achieving the desired impacts in a significant number of CAFTA-DR ECP projects.





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II. RESULTS AND IMPACTS

Through the ECP, CAFTA-DR countries are striving to enhance the enforcement of environmental law and policy, encourage protection and conservation of the environment, and promote a culture of environmental protection and compliance through such measures as public participation in environmental decision-making, access to economic opportunities, and job creation. Interventions to achieve these results are structured around the goals of the ECP's four main areas:

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

The following section will specifically focus on results and impacts that have been achieved since the Sixth Evaluation Report (Special Edition). For statistics and details on past achievement please refer to previous evaluation reports.

Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws

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

Under this Goal, the purpose is to strengthen environmental institutions, laws and policies, and to promote effective implementation and enforcement of these laws and policies, as well as the effective implementation of Multilateral Environmental Agreements (MEAs) and civil society engagement to ensure compliance with Free Trade Agreement (FTA) obligations.

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

- Strengthened environmental legislation, regulation and policy
- Strengthened government institutions' capacities to enforce environmental legislation and ensure effective stakeholder compliance
- Increased public participation and transparency to support informed decision making

To measure results OAS-DSD designed indicators to capture information on visible or measurable changes in environmental legislation, improved regulatory environmental frameworks, the development of agreements and strategies to support sustainable natural resource management and conservation at the national and regional levels, and capacity to enforce environmental legislation, including the ability to prosecute and carry out sanctions. The review also examined changes in the engagement levels of civil society stakeholders, local authorities and communities in specific environmental issues and decision-making or policy-making processes.



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Indicator	Baseline [note1]	Progress during this period [note 2]
<p>Number and type of public institutions that have stronger capacity to enforce environmental legislation and preservation and ensure effective stakeholder compliance</p>	<p>6 new and/or improved procedures for EIA review and environment permits</p> <p>6 countries implement a system of follow-up and control of environmental complaints</p> <p>Three technical guides were prepared with EPA leadership, to support the revision of EIA in the metallic and non-metallic mining, energy and tourism sectors</p> <p>Wastewater management has been a priority for the CAFTA-DR countries and a key benchmark for environmental monitoring in the region. The ECP has helped in the development of reference laboratories (5) as well as improving implementation of performance standard methodologies and regulations in wastewater management.</p> <p>4 countries (Costa Rica, El Salvador, Guatemala, and Nicaragua) have a policy/strategy for solid waste management</p> <p>30+ institutions have had training (EPA) in emergency management of spilled harmful substances</p> <p>Air quality management: 2 countries (El Salvador and Costa Rica) have real time (daily) monitoring capacity of air quality</p> <p>CAFTA-DR countries received technical assistance in the strengthening of their air monitoring technical capacities</p> <p>Capacity was built through hands-on joint field inspections of mine sites, tailored training for government mine inspectors, specialized equipment donation, private sector partnerships, and follow-up web-based learning opportunities (Guatemala and Costa Rica)</p>	<p>USAID has provided and undertaken numerous workshops, field visits, technical visits, etc. to improve the capacity of public institutions in the areas of wastewater, solid waste, EIA, law compliance, and energy efficiency, as well as has helped to strengthen the CCAD</p> <p>Air quality program is initiated in early 2017 (EPA)</p> <p>Progress has been made on updating the fishing registry included in the Regulation OSP-01-09 – Central American Integrated System of Registration of Fisheries and Aquaculture (SIRPAC) to support the proper management of fisheries, in particular against IUU fishing. The guidelines for the SIRPAC update have been authorized to be adopted by all CAFTA-DR countries. A binding manual will guide the operation of SIRPAC. Also, a regional inspection program was developed which includes a manual of procedures for the selection and work responsibilities of the inspectors (All of these achievements will help to improve the capacity of CAFTA-DR countries to enforce IUU fishing(OSPESCA)</p> <p>3 CAFTA-DR government agencies were involved in coordinated law enforcement and inspection operational planning and post-operational assessment meetings (DOI)</p> <p>3 capacity building workshops completed for country representatives on the SEM and environmental submissions (32 cumulative)</p> <p>Progress towards enhanced capacity at Port Environmental Management Units, improved implementation of National and Port Action Plans for implementing ISO 14001 and complying with the Central American “Green Code”, and enhanced ability at Ports for implementing Environmental Management Systems (SIGAP) (COCATRAM)</p> <p>Strengthened organizational capacities of community bodies in Guatemala relevant for the protection of nesting habitat of the scarlet macaw through coordinated and collaborative work by WCS and the Community Development Council (COCODE), Community Wild Fires Commission (<i>Comisión de Incendios Forestales Comunitaria</i>, CIF) and the Commission of Surveillance and Control (<i>Comisión de Control y Vigilancia</i>)</p>



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		<p>Community groups have increased capacity for parrot habitat, jaguar and forest conservation in DR and Nicaragua (WCS) Enhanced capacity of newly created forensic laboratory in Guatemala for the identification and description of woods found in CITES (USFS)</p>
<p>Number of people trained within public institutions in institutional strengthening for effective compliance and enforcement of environmental legislation and preservation</p>	<p>57,300+ individuals trained within public institutions in institutional strengthening for effective compliance and enforcement of environmental legislation and preservation.</p>	<p>10 individuals (8 females) trained in environmental law, enforcement, public participation, and cleaner production strategies, skills and techniques (EPA) 11,376 beneficiaries (5,619 females) were trained by grantees (all projects) on environmental legislation, environmental education and other topics. Of these, 4,945 (2,340 females) people were trained specifically on CAFTA-DR and other public participation mechanisms (Helvetas) 19 (7 females) attended a workshop on evaluation and updating of SIRPAC 67 technicians attended a workshop on Essential Technical Areas for Port Inspections (OSPESCA) 169 (86 females) people (including government officials) were informed about the SEM and the Submissions mechanism (2,356 cumulative) 24 marginalized community women reached through outreach workshops (172 cumulative) 66 people receiving CAFTA-DR ECP supported training in natural resources management and/or biodiversity conservation, specifically workshops to strengthen capacity of prosecutors/solicitors and judges’ legal assistants to adjudicate wildlife cases (DOI) 23 (2 females) participants attended a “National Workshop on updating the Regulations of the CITES Convention” 1 person from the Petén region of Guatemala received training at the national-level prosecutors’ workshop 1 person from the Petén region received training at the national-level judges’ workshop (DOI) WCS facilitated the training of forest guards, and galvanized territorial leaders and field crews in Nicaragua (60 individuals, 3 crews)</p>
<p>Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted, or implemented as a result of CAFTA-DR ECP.</p>	<p>Implementing agencies worked with CAFTA DR countries to refine 150 existing laws and adopt 28 new laws and regulations addressing issues like wastewater, air pollution and solid waste 36 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation were implemented through the small grants programs implemented by Helvetas</p>	<p>3 new policies, laws, agreements or regulations promoting sustainable natural resource management and conservation (Helvetas) 2 CITES NDF protocol pilot studies conducted, which reinforce the existing regional, voluntary CITES marine species CITES NDF protocol established through this project (DOI) 3 territorial conservation agreements finalized and signed in January 2017 in Bosawás, Nicaragua (WCS)</p>



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<p>Number of public forums held to engage the public in environmental decision-making and enforcement in the CAFTA-DR countries</p> <p>Number of people reached through education and training activities that foster communication between civil society and governments to facilitate public participation in environmental decision making</p>	<p>34,020+ individuals reached through education and training activities that foster communication between civil society and governments to facilitate public participation in environmental decision making.</p> <p>1,471,146+ individuals have potentially been reached through campaigns and outreach material on public participation mechanisms and environmental information (2013-2016).</p> <p>97 public outreach campaigns have been carried out (2013-2016)</p> <p>33 public participation mechanisms promoted (Helvetas)</p> <p>6,537 trainers trained (Helvetas)</p>	<p>14 public participation mechanisms promoted (Helvetas)</p> <p>4,945 people (2,340 females) have completed a course/workshop on CAFTA-DR Environmental Chapter and public participation opportunities (Helvetas)</p> <p>2,027 people reached by campaigns supported by the CAFTA-DR ECP</p> <p>520,153 people with access to information from civil society that have access to public participation mechanisms and environmental information through campaigns and outreach material (Helvetas)</p> <p>1,160 trainers trained (Helvetas)</p> <p>In total, 3,287 people among students, school children, and community members were reached by the environmental education activities on wildlife protection in the region (HSI)</p> <p>10 individuals (8 females) trained in Moyogalpa, Nicaragua, using the EPA public participation guide and OAS legal mechanisms for public participation, with a focus on applicable uses for these tools and mechanisms for solid waste management (EPA)</p> <p>DOI-See Biodiversity and Conservation section</p> <p>WCS-See Biodiversity and Conservation section</p>
<p>Number of laws, regulations, standards or management plans on environment matters influenced or created by the public, through public participation mechanisms</p>	<p>Implementing agencies worked with CAFTA DR countries to refine 150 existing laws and adopt 28 new laws and regulations addressing issues like waste water, air pollution and solid waste (reported in 2014).</p> <p>36 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation were implemented as a result of USG assistance through the small grants programs, which focused on enhancing public participation.</p>	<p>3 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation that were influenced or created as a result of public participation mechanisms (Helvetas)</p>
<p>Notes:</p> <ol style="list-style-type: none"> 1. Please see the previous CAFTA-DR Monitoring Reports for details on past results: http://www.caftadr-environment.org/monitoring/ 2. Due to the crosscutting nature of CAFTA-DR ECP, progress in law enforcement or regulations achieved by some implementing agencies are also reported under the institutional strengthening section. 		



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Analysis of Results and Impacts

Strengthened Environmental Legislation, Regulations and Policies

During previous evaluation periods, implementing agencies have worked with CAFTA-DR countries to improve 150 existing laws and adopt 28 new laws and regulations related to wastewater, air pollution, and solid waste. Additionally, 36 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation were implemented through the small grants programs implemented by Helvetas. During this current reporting period six new policies, laws, agreements or regulations were implemented and two studies were conducted to help reinforce a NDF protocol.

- Helvetas helped to implement three new policies, laws, agreements or regulations promoting sustainable natural resource management and conservation, specifically including the project implemented by ASAPROSAR in El Salvador called “*Promoting a Public Culture of Environmental Responsibility in the Population of Three Municipalities of the Department of Santa Ana*”. The “popular version” of the General Environment Law developed by ASAPROSAR did not receive official approval since it does not use the exact wording of the law. However, ASAPROSAR decided to publish it anyway, since it is meant as an educational tool rather than an exact transcription. Other civil society organizations have already shown interest in using it for their activities. An electronic version will be made available on ASAPROSAR’s website to maximize dissemination.
- DOI-ITAP conducted two CITES NDF protocol pilot studies, which have helped to reinforce the existing regional, voluntary CITES marine species CITES NDF protocol established through this project.
- Wildlife Conservation Society (WCS) recently signed agreements with three communities for a project called “*Improving the Management of Domestic Animals for Economic and Environmental Stability in Bosawás, Nicaragua*”, which focuses on improving the production efficiency of domestic animals (especially cattle), intensifying production near homes and keeping animals out of forests, improving forestry systems, changing producer attitudes, and improving the coexistence between ranchers and jaguars.

Strengthened Government Institution Capacities to Enforce Environmental Legislation and Ensure Effective Stakeholder Compliance

ECP activities have supported the increased capacity of institutions to enforce environmental legislation.

- USAID has conducted numerous workshops, field visits, technical visits, etc. to improve the capacity of public institutions in the areas of waste water, solid waste, Environmental Impact Assessment (EIA), law compliance, and energy efficiency, as well as have helped to strengthen the CCAD.
- The EPA recently initiated an air quality program and will be enhancing the capacity of CAFTA-DR countries for effective policy and program design and implementation, with a focus on air quality management (see Case Study 1).
- Progress is also being made by OSPESCA on updating the fishing registry included in the Regulation OSP-01-09 – Central American Integrated System of Registration of Fisheries and Aquaculture (SIRPAC) to support the proper management of fisheries, in particular against IUU fishing. The guidelines for the SIRPAC update have been authorized to be adopted by all CAFTA-DR countries. A binding manual will guide the operation of SIRPAC. Also, a regional inspection program was



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developed which includes a procedures manual for the selection and work responsibilities of the inspectors. All of these achievements will help to improve the capacity of CAFTA-DR countries to enforce IUU fishing (Box 1).

- Three CAFTA-DR government agencies this monitoring period were involved in coordinated law enforcement and inspection operational planning and post-operational assessment meetings.
- Three capacity building workshops were completed for country representatives on the Secretariat for Environmental Matters (SEM) and environmental submissions.
- Progress is being made by COCATRAM towards enhancing the capacity at Port Environmental Management Units, improving the implementation of National and Port Action Plans for implementing ISO 14001 and complying with the Central American “Green Code”, and enhancing the ability at Ports for implementing Environmental Management Systems (see Box 2).
- USFS helped to enhanced the capacity of a newly created forensic laboratory in Guatemala for the identification and description of woods found in CITES, in addition to leading several other wood identification training sessions.
- Work by the WCS has strengthened the organizational capacities of community bodies in Guatemala relevant to the protection of nesting habitat of the scarlet macaw, including the Community Development Council (COCODE), Community Wild Fires Commission (*Comisión de Incendios Forestales Comunitaria, CIF Comunitaria*) and the Commission of Surveillance and Control (*Comisión de Control y Vigilancia*). Community groups in the Dominican Republic and Nicaragua also have increased capacity for parrot habitat, jaguar and forest conservation.

The CAFTA-DR ECP program also aimed to strengthen the capacities of countries to meet environmental obligations of the CAFTA-DR by providing training and workshops to government, private sector and NGO (Non-governmental organizations) representatives from environment, agriculture, health, academic and industrial sectors on the effective application of and compliance with environmental legislation. Specifically, during this period:

- EPA led a workshop (10 participants; 2 males and 8 females) in environmental law, enforcement, public participation, and cleaner production, strategies, skills and techniques.
- OSPESCA led two workshops, one focusing on the evaluation and updating of SIRPAC (19 participants; 12 males and 7 females) and the other directed at technicians (67 participants), which examined the essential technical areas for port inspections.
- A total of 169 (83 males, 86 females) individuals, including government officials, were trained on the SEM and the submissions mechanism for environmental complaints.
- WCS facilitated the training of forest guards, and galvanized territorial leaders and field crews in Nicaragua; training a total of 60 individuals (3 crews).

Environmental law enforcement requires skilled personnel and the commitment of government authorities and the private sector to work together. As part of CAFTA-DR ECP, implementing agencies supported the organization of several training sessions and workshops with institutions and officers responsible for environmental legislation and enforcement, illegal trade policing for exotic species, violation investigation, and offender prosecution and sentencing.

- The DOI-ITAP led workshops to strengthen the capacity of prosecutors and judges’ legal assistants



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to adjudicate wildlife cases that were attended by 66 individuals, while 1 prosecutor from the Petén region of Guatemala received training at the national-level prosecutors’ workshop and a judge from the Petén region received training at the national-level judges’ workshop. Both prosecutors and judges from the Petén region have reported increased awareness of national wildlife laws subsequent to training. Reports from DOI suggest that, as a result of their efforts, prosecutors and judges are now better prepared to prosecute or adjudicate environmental crime cases.

- The DOI-ITAP also held a “National Workshop on updating the Regulations of the CITES Convention” on August 30-31, 2016 in El Salvador, that 23 (21 males and 2 females) participants attended. Participants learned about management and other tools available through CITES databases, international regulations on CITES species, and national CITES implementation. A Wildlife Inspector from FWS, a regional CITES expert from Guatemala, and Salvadoran authorities conducted the training. Overall, 96% of participants rated the workshop as “useful” in a post workshop survey. As well, DOI-ITAP reported that capacity-building training and workshops on wildlife trade monitoring and enforcement have allowed government stakeholders and NGOs to play a positive role in wildlife trade monitoring and enforcement (details discussed in the Biodiversity and Conservation section).
- Also, as mentioned above WCS trained forest guards in Nicaragua.

Case Study 1: The EPA and Air Quality Management in CAFTA-DR countries

Stationary and mobile sources of air pollution, such as vehicles, present a serious threat to both the environment and human health (e.g., ozone, GHGs and fine particulate matter). The EPA provided air quality monitoring technical assistance to CAFTA-DR countries from 2007 to 2010, but the program ended due to budget constraints. In 2013-2014, CAFTA-DR countries once again identified addressing air pollution and improving air quality management as a priority. Improvements in air quality management include characterizing air quality within major cities and commercial transportation routes, and exploring policies and programs to reduce air pollution from a local to regional scale. Currently, considerable variation exists in the capacity of CAFTA-DR countries to manage their air quality, with some countries conducting little-to-no air quality monitoring, and others regularly collecting and sharing high quality ambient air quality measurements. Similarly, vehicle import and emission restrictions, fuel quality standards, the existence and enforcement of stationary source emission limits, and air quality modeling capabilities for policy planning purposes all significantly vary by country.

The EPA’s 1-year air quality program, which started in September 2016, intends to strengthen institutions within each CAFTA-DR country for effective policy and program design and implementation, with a focus on air quality management. The EPA will work in partnership with Battelle Institute, bring new players into the air quality management discussions (e.g., representatives from the commercial, trade, and transportation sectors), and build on lessons learned from previous programs in the region to guarantee the program’s successful implementation. Several regional meetings will occur to establish a regional dialogue among local experts and government officials in the region and to promote the sharing of on-going activities to manage air quality, including approaches to addressing technical and institutional challenges associated with monitoring, best practices on air quality management, and discussions on the lessons learned regarding policies, enforcement, and communication with the public via an air quality index. Correspondingly, by identifying and making plans to implement some model air pollution mitigation measures, particularly around commercial routes, progress towards improved overall air quality can be made. One country will be selected for the air pollution mitigation pilot project linked to mobile sources and/or transportation of commercial goods.



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Box 1: OSPESCA and the fight against Illegal, Unreported and Unregulated Fishing



The OSPESCA program “Support for Regional Governance to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated (IUU) Fishing in CAFTA-DR Countries”, aims to decrease IUU fishing, by updating the Fisheries Register of the Central American Fisheries and Aquaculture Integrated Registry System (SIRPAC) and establishing a program of inspection and selection of inspectors to improve the mechanisms and resources in place to ensure compliance with the binding regulations of the Central American Integration System (SICA).

To date, the program has completed the documents related to the "Inspection Program", "Guidelines for the Selection of Inspectors" and the "Training Program for Regional Inspectors". The diagnosis of the SIRPAC's current situation have also been carried out, including a workshop on evaluating and updating SIRPAC (12 males and 7 females) and the training of 67 technicians (exceeding the initial goal to train 60 technicians) linked to inspections in Costa Rica (12), El Salvador (13), Guatemala (14), Nicaragua (14) and Dominican Republic (14). Lessons learned include, the usefulness but underutilization of SIRPAC, and the lack of inspectors with high levels of knowledge for inspections specifically of international vessels and fisheries. The work of OSPESCA to date have also identified the following needs: strengthening and expanding the use of SIRPAC at the regional level; promoting a regional campaign on the Governing State of the Port (PSMA) and regional regulations; harmonizing standards for the application and use of procedures and formats (logs) for inspections based on the existing governance model; strengthening institutional capacity and prioritizing fisheries inspectors; and strengthening coordination and agreements between regional and international institutions related to port management.

Box 2: Strengthening Environmental Management in Central American Ports



In July 2016, COCATRAM (Central American Commission for Maritime Transportation) started the project “Strengthening Environmental Management in Central American Ports”, which focuses on developing a Regional Assessment and Diagnosis for Port Environmental Management and implementing “Green Code” Compliance in Central American Foreign Trade Port Terminals and Port Authorities. Additionally, the project will include national seminars and workshops for capacity building in Port Environmental Management Units, the “Green Code”, ISO 14001 and improving the implementation of National and Port Action Plans. Currently, the project has submitted information and forms (surveys) to Maritime and Port Authorities and port operators to obtain data that will be the base for the assessment and diagnosis stage of the project. The form/survey was sent to approximately 44 entities comprising a total of 64 organizations amongst ports and authorities, specifically including 12 government departments or agencies (2 in Guatemala, 1 in El Salvador, 2 in Honduras, 1 in Nicaragua, 2 in Costa Rica, 2 in Panama, 2 in Dominican Republic) and 52 port operators (5 in Guatemala, 3 in El Salvador, 5 in Honduras, 5 in Nicaragua, 5 in Costa Rica, 17 in Panama, 12 in Dominican Republic) that will be evaluated and assessed.



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This number surpassed the number of stakeholders in the original list. To date, only 45% of the stakeholders have returned the forms properly completed, so efforts will be made to obtain the forms in time to avoid any delays. Subsequently, once the forms/surveys are received a consultant will visit, inspect and assess the port operators and maritime and port authorities. These visits, together with the information received in the forms will make it possible to complete the diagnosis and assessment stage. The end goals of the project are to have: enhanced capacity at Port Environmental Management Units, improved implementation of National and Port Action Plans for Implementing ISO 14001 and complying with the Central America “Green Code”, and enhanced ability at Ports for implementing Environmental Management Systems. The expected results include: diagnostic in the Port Environmental Management and “Green Book” compliance; improved capacity Environmental Management Units; development and implementation of the National Action Plans to comply with ISO 14001 and “Green Book”, and the ability to obtain Port Environmental Management System and ISO 14001 certification. Overall, this will permit the port authorities in each country to develop a system to control and reduce the environmental impact of port activities.

Increased Public Participation and Transparency to Support Informed Decision-Making

Public participation is a crucial part of effective environmental decision-making. Through outreach interventions, the CAFTA-DR ECP disseminated information that helped governments, civil society organizations, private sector stakeholders and individuals acquire a culture geared towards environmental protection and compliance with environmental laws. In order to promote public participation in environmental decision-making, Helvetas developed a strategic public outreach approach implemented by local NGOs in each CAFTA-DR country, through a small grants program, to effectively engage civil society and local governments on specific environmental issues, as well as policy-making and decision-making processes. Specifically, six new grant agreements were drafted and signed with the award-winning organizations in each country before July 1st, 2016, of which five are new grantees (only MIMAT in Honduras was awarded for the second time). See the list of new projects in the Table below:

Organization	Country	Project
Mar Viva Foundation	Costa Rica	<i>Public participation in municipal solid waste management in coastal communities of the Gulf of Nicoya, Costa Rica</i>
Association for Integral Rural Development (ADRI)	Guatemala	<i>Municipal environmental governance from the youth perspective</i>
Miskitu Indian Mairin Asla Takanka (MIMAT)	Honduras	<i>Strengthening enforcement capacities through increased public participation of Miskito indigenous organizations and local governments in the municipalities of Puerto Lempira, Ahuas and Villeda Morales in the Moskitia, Honduras</i>
Cleaner Production Center of Nicaragua	Nicaragua	<i>Public and responsible participation in the management of solid waste, in the Ometepe Island Biosphere Reserve</i>
Sur Futuro Foundation	Dominican Republic	<i>Promoting environmental management in rural municipalities of the upper basins of the Sabana Yegua Dam</i>
Association of Basins of the Gulf of Fonseca (ACU-GOLFO)	El Salvador	<i>Water Governance in Cerro Cacahuatique: protection of water resources by strengthening citizen participation and economic reactivation of agroforestry systems</i>



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Since the last monitoring report, Helvetas has achieved impressive results, promoting 14 public participation mechanisms (e.g., public forums, experience exchange activities, and public participation roundtables), reaching 2,027 people directly through campaigns and providing access to 520,153 people from civil society to information regarding public participation mechanisms and environmental information through campaigns and outreach materials. These outreach efforts made environmental information more accessible through different activities, including press conferences, radio spots, social media, dissemination of brochures, training and awareness-raising materials, environmental festivals, practical activities, an environmental education manual (FUNCORCO) and workshops on various topics. In total, 11,376 beneficiaries (5,619 females) were trained by grantees (all projects) on environmental legislation, environmental education and other topics, of which 4,945 (2,340 females) people were trained specifically on CAFTA-DR and other public participation mechanisms. Helvetas also reported that since the last monitoring report an impressive number of 1,160 individuals trained have applied and disseminated the acquired knowledge (“trainers trained”). Workshops provided through the small grants program focused on topics including environmental education, environmental and health awareness, natural resources management, business management, climate change mitigation, water resource management, waste management, law enforcement and public participation mechanisms. In some cases, workshops included both environmental conservation aspects and national environmental legislation. One impressive development came through the project CODDEFFAGOLF (ended December 31st, 2016), which inaugurated a “knowledge room” on its premises and is open to visitors, including school groups. The knowledge room is equipped with legal and environmental documentation, maps, posters, multimedia equipment and other materials. Overall, these projects implemented through the small grants program have helped civil society organizations to play an active part in compliance and enforcement of environmental decisions, through meetings with municipal authorities, ministries, and NGOs, as well as exchanges, roundtables and municipal forums. During this period, representatives from Helvetas also hosted a third regional public participation workshop in San José, Costa Rica with 25 participants. During this regional workshop approximately 17 civil society organization representatives were trained on public participation mechanisms and shared lessons learned with previous grantees.

In addition to the work by Helvetas, the project led by HSI reported reaching 3,287 people, including students, and community members, through environmental education activities (e.g., workshops, theatre plays and field trips) on wildlife protection and endangered species in the region. The SEM also reported reaching 24 marginalized community women through public participation outreach workshops (172 cumulative) and the EPA reported finishing its first workshop on public participation (see Box 3).

Box 3: EPA and its work on Public Participation



Civil society active engagement in environmental decision-making and enforcement is a key factor in ensuring that governments not only comply with their regulations, but also increase environmental protection, especially for underserved communities. With limited resources, changing administrations and increased environmental challenges (i.e., climate change), public participation, education and transparency are essential elements to creating sustainable environmental protection.

The current EPA Project on Public Participation will hold six national public participation workshops, one in each of the CAFTA-DR member countries. The goal is to create a network of trained public participation experts in the CAFTA-DR region and extend public participation education and outreach strategy as a tool for communities to be actively engaged in environmental decision-making processes and help enforce environmental laws. The first workshop has been completed, with the EPA attending as a “coach”, at a community public participation training delivered by *Centro de Produccion Más Limpia* in Moyogalpa, Nicaragua. The EPA’s public participation guide and OAS’ handbook on public participation mechanisms within trade agreements and international financial institutions (IFIs) in the Hemisphere were the basis for the training, with a focus on applicable uses for these tools and mechanisms for solid waste management. The solid waste management problem on Isla Ometepe, Nicaragua is of growing concern given the lack of proper disposal options, so it is expected that the workshop will have a positive impact. The workshop was well organized, methodical, and had good community participation (2 males and 8 females). Additionally, a regional public participation workshop was completed with the help of the EPA.



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Biodiversity and Conservation

Goal: To protect wildlife and their habitat for long-term economic and environmental development

This Goal is divided into two expected results and impacts, which are:

- Enhanced implementation and enforcement of Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES) regulation
- Improved management of forest resources and protected areas for wildlife and habitat protection

Initiatives implemented in this area seek to combat illegal trade in endangered species and promote sustainable management of forests, protected areas and other important ecosystems. Key focal areas include strengthening the scientific and institutional capacities of authorities in charge of CITES, training CITES implementation officials, building wildlife enforcement capacity and networks, supporting new or existing animal rescue centers, preventing illegal logging, and sensitizing the public to wildlife protection and conservation through public awareness campaigns.



To measure these results, OAS-DSD designed indicators to capture information on visible or measurable changes in: the capacity of CITES management, scientific, and enforcement authorities to protect forests and wildlife. In turn, such changes are expected to lead to positive changes in the attitude of the population and in the adoption of practices and mechanisms by authorities in charge of biodiversity management to better protect wildlife and better collaborate in the fight against illegal trade.

Indicator	Baseline [note 1]	Progress [note 2]
Number of new or improved tools used by public institutions in charge of enforcing CITES to enhance wildlife protection and forestry species conservation (training, plan, studies, monitoring, community initiatives, standards, list of species)	<p>New laws and regulations have been adopted to strengthen the CITES legal framework and foster biodiversity protection, including legislation in Costa Rica, El Salvador (e.g., Salvadoran CITES Authorities' Category I status for national CITES legislation compliance was formally approved at the CITES Conference of the Parties in Doha, Qatar) and Honduras</p> <p>Taxonomic guides have been developed for <i>Tillandsia</i> identification (Guatemala), species at risk (El Salvador), iguanas, and forest species, to name only a few</p> <p>Two community wildlife trafficking route maps have been completed for Nicaragua and El Salvador</p>	<p>1 protected area public participation processes, tools, or best practices implemented to improve management and protection of Mayan Biosphere Reserve and Maya Mountains Chiquibul Biosphere Reserve (DOI)</p> <p>1 governmental process institutionalized to combat wildlife trafficking at sub-national level in Guatemala (DOI)</p> <p>4 reports produced and distributed to US and other government and non-government partners (DOI)</p> <p>The CITES Authorities of Guatemala and El Salvador, with the support of DOI-ITAP, finished collecting data on shark catch and fisheries in order to use the data to update their shark CITES non-detriment findings (NDFs)</p> <p>2 analytical reports developed/disseminated on how listing migratory marine species in CITES impacts communities (DOI)</p>



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	<p>Development of a CD with an interactive course that contains administrative, legal and technical aspects of the implementation of CITES, as well as providing training workshops and training instructor workshops</p> <p>An interactive training CD on animal handling was developed, including field guides and references to CITES regulations, as well as providing training</p> <p>An economic valuation study of CITES species in CAFTA-DR countries was undertaken, as well as a study to analyze the behavior of trade in CITES species in the region</p> <p>Updated listings of endangered species were prepared through an effort supported by USAID, the DOI, and other agencies (presented in CITES's COP 15 in Qatar)</p> <p>Development of monitoring systems, as well as the development of guidelines for Non-Detriment Findings (NDF)</p> <p>5 countries received assistance on upgrading their CITES information systems to improve data quality and decision-making capabilities (permit emissions), specifically Costa Rica, Guatemala, Honduras, Nicaragua, and El Salvador (in process)</p> <p>USFS also developed and published a high quality identification manual on 25+ most commonly traded wood species, which widely distributed throughout region to customs and forestry officials</p>	<p>Compilation and analysis of information (report to be published) on enforcement and judicial activities for wildlife and timber (pilot project in Panama and Honduras) (DOI)</p> <p>2 xylotrons (timber identification devices) donated to the Honduran Public Ministry for training, testing, and field use (DOI-ITAP and DOJ-ENRD)</p> <p>HSI created a digital trafficking map, which gathered relevant information about wildlife trafficking in Central America. Government agencies, community leaders, and local partners have identified the most common wildlife illegal trafficking routes and areas in all CAFTA-DR countries. All of the information was then incorporated into an interactive map that can be visited through the website https://www.iguanawatch.info/</p> <p>A comprehensive report on the population and ecology and trade information of the genus <i>Dalbergia</i>, as well as an executive summary document of the report, and 2 brochures were developed (USFS)</p> <p>A one-page informational document on the background, activities, and future needs of this collaborative project on combating the illegal logging of rosewood in CAFTA-DR countries. In addition to this one-pager and the reports referenced above, and as part of our goal to facilitate dialogue and communication amongst CITES officials in CAFTA-DR countries, a Facebook Page (https://www.facebook.com/usfsdalbergia/) was created (USFS)</p> <p>DOI-ITAP and USFS regional workshop led to proposals of various species to be included in CITES</p> <p>Establishment of the Community Wild Fires Commission and implementation of the Early Warning System for the Prevention of Wild Fires in Guatemala which consists of registering fires and placing banners indicating the risk factor of wild fires to occur. Support to the Commission of Surveillance and Control in the monitoring of hotspots.</p> <p>Strengthened organizational capacities of community bodies relevant for the protection of nesting habitat of the scarlet macaw (WCS)</p>
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		<p>In the Dominican Republic, the Grupo Jaragua team established nest monitoring programs with the help of local community members in two nesting areas in southern Dominican Republic (Sierra de Bahoruco National Park and Saona Island within Cotubanamá National Park). Four survey protocols were developed, including: (a) monitoring of artificial nest boxes, (b) monitoring of parrot breeding activity with camera traps in Sierra de Bahoruco, (c) conducting bird counts at fixed 1-km transects in Saona island and (d) detection of threats to parrots and their habitat. In Sierra de Bahoruco, two monitoring trips have been conducted to document the use of four artificial nest cavities and to survey a short forest transect in Pueblo Viejo. In Saona Island, the team established a surveying protocol and mark bird count transects at this site. Three artificial nest boxes, established in previous years were inspected and geo-referenced, and two key sites were established (WCS)</p>
<p>Number of people reached and sensitized by Public awareness campaign on wildlife protection or conservation</p>	<p>More than 20 million people have been reached through outreach campaigns throughout the region</p>	<p>21 media reports and events on wildlife law enforcement and inspection activities conducted in the region (42 cumulative) (DOI)</p> <p>5 communication/outreach tools and materials developed re: CAWEN/ROAVIS activities and priorities (including 3 public outreach videos) (11 cumulative) (DOI)</p> <p>65 officials + 4 traditional media outlets + 3 social networking outlets reached with communication/outreach tools and materials (DOI)</p> <p>DOI-ITAP continues to support CAWEN/ROAVIS communications the CAWEN/ROAVIS website and Facebook pages, used to disseminate information regarding their activities, enforcement actions, training events, and outreach as well as their participation in regional and international events</p> <p>Open mobile App for wildlife identification and a closed component allowing designated government officials to receive wildlife violation and trafficking reports from the public and other officials and respond to these accordingly materials (DOI)</p> <p>2,027 people reached by campaigns supported by the CAFTA-DR ECP (Helvetas)*</p>



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		<p>520,153 people with access to information from civil society that have access to public participation mechanisms and environmental information through campaigns and outreach material (Helvetas)*</p> <p>HSI in conjunction with local partners in each region reached 7,902,304 (previously reported) people in the first phase of the program through outreach campaigns. An additional 3,270,954 people were reached during the program extension in 2015-2016, for a total of 11,173,258 people reached through outreach campaigns</p> <p>The WCS Facebook platform was developed and promoted with 58,000 followers gained, including 32,000 across the target countries (DR, Guatemala, Nicaragua), since the launch in November 2016. Posts have garnered 76,510 engagements so far.</p> <p>In the Dominican Republic, 4 posts developed, reaching an estimated 1,400 users via Facebook and Twitter, as well as 80+ reached directly (65 students, 7 teachers, 7 field assistants/ community members, 5 local researchers/ conservationists, 3 researches abroad) through the awareness campaign (WCS)</p>
<p>Number of hectares of biological significance and/or natural resources under improved natural resource management as a result CAFTA-DR ECP</p>	<p>Over 1.3 million ha of biological significance were under improved natural resource management as a result of CAFTA DR ECP</p>	<p>72 hectares of biological significance and/or natural resources under improved natural resource management as a result of CAFTA-DR ECP assistance (Helvetas)</p> <p>Approximately 38,000 hectares under improved natural resources management (e.g., strengthened management efforts including fire break clearing, and monitoring/patrolling) (WCS)</p>
<p>Number of people trained in wildlife protection and their habitat for long-term economic and environmental development</p>	<p>3,200+ individuals trained to improve CITES implementation and enforcement including custom officers, other officials and NGO representatives (DOI, WWF/TRAFFIC/USFS-Nicaragua, HSI).</p>	<p>HSI worked closely with local partners to conduct community liaison workshops. All countries conducted workshops to educate community leaders on wildlife legislation and economic alternatives to poaching, training 351 people.</p> <p>3,287 students participated in workshops on wildlife protection (HSI)*</p>



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	<p>305 Government representatives of Honduras enhanced their knowledge of systems and methodologies used to prevent and combat illegal logging (trained to recognize 20 to 30 of the most common illegally-traded tropical wood species in the region)</p> <p>98 agents strengthened their skills to process timber violations.</p> <p>77 Government and University representatives were trained in wood identification workshops in El Salvador and Guatemala to learn how to properly distinguish rosewood species (<i>Dalbergia</i> spp.)</p>	<p>USFS trained 57 individuals in Honduras and Costa Rica, and 30 individuals in Nicaragua (Jan 31-Feb 2, 2017) on the correct identification of various commercial forest species (e.g., <i>Dalbergia</i> spp.) and strengthening the control of national and international trade (77 previously reported from workshops in El Salvador and Guatemala)</p> <p>12 individuals, comprised of students, faculty, and port officials, trained on the theoretical background and applied utilization of the XyloTron for species identification and adding specimens to the reference image collection (January 24-26, 2017, Guatemala) (USFS)</p> <p>Regional workshop with 25 individuals involved in combating illegal logging in CAFTA-DR countries, including researchers, CITES officials, a small-scale timber company, and customs officials. This workshop reviewed the general population, ecology and management of <i>Dalbergia</i>, discussed illegal logging in the region, and brainstormed action plans aimed at achieving a long-term, sustainable management strategy for the genus (USFS)</p> <p>30 Honduran judges from different regions of the country were trained on forest and wildlife crimes, best practices in sentencing, and technical aspects of wildlife and timber crime that should be considered in court (January 24-26, 2017) (DOI)</p> <p>28 police, Coast Guard investigators, and prosecutorial investigators from Central America and the Dominican Republic attended the “Regional Workshop on Wildlife Investigations Techniques”, learning about techniques for interviews, information management, crime scenes and other issues of relevance to conducting thorough investigations (October 24-27, 2016, El Salvador) (DOI)</p> <p>National Workshop for Inspectors on CITES Convention Regulations trained 23 El Salvadoran inspectors and customs forces (August 30-31, 2016) (DOI)</p>
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		<p>Workshop to Strengthen the Capacity of Law Enforcement Authorities in Environmental and Wildlife Cases trained 36 El Salvadoran participants, including judges, prosecutors, security forces, inspectors and customs forces (July 27-28, 2016) (DOI)</p> <p>9 individuals receiving training at the 6th CAWEN ROAVIS meeting</p> <p>Panel "Combating Wildlife Traffic and Promoting Law Enforcement: Achievements and Challenges of ROAVIS". 10th Anniversary of CAFTA-DR (July 8th, 2016), 20 participants, including prosecutors, security forces, inspectors and customs forces from all CAFTA-DR countries</p> <p>Training of women from Paso Caballos to be part of the education and outreach team to undertake activities in schools of 5 communities during the next period (Guatemala) (WCS)</p> <p>Environmental education talk attended by over 65 students and two teachers at Colegio Dominicano in Santiago regarding avian conservation in the Dominican Republic (DR, February 2017) (WCS)</p> <p>Trained teams of forest guards (60 people), including one Mayangna and one Miskito, in Nicaragua (WCS)*</p>
<p>Notes:</p> <p>1. Please see the previous CAFTA-DR Monitoring Reports for details on past results: http://www.caftadr-environment.org/monitoring/</p> <p>2. Due to the crosscutting nature of CAFTA-DR ECP, progress in law enforcement or regulations achieved by some implementing agencies are also reported under the institutional strengthening section.</p> <p>*Already reported in the institutional strengthening section.</p>		

Analysis of Results and Impacts

Improved Implementation and Enforcement of CITES

Implementing agencies launched various initiatives to build and strengthen capacities and harmonize CITES enforcement across the CAFTA-DR region. These initiatives include training officials on CITES basic legal structures, implementation and enforcement; strengthening or developing regulatory and legal instruments; developing accessible, replicable training materials; supporting the development of procedures and systems that increase



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the performance and effectiveness of CITES implementation; and developing tools to address limits on the implementation and enforcement of CITES.

All parties have identified as priorities the need to unite efforts to address illegal wildlife trafficking at all points along the chain of criminal activity, from poaching to final sale, and build capacity of government officials to disrupt this chain, from detection in the field to successful prosecution of criminals. Several advances have been made to improve local and international information about wildlife threats and trafficking routes. The DOI-ITAP facilitated the institutionalization of one governmental process to combat wildlife trafficking at the sub-national level in Guatemala. Furthermore, the DOI-ITAP, in coordination with the CAWEN/ROAVIS focal points for Honduras, is piloting a project to compile wildlife and timber enforcement and prosecution information, which will result in producing a report highlighting the continuous actions and court cases being pursued and demonstrating the country's commitment to combating wildlife and timber trafficking. Additionally, the much anticipated digital wildlife trafficking map, created through work by the HSI, was also released. Government agencies, community leaders, and local partners identified the most common wildlife illegal trafficking routes and areas in all CAFTA-DR countries. All of the information was then incorporated into an interactive map that can be visited through the website <https://www.iguanawatch.info/>. The Bureau of Oceans and International Environmental and Scientific Affairs (OES) highly expects that this will be an important tool to create new reports and to get statistics about wildlife trafficking, which will allow government and law enforcement agencies to better implement raids, control operations and confiscation of wildlife.

During this monitoring period three CAFTA-DR countries were involved in coordinated law enforcement and inspection operational planning and post-operational assessment meetings. DOI-ITAP worked with the CAWEN/ROAVIS focal points from Costa Rica to plan the second bi-national inspection and enforcement operation along shared border areas (with Panama). El Salvador and Honduras also conducted a bi-national wildlife and timber enforcement and inspection operation called *Operación Golfo* on October 21-22, 2016 at key border transit points along their shared border and waterways. More than 60 police, army, prosecutors, naval personnel, fisheries officials and CITES officials were part of this effort in the two countries. Officials seized monkeys, parrots, iguanas and protected timber species and identified strategic illegal transit points for wildlife. Participants in the operation also conducted public outreach and education by explaining national wildlife and timber laws to the people that they encountered (see Photo 1 below). Overall, countries are increasingly able to hold joint planning meetings for inspection and enforcement operations. Protocols are in place to make working together easier and more efficient.



Photo 1: Bi-national Operation, El Salvador and Honduras (October 2016)



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Joint work of the DOI-ITAP and DOJ-ENRD led to two xylotrons (timber identification devices) being donated to the Honduran Public Ministry for training, testing, and field use. In April 2016, DOI-ITAP and DOJ-ENRD staff along with Prof. Hermanson (Univ. of Wisconsin and USDS Forestry Products Lab), the co-inventor of the xylotron met with officials from the Attorney General of Honduras to donate the xylotrons. In addition, the DOI-ITAP and DOJ-ENRD developed a professional, four month university certificate (“diplomado”) course at the national Forestry Sciences School (ESNACIFOR) in Siguatepeque, Honduras (launched in February 2016). Here they took advantage of the presence of 28 prosecutors and technicians at the diplomado course to demonstrate and field test the xylotron. Additionally, training and donation of xylotron equipment was undertaken at the Wood Forensic Laboratory of Guatemala (see Case Study 2).

Case Study 2: USFS Cooperation to Combat Illegal Logging

According to the United Nations Office on Drugs and Crime (UNODC), rosewood, also known as redwood, cocobolo, or rosul (scientific name: *Dalbergia*) is one of the world’s most trafficked wild products. Increasing demand from China is a significant driver of the extraction of these rare and valuable tree species across Central America and throughout the world. The deforestation of this species, which primarily grows in dry tropical forests, has had a devastating impact on indigenous forest communities and the natural resources that sustain their livelihoods. Furthermore, illegal logging lowers global timber prices, causing U.S. firms and timber mills to lose up millions each year. Worldwide, illegal logging leads to annual losses of upwards of \$10 billion USD. Illegal rosewood trade has been acknowledged as a regional and international issue of concern and CITES has now listed the entire genus *Dalbergia* under Appendix II of the Convention. Further compounding the issue, little information exists on the population and ecology of rosewood in the CAFTA-DR region, making it difficult to monitor and prevent illegal logging of these species.

Currently, the State Department and the USFS-IP have teamed up to carry out a program focused on targeting the reduction of the illegal harvesting, processing and trade of rosewood in CAFTA-DR countries by building the capacity of key agencies and organizations to effectively identify threatened species, enforce national environmental laws, implement CITES regulations, and share information. Specifically, this program has facilitated discussions and workshops with actors involved in combating illegal logging in CAFTA-DR countries, by gathering region-wide information on the population and ecology of rosewood, developing programs to sustainably manage rosewood throughout the region, and trainings provided to CAFTA-DR officials on the identification of rosewood and other common illegally traded wood species. USFS-IP will support the creation and dissemination of materials about rosewood for management and enforcement agencies through the region. This work builds on USFS-IP’s previous work on mahogany conservation, further increasing capacity in the CAFTA-DR countries to address forest governance and improve enforcement of national environmental laws and implementation of international treaties, such as CITES.

First, a comprehensive report and executive summary on the population and ecology, as well as trade information of the genus *Dalbergia* was developed and recommendations were proposed for future activities about the management and protection of *Dalbergia* species. Following this, USFS developed a user-friendly brochure with basic information about biology, distribution and keys for the identification of *Dalbergia* species that are under pressure from logging in the region. The brochure has been distributed to the authorities in the charge of the national and international control of wood commerce. An additional brochure with basic information about biology and taxonomy for the identification of rosewood (*Dalbergia retusa*) was also developed. Second, in March-April 2016 and January-February 2017, USFS-IP hosted five, three-day wood identification workshops, focusing on correctly identifying *Dalbergia* spp. found in the region, covering information about CITES, and on understanding and controlling the movement of timber wood products into and out of their countries. These workshops were led by USFS wood identification anatomist from the USFS Forest Products Laboratory, Dr. Mike Wiemann, in Costa Rica, Honduras, El Salvador, Guatemala and Nicaragua (2017 workshop) for customs inspectors, government agencies, CITES officials and other local actors. One specific challenge that was encountered during the implementation of the wood identification workshops continues to be the reliable identification of the different species of *Dalbergia* found in Central America. For example, at least nine new species have been identified recently in the region that had not been previously recorded. Without up-to-date information on how many species exist and their population levels, it can be difficult to develop comprehensive wood identification activities.



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Finally, in May 2016, USFS-IP facilitated a regional workshop (25 participants) for CITES officials, government agencies, researchers and non-profit organizations in CAFTA-DR countries.

In addition to the donation of the xylotrons in Honduras and Guatemala (see Photos 5), on January 24-26 2017, USFS-IP facilitated a targeted technical training on the xylotron. A select group of 12 individuals, comprised of students, faculty, and port officials, were trained on the theoretical background and applied utilization of the xylotron for species identification and adding specimens to the reference image collection. The xylotron is a device and database system developed by the U.S. Forest Service’s Forest Products lab that allows for the rapid, on-site identification of wood species. An image of a wood sample (see Photo 6) from the xylotron generates a unique signature that is then fed into the database, allowing genus and often species to be rapidly identified. The use of the xylotron will allow the lab in Guatemala to respond to both domestic and international requests for wood identification in illegal logging cases.

Recently, USFS-IP has contracted a local specialist in reforestation and restoration techniques, specifically for *Dalbergia* spp. This consultant is conducting field studies to better understand the production of *Dalbergia* species in Central America for reforestation and restoration efforts. The CAFTA-DR program, as it moves into its next phase, is focusing more efforts on establishing seed banks, nursery production and reforestation of *Dalbergia* species. Regarding the seed bank assessments, USFS-IP is currently developing a scope of work for the proposed rapid assessment of seed banks in CAFTA-DR countries. They are tentatively proposing providing technical assistance to the newly formed, government-funded seed bank in Guatemala and to the more established seed bank in Nicaragua. One challenge regarding the support of seed banks and nursery development was the lack of federally-run seed banks in CAFTA-DR countries. While many countries have seed banks or nurseries, these are often privately funded.



Photo 2
 Working group at the regional workshop on *Dalbergia*



Photo 3
 Participants and facilitators at the regional workshop



Photo 4:
 Xylotron and image of wood sample.



Photo 5
 Image of a wood sample from the xylotron. This image generates a unique signature that is then fed into the database, allowing genus and often species to be rapidly identified



Further DOI-ITAP CITES activities have focused on proper implementation, enforcement, and scientific-application of CITES, as well as on strengthening interactions and communication between CITES scientific authorities, administrative authorities, national fisheries authorities and communities. Specifically, additional scientific work has included:

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- The DOI-ITAP played a role in the development/dissemination of analytical reports on how listing migratory marine species in CITES impacts communities. The CITES Authorities of Guatemala and El Salvador, with the support of DOI-ITAP, finished collecting data on shark catch and fisheries in order to use the data at the end of 2016 to update their shark CITES non-detriment findings (NDFs). Officials compiled and assessed the data to assess the impact on communities of artisanal fishermen in applying CITES measures for the inclusion of shark species in Appendix II. This pilot activity combined preceding CITES NDF training and efforts, with regional marine coordination via OSPESCA and DOI-ITAP, using the sustainable livelihood tools developed by CITES-OAS. El Salvador finalized and signed their report; Guatemala is finalizing the data for their report.
- Field studies were conducted to better understand the production of *Dalbergia* species in Central America for reforestation and restoration efforts (USFS-IP) (see Case Study 2).
- In the Dominican Republic, work by the Grupo Jaragua team, supported by the WCS project, established nest monitoring programs with the help of local community members in two nesting areas in southern Dominican Republic (Sierra de Bahoruco National Park and Saona Island within Cotubanamá National Park). Four survey protocols were developed, including: (a) monitoring of artificial nest boxes, (b) monitoring of parrot breeding activity with camera traps in Sierra de Bahoruco, (c) conducting bird counts at fixed 1-km transects in Saona island and (d) detection of threats to parrots and their habitat. In Sierra de Bahoruco, two monitoring trips have been conducted to document the use of four artificial nest cavities and to survey a short forest transect in Pueblo Viejo. In Saona Island, the team established a surveying protocol and marked bird count transects at this site.

DOI-ITAP and other implementing agencies conducted numerous regional, national, bi-national, and tri-national workshops and capacity-building activities addressed at a wide range of stakeholders. Regional meetings of CITES officials and other relevant parties provided an efficient venue to share best practices, discuss national and regional priorities, identify capacity gaps, identify issues in need of attention, provide opportunities for government officials within the region to engage in joint collaboration, and ultimately enhance government-to-government cooperation in CITES as a result. Such meetings also provided a forum for member countries to present proposals of regional importance and offer the opportunity to plan joint regional operations.

- DOI-ITAP and USFS hosted the regional meeting of Scientific and Administrative Authorities of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) in El Salvador (June 21-22, 2016). Here participants analyzed the proposals (see Box 4) submitted by the countries of the region and the United States in an effort towards establishing a regional position prior to the September 2016, 17th Conference of the Parties (CoP) in South Africa.
- The CAWEN/ROAVIS Focal Points, held their 6th annual administrative and planning meeting on February 21, 2017 in Washington DC (see Photo 6). They also met with key partners – State, DOJ, FWS, and OAS – to showcase their work and successes to existing and potential new partners within the U.S. government and NGO community. During the meeting they evaluated the results and impacts of the activities implemented in 2016 at the national, bi-national and regional levels. The Focal Points highlighted national and bi-national operations, increased participation in international forums, activities to promote professionalization of officials from institutions that are part of the network (e.g., wildlife and forest crimes course



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in Honduras) training to raise awareness of judges regarding the negative impacts of wildlife trafficking and related crimes, continued capacity building for environmental prosecutors, and information exchange on criminal networks. The group also discussed and defined priorities work areas for 2017.

- The USFS-IP led a regional workshop with 25 individuals involved in combating illegal logging in CAFTA-DR countries, including researchers, CITES officials, a small-scale timber company, and customs officials. This workshop reviewed the general population, ecology and management of *Dalbergia*, discussed illegal logging in the region, and brainstormed action plans aimed at achieving a long-term, sustainable management strategy for the genus.
- A panel on "Combating Wildlife Traffic and Promoting Law Enforcement: Achievements and Challenges of ROAVIS" was undertaken at the 10th Anniversary of CAFTA-DR (July 8th, 2016), where 20 individuals, including prosecutors, public security forces, inspectors and customs authorities participated from all the CAFTA-DR countries.



Photo 6

Central America and the Dominican Republic Wildlife Enforcement Network (CAWEN), Sixth Annual Meeting (February 21-24, 2017)

Box 4: CITES Proposals by the various CAFTA-DR countries at the regional meeting of Scientific and Administrative Authorities of CITES

Guatemala	Genus <i>Abronia</i> (5 endemic species) (Arboreal Alligator Lizards); inclusion in Appendix I and II Genus <i>Dalbergia</i> (Rosewood); inclusion of the genus Appendix II of CITES, except the species included in Appendix I
Dominican Republic	<i>Carcharinus falciformes</i> (Silky Shark); inclusion in Appendix II Genus <i>Alopias</i> (Thresher Shark); inclusion in Appendix II
Costa Rica	Genus <i>Mobula</i> (Eagle Rays); inclusion in Appendix II
United States	Genus <i>Manis</i> (Pangolins); transfer to Appendix I Trionychidae (SoftShell Turtle); include these species of turtles in Appendix II Nautilidae spp. (Nautilus, Mollusc); include in Appendix I Amendment of the annotations of the species of; <i>Aquilaria</i> spp., <i>Gyrinops</i> spp. (Palo santo) and <i>Aquilaria</i> spp., <i>Gyrinops</i> spp. (Agar wood)



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In addition to the meetings list above, technical workshops for judges, prosecutors, and inspectors and customs forces have been undertaken. Overall, these workshops have the goal to provide an overview of wildlife trafficking, laws, CITES, and related topics; to raise their awareness and attention to these issues; and to provide technical training to help improve enforcement mechanisms. Specifically, workshops that have been undertaken since the last monitoring report include:

- DOI-ITAP (CAWEN/ROAVIS) network and the Judiciary School of Honduras hosted a workshop (January 24-26, 2017) for 30 Honduran judges to strengthen judicial capacity prosecute and sentence wildlife and timber crimes (e.g., best practices in sentencing, and technical aspects of wildlife and timber crime that could be considered in court) and to demonstrate the negative impact these crimes have on economic livelihoods, biodiversity, population stability and governance. Overall, 96% said the workshop information was useful in post-workshop surveys (see Photo 7).



Photo 7: National Judges Workshop in Tegucigalpa, Honduras (January 2017)

- DOI-ITAP in coordination with CAWEN/ROAVIS and the U.S. Fish and Wildlife Service’s Office of Law Enforcement-Federal Law Enforcement Training Center team, organized a “Regional Workshop on Wildlife Investigative Techniques” in San Salvador, El Salvador. Over a five day period (October 24-28, 2016), 28 police, Coast Guard investigators, and prosecutorial investigators from Central America and the Dominican Republic learned about techniques for interviews, information management, crime scenes and other issues of relevance to conducting thorough investigations (see Photo 8).
- DOI-ITAP organized a National Workshop to “Strengthen the Capacity of Law Enforcement Authorities in Environmental and Wildlife Cases” and trained 36 El Salvadoran participants, including judges, prosecutors, security forces, inspectors and customs forces (July 27-28, 2016), as well as a National Workshop for “Inspectors on CITES Convention Regulations” and trained 23 El Salvadoran inspectors and customs forces (August 30-31, 2016).
- USFS-IP trained 57 individuals in de Honduras and Costa Rica, and 30 individuals in Nicaragua (Jan 31-Feb 2, 2017) on the correct identification of various commercial forest species (e.g., *Dalbergia* spp.) and strengthening the control of national and international trade (77 previously reported from workshops in El Salvador and Guatemala).



Photo 8: Wildlife Law Enforcement Workshop in San Salvador, El Salvador (October 24-28, 2017)



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Improved Management of the Forests Resources and Protected Areas for Wildlife and Habitat Protection, with emphasis on Public Awareness Campaigns

According to the last evaluation report, as a result of CAFTA-DR ECP support, over 1.3 million hectares of biological significant land have come under improved natural resource management, over 3,600 people were trained to improve CITES implementation and enforcement, and over 20 million people have been reached by specific outreach campaigns in protected areas.

During this period, the Helvetas small grants program reported an additional 72 hectares of biological significance and/or natural resources under improved natural resource management as a result of CAFTA-DR ECP assistance. Specifically, this occurred through the LIDER project in Nicaragua, where 40 additional hectares of mangrove was put under improved management by local communities, as well as through the FUNJIDES project, also in Nicaragua, where the municipal greenhouse received 30,000 native and endangered tree species, of which 8,578 were given to 18 farmers. WCS reported impressive results with approximately 240,500 hectares of biological significance and/or natural resources under improved natural resource management. In Guatemala approximately, 5,700 hectares of conservation area and its adjacent buffer zone are under partial protection. Also, strengthened management efforts this period included fire break clearing and monitoring (including 14 km on foot route to Peñon de Buenavista), which have helped to contain/avoid wildfires and preserve scarlet macaw nesting habitat. In Nicaragua, threatened boundaries of territories were cleared and patrols were initiated (territories were 1,134 km² and 1,027 km²). Furthermore, the WCS reported that a total of 58.85 km (Guatemala 18.2 km; Nicaragua 32.65 km) of fire breaks were cleared, which improved the biophysical conditions of areas of biological significance, and ultimately protected hundreds of hectares of land.

Public participation also plays a vital role in supporting government efforts and raising awareness and involvement of civil society in combating wildlife trafficking and its related threats to security. In particular, implementing partners have reached around 4 million or more individuals with their outreach campaigns.

- The CAFTA-DR small grants program directly reached 2,027 people by campaigns supported by the CAFTA-DR ECP, while 520,153 members from civil society had access to public participation mechanisms and environmental information through campaigns and outreach material.
- Importantly, HSI in conjunction with local partners developed outreach campaigns in each region, which reached 7,902,304 people (already reported in the last monitoring report) in the first phase of the program and reached an additional 3,270,954 people during the program extension in 2015-2016, for a total of 11,173,258 people reached through outreach campaigns. The overall goal of the HSI program was to support the enforcement of wildlife laws locally and regionally through a public outreach campaign, accomplished in one rural city and one major city in each country (see Case Study 3).
- DOI-ITAP also capitalized on opportunities to conduct CITES and CAWEN/ROAVIS regional outreach and education. Five communication/outreach tools and materials, including three public outreach videos, were developed regarding CAWEN/ROAVIS activities and priorities. These three videos have the goal of educating the public and governments about CAWEN/ROAVIS and raising awareness of the negative impacts of wildlife trafficking and the importance of applying wildlife laws. The videos are posted on the CAWEN/ROAVIS website (www.raovis.net) and Facebook page and are being used at national, regional, and international events that CAWEN/ROAVIS members attend and host (e.g., 6th annual CAWEN/ROAVIS meeting). Currently, DOI-ITAP, in coordination and consultation with the Focal Points for CAWEN/ROAVIS and the CITES authorities of CAFTA-DR, is in the process of developing a mobile application to combat wildlife trafficking (see Box 5).
- To date, the WCS has been utilizing social media to engage the public. Their Facebook platform was developed, launched (November 2016) and promoted, gaining 58,000 followers,



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including 32,000 across the target countries. Posts have garnered 76,510 engagements so far. Significant interest has been expressed in illegal wildlife trafficking issues and specific incidents have been reported via direct messages. WCS is considering a formal method through which to receive criminal reports to capitalize on this unexpected interest garnered.

Overall, one of the most impressive results of CAFTA-DR ECP has been the engagement of community stakeholders in environmental decision-making through the acquisition of proper knowledge, with the active collaboration of local NGOs engaged in education and outreach activities regarding endangered species, natural resource management, and environmental conservation. These types of activities empower communities and provide them with quality information, enabling them to voice their opinions and pro-actively participate in government decision-making affecting protected areas in their communities and surroundings.

Box 5: Mobile phone application to engage the Public and Combat Wildlife Trafficking



DOI-ITAP, in coordination and consultation with the Focal Points for CAWEN/ROAVIS and the CITES authorities of CAFTA-DR, is in the process of developing a mobile application to combat wildlife trafficking. This application will help wildlife inspectors, police, technicians, prosecutors, border officials and the public in general to identify species in their region by written and visual information; it will also provide a library of national laws and regulations. The application will include a second closed component that will allow designated government officials to receive wildlife violation and trafficking reports from the public and other officials and respond to these accordingly. Once developed, DOI-ITAP will work with its projects in Colombia and Chile to add additional relevant species information.

Photo 9: Mobile phone application to combat Wildlife Trafficking

Case Study 3: HSI using Public Participation to help improve Compliance with Wildlife Laws in CAFTA-DR Countries

HSI (Humane Society International) undertook the program “Public Participation in Compliance with Wildlife Laws in CAFTA-DR Countries”. This project involved tool development, environmental education activities, outreach campaigns, and baseline and endline surveys. First, HSI created a digital trafficking map, which will be an important tool to get ongoing statistics about wildlife trafficking and consequently help government and law enforcement agencies to better implement raids, control operations and confiscation of wildlife. In collaboration with local partners, HSI conducted environmental educational activities in each of the CAFTA-DR countries. The educational programs included activities such as workshops, theatre plays and field trips to improve knowledge about endangered wildlife species and illegal trafficking issues and reached a total of 3,287 students, school children, and community members. HSI also worked closely with local partners to conduct community liaison workshops. All countries conducted workshops to educate community leaders on wildlife legislation and economic alternatives to poaching. Also, HSI, in conjunction with local partners, was able to identify community groups and funding alternatives for economic investment in each rural community. Finally, HSI worked with education departments in El Salvador and Costa Rica to include wildlife protection issues in school curriculums.

Before the development of the outreach campaigns in each CAFTA-DR country, a baseline survey (on wildlife attitudes, perceptions and behaviors of people) was carried out in one large city, and in one small community in each country to gather perceptions related to wildlife.



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A total of 1,200 individuals were surveyed. The acquisition of quality baseline information is important for both developing successful public awareness campaigns and for determining the success of any outreach campaign. Two additional follow-up surveys were completed to determine changes in perception and knowledge of local communities after the implementation of the outreach campaign. More than 100 volunteers from local partners, NGOs, universities and government agencies collaborated in the implementation of surveys across CAFTA-DR countries. In conjunction with local partners, outreach campaigns (e.g., artwork digital billboards, distributed outreach materials (posters, brochures and stickers), radio ads and radio interviews, billboards, educational workshops, etc.) in each region reached 7,902,304 people in the first phase and an additional 3,270,954 people were reached during the program extension, for a total of 11,173,258 people reached through outreach campaigns. The second phase of the outreach campaign was modified based on feedback received through HSI's wildlife perception survey, which significantly aided in the development of new outreach materials. Specifically, the outreach campaigns undertaken with support from national governments in all CAFTA-DR countries were as follow:

- **Guatemala:** ARCAS strengthened their relationship with the OMYC (local organization of Mayan communities), positively impacting one of the most important areas inside the Mayan Biosphere Reserve.
- **Costa Rica:** with support from the Ministry of Environment and other government agencies such as National Tourism Chamber, a billboard in a high transit area was used to share information about wildlife protection and display contact information for an anti-wildlife trafficking tip line.
- **Dominican Republic:** important alliances were built with the tourist sector in La Romana to help monitor beaches visited by the highly-endangered hawksbill turtle.
- **Nicaragua:** the local partner established alliances with nearby departments (e.g., Masaya) allowing for the duplication of the outreach campaign. Additionally, the program received support from the local CITES Management Authority and the Department of Education.
- **El Salvador:** the government of El Salvador financed the cost of printed material, highlighting the crimes against wildlife and how people can collaborate by reporting illegal trafficking in their communities.
- **Honduras:** the local partner established important alliances with the national police, the firefighter's department, and the mayor to help spread the campaign through their regional offices.

Results from the baseline survey determined that 41% of people were not taking any actions to protect wildlife and that 55% did not know any laws that protect wildlife in their countries. In the first follow-up survey the percentage of people not taking any actions to protect wildlife dropped to 25%, and in the second follow-up survey to 13%, suggesting a direct positive effect derived from activities related to the outreach campaigns in rural and urban areas. The knowledge of wildlife legislation also increased, with 70% starting to have some awareness on wildlife laws in the second follow-up survey. Overall, individuals surveyed demonstrated a better understanding on practices that threaten wildlife, such as illegal hunting and consumption, and had an increase in the awareness of the importance of wildlife protection.

As a final note, HSI worked with El Salvador's Ministry of Environment and Natural Resources (MARN) in the organization of raids in four of the Eastern main highways in the country with 47 officials from National Police, CITES Management Office and Ministry of Agriculture (MAG). The raid's goal was to educate people about wildlife crimes and to detect and confiscate illegal wildlife. A total of 200 vehicles, 23 buses, and 7 trucks were intercepted and were further reached by materials from the outreach campaign. As a result of the raid, 13 animals were confiscated including a white-faced capuchin monkey, six spiny tailed iguanas, and 4 yellow-naped parrots. The animals were successfully transferred to an animal rescue facility.



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Case Study 4: WCS starting its Fight against Illegal Wildlife Trafficking

Illegal Wildlife Trafficking is a growing threat in the region that puts national and international security at risk. Every day this illegal trade damages people's livelihoods, community integrity, income-generating jobs, sustainable development and national economies. WCS has seen how communication campaigns have achieved great victories for threatened species by developing social pressure that stems from political action. The goal of this project is to improve the application of legal frameworks on species trafficking in three CAFTA-DR countries (Dominican Republic, Nicaragua and Guatemala) by strengthening capacities of key community organizations through projects focused on wildlife conservation, increasing people's awareness and knowledge through a creative and innovative communication campaign, supporting coordination among actors from civil society and government authorities, and undertaking regional initiatives. WCS has made impressive progress, starting different activities in the three CAFTA-DR countries.



Guatemala	<p>The main focus during this period has been on the strengthening of preventive actions and fire controls in the Paso Caballos community through the development of a contingency plan for the prevention and control of wild fires, the establishment of the Community Wild Fires Commission and support to the Commission of Surveillance and Control. Meetings have also been organized to analyze deforestation and fire-related information produced by CONAP's Monitoring Center in Peten and the implementation of the Early Warning System for the Prevention of Wild Fires (SATIF). In addition, an over-flight route was prepared and methodology developed to register coordinates of every Cantemo (<i>Acacia glomerosa</i>) tree (in Peñon de Buena Vista 152 identified) key to the nesting of the scarlet macaw; monitoring undertaken of known cavity nests; and searches carried out for fallen trees that could be used to construct artificial nests. Overall, the idea is to strengthen organizational capacities of community bodies relevant for the protection of the nesting habitat of the scarlet macaw.</p>
Dominican Republic	<p>Hispaniola parrot nest monitoring programs have been established with the support of local community members in two nesting areas in southern Dominican Republic (Sierra de Bahoruco National Park and Saona Island within Cotubanamá National Park) and field monitoring of parrot distribution sites is underway (teams comprised of five community members). Four survey protocols were developed, including: (a) monitoring of artificial nest boxes, (b) monitoring of parrot breeding activity with camera traps in Sierra de Bahoruco, (c) conducting bird counts at fixed 1-km transects in Saona island and (d) detection of threats to parrots and their habitat. During each site visit, the field staff recorded and geo-referenced all parrots and nests seen, as well as any sign of threats to parrots. The data gathered during this study will be key to understand parrot behavior and breeding activities. Materials for the outreach campaign and Parrot Road Show (e.g., an interactive environmental education curriculum) are under development, with some already produced. Other outreach efforts are ongoing such as presentations in schools and social media outreach, which has already garnered significant support. In addition, parrot conservation and management of habitat is being integrated into the conservation agenda of several actors and the team is engaging other protected areas.</p>



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Nicaragua	<p>The team focused on two sections of indigenous territory boundaries in the Bosawás Biosphere Reserve and on actions related to addressing incursions, as well as protecting forest cover and wildlife. Large crews cleared a total of 32.62 km along the borders and subsequently patrols were conducted. Crew leaders were trained in the use of GPS units and data collection protocols to enable them to effectively record incursions. There were some confrontations during field patrols, thus the data collected and report produced were shared during a six-territory assembly with municipal and national authorities (April 29, 2017). These advances, along with a complementary project designed to deliver technical assistance to manage livestock, were instrumental in the signing of conservation agreements (January 2017) with the territories that include prohibitions on hunting spider monkeys and white-lipped peccaries, and conditions on controlling agricultural damage by tapir and jaguars. Ultimately, the work conducted in two territories has inspired similar emphasis in adjacent territories.</p>
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Market-Based Conservation

Goal: To implement a conservation system based on the market

Under this Goal, the focus is on sustainable tourism, sustainable agriculture and/or aquaculture, and the sustainable harvest of forest products as a means to support economic growth, natural resource management, and environmental protection, often through the process of ecological certification.

This Goal has one expected result and impact:

- Improved management and conservation of the environment through: ecotourism, the production of crops favorable to the environment, and the commercialization of products and forest practices



To measure this result, OAS-DSD designed specific indicators that capture information on visible/measurable changes in agricultural practices and farm management, number of farmers and other using improved practices, increased revenues of individuals, number of hectares under improved management, and the number of individuals trained in economic alternatives.

Indicator	Baseline [note 1]	Progress [note 2]
Number of people trained in the development of ecotourism and or sustainable agricultural practices	<p>31,300+ individuals from 23+ communities have attended best practices events, workshops, and trainings on ecotourism, sustainable or environmentally-friendly agricultural practices, organic certification, school garden management, natural resource management and/or biodiversity conservation</p>	<p>88 individuals were trained in food alternatives in the community, preventing more extraction of animals, and training on economic alternatives (HSI)</p> <p>88 people (43 females) were trained in composting and organic fertilizer production with the aim of creating a small business and commercializing the product (Helvetas - Plan Yaque, Dominican Republic)</p>



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<p>Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of CAFTA-DR ECP</p>	<p>8,000+ individuals have increased economic benefits derived from sustainable natural resource management and conservation, including ecotourism, the growth of certified crops and school/home gardens</p>	<p>Individuals (176) mentioned in the indicators above MAY have some increased economic benefits (HSI and Helvetas)</p>
<p>Number of farmers (or farms) using improved cocoa/coffee/banana/pineapple production methods which benefit the environment</p>	<p>Over 20,500 farms growing bananas, coffee and cacao in CAFTA DR countries were certified between 2007 and 2013</p> <p>9 fields of organized farmers were certified covering different products (fruits, vegetables and fish)</p> <p>42 micro, small and medium enterprises have completed the Green Deal Tourism Certification and are applying Sustainable Tourism Good Practices</p> <p>Certification of tropical green leaf timber production and exportation</p>	<p>201 farmers and others have applied new technologies or management practices (Helvetas)</p>
<p>Number of hectares under improved technologies or management practices as a result of CAFTA-DR ECP</p>	<p>At least 190,640 ha are under improved technologies or management practices (e.g., certified crops) as a result of CAFTA-DR ECP operations, including 44,745 ha of high biological significance</p> <p>Organic production processes have been found to benefit an average of 192 species living in cacao production areas, including endangered species</p>	<p>115 ha under improved technologies or management practices (m</p>



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<p>Type of improved practices in cocoa/coffee/banana/pineapple production being used by farmers</p>	<p>Protection of shade trees; planting of additional native shade trees (fruit and forest trees) ; maintenance of wildlife corridors; utilization of organic fertilizers; application of green manure during the fallow period; reduction of reliance on pesticides in favor of biological and natural alternatives; prohibited from using any banned pesticides; optimization of water use for irrigation; improvement of food safety practices; and micro-grafting of superior cacao clones, resulting in better yields and fewer disease-infested crops.</p>	<p>Improved mangrove management (Helvetas, LIDER, Nicaragua)</p> <p>Planting of native and endangered tree species (Helvetas, FUNJIDES, Nicaragua)</p>
<p>Number of enterprises/farms which received environmental certifications/recognitions during the program performance period</p>	<p>Over 20,500 farms growing bananas, coffee and cacao in CAFTA DR countries were certified between 2007 and 2013</p> <p>9 fields of organized farmers were certified covering different products (fruits, vegetables and fish)</p> <p>42 micro, small and medium enterprises have completed the Green Deal Tourism Certification and are applying Sustainable Tourism Good Practices</p> <p>Certification of tropical green leaf timber production and exportation</p>	<p>N/A this period</p>

Notes:

1. Please see the previous CAFTA-DR Monitoring Reports for details on past results: <http://www.caftadr-environment.org/monitoring/>
2. Due to the crosscutting nature of CAFTA-DR ECP, progress in law enforcement or regulations achieved by some implementing agencies are also reported under the institutional strengthening section.



Analysis of Results and Impacts

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The main expected result in this area is improved capacity to maintain the natural resource base and protect the environment to support sustained and sustainable economic growth. Specifically, initiatives implemented in this area of work focus on sustainable tourism, sustainable agriculture and sustainable harvesting of forest and other products, as a means to support economic growth, sustainable resource management and environmental protection, particularly through ecological certification.

During some of the previous reporting periods several projects yielded tangible impacts, both for the populations whose livelihoods come from the forest and plantations, and for the environment from which they get their living.

- More than 20,500 farms were certified
- More than 8,000 individuals directly reported increased revenues
- More than 190,640 hectares were reported under improved management

Progress was made by promoting and implementing organized, sustainable, and environmentally-friendly production systems that created economic incentives for Central American producers and enhanced long-term environmental conservation and wildlife protection. Specifically, Rainforest Alliance (RA) worked with coffee, cacao, banana and pineapple producers to enhance the environmental and economic sustainability of their production through their organic and fair trade certification process, while HSI worked with farmers who had abandoned cacao plantations or were having very limited yield, to enhance their production. These extremely successful projects have finished and currently no projects are specifically focusing on market-based conservation issues. Indirectly, a couple of the Helvetas small grants projects and the now completed HSI project have addressed some of the market-based conservation indicators, so these will be discussed.

Overall, HSI trained 88 individuals since the last monitoring period. Country specific results include

- Guatemala: 18 individuals trained in Uaxactún, specifically with the community concession cooperative, to ensure their community could enrich their local dispensary project, in order to provide more food alternatives in the community and prevent more extraction of animals.
- Honduras: 20 individuals in a women's handcraft group in Rio Negro Comayagua were provided training on economic alternatives.
- Dominican Republic: 50 individuals trained in a workshop in Boca de Yuma centered on strengthening tourist outreach to people visiting the park; a mural focused on keeping wildlife in the wild was also developed.
- Previously reported, Costa Rica and Nicaragua (ecotourism community project): 65 people participated in their economic alternatives workshops.

Also, through the Helvetas small grants projects, specifically Plan Yaque, a group of people in the Dominican Republic were trained (43 women; 45 men) in composting and organic fertilizer production, with the ultimate aim of creating a small business and commercializing the product. Two trainees worked in local communities for six weeks to identify the type of waste produced and also to conduct awareness raising activities in schools. Although not directly mentioned, it is very possible that these individuals trained in economic alternatives may now be experiencing some increased economic benefits.

Overall, a total of 115 hectares, through the Helvetas small grants program, are under improved technologies or management practices, related to market-based conservation, thanks to CAFTA-DR ECP activities. Specifically, LIDER Foundation in Nicaragua supported 40 additional hectares of mangrove forest being put under improved management by local communities, while FUNJIDES in Nicaragua supported a municipal greenhouse in receiving 30,000



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native and endangered tree species, of which 8,578 were donated to 18 farmers. Another Helvetas project that embarks on market-based conservation is ACUGOLFO in El Salvador, which is aiming to improve water management in five municipalities situated in the upper part of Cerro Cacahuatique by supporting Water Committees and promoting sustainable coffee production techniques. Additionally, results indicate that a total of 201 farmers and others involved in the Helvetas projects have applied new technologies or management practices. The WCS project has also recently signed agreements with three communities for a project called “Improving the Management of Domestic Animals for Economic and Environmental Stability in Bosawás, Nicaragua”, which focuses on improving the production efficiency of domestic animals (especially cattle), intensifying production near homes and keeping animals out of forests, improving forestry systems, changing producer attitudes, and improving the coexistence between ranchers and jaguars.

Environmental Performance of the Private Sector

Goal: To improve the private sector’s environmental performance through cleaner production strategies, environmental management systems, voluntary mechanisms, public-private associations and stronger institutional capacity and human resources

Under this Goal, the purpose is to promote the adoption of clean production methods and environmental management systems to improve a company’s competitive advantage by reducing resource consumption and waste. In addition, work will be done with financial institutions, enterprises, and cleaner production centers to increase capacity, develop voluntary mechanisms for cleaner production, and to provide incentives and recognition for companies using improved processes and technologies. High priority is also being placed on working with universities to ensure the sustainability of results.



The main expected results and impacts are:

- Improved trade policies and incentives related to environmental issues
- Greater commitment of the private sector with respect to the environmental behavior

The first result captures what can be done on the “incentive” side of the process. For example, policies can be developed and adopted, issue-based committees can be formed and incentives can be developed and implemented. The second result directly focuses on the behavior of enterprises. Enterprises that have awareness of, commitment to, and the capacity to undertake environmentally responsible action will use clean production technology, adopt eco-efficiency practices and use environment management systems.

Initiatives related to this goal focus on encouraging businesses to adopt clean production methods and EMSs. Businesses which do so gain a competitive edge through reduced resource consumption and waste. Other initiatives in this area of work focus on working with financial institutions, enterprises, and cleaner production centers (CPCs) to increase capacity, develop voluntary mechanisms for cleaner production, and provide incentives and recognition to companies that use improved processes and technologies.

To measure these results, OAS-DSD designed a set of impact indicators; some of them are designed to capture relevant observable or measurable changes within agricultural/industry practices and business management. Other indicators within this set capture economic benefits (i.e. increased revenues for producers and business owners) and environmental benefits associated with these improved practices.



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Indicator	Baseline [note 1]	Progress [note 2]
<p>Change in SMEs' energy use [measured in kW]</p> <p>Change in SMEs' fuel use [measured in gallons]</p> <p>Change in SMEs' water usage [measured in gallons]</p> <p>Change in SMEs' generation of waste/pollution [measured in tons]</p> <p>Change in SMEs' generation of wastewater [measured in gallons]</p> <p>Change in SMEs' GHG emissions [measured in tons of CO₂]</p>	<p>927,053 kWh decrease in yearly energy usage</p> <p>1,500+ decrease in yearly fuel usage</p> <p>9,348,504 gallon decrease in yearly water usage</p> <p>155 ton decrease in yearly solid waste production</p> <p>1,329,504 gallon decrease in yearly wastewater production</p> <p>15,000+ ton decrease in yearly greenhouse gas emissions</p> <p>These yearly values reported in 2014/2015, will undoubtedly keep rising, especially as additional SMEs adopt cleaner production practices.</p>	<p>2.3 ton materials savings</p> <p>167,747 kWh decrease in energy usage</p> <p>1,286,790 gallon decrease in water usage</p> <p>12.3 ton decrease in waste/pollution production</p> <p>1,093,770 gallon decrease in wastewater production</p> <p>214.80 ton decrease in GHG emissions (WEC)</p>
<p>Ratio between cost savings (per year) through the adoption of cleaner production practices and technologies and total investments realized by SMEs (after one, two and three years)</p>	<p>Up to 36% Profitability ratio between saving and investments (different projects have reported 16%, 17%, 33%, and 36% profitability ratios).</p> <p>Over US\$ 3 million in Savings were Generated since 2007.</p>	<p>Savings: \$103,190 (WEC) [note 3]</p>
<p>Number and % of SMEs that have adopted new technologies or practices to respond to environmental standards</p>	<p>770 + SMEs have adopted new technologies or practices to respond to environmental standards</p>	<p>Total: 11 (WEC) El Salvador: 8 Guatemala: 3</p>



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<p>Number of people trained in cleaner production and increased private sector's environmental performance</p>	<p>Over 100 professors across the region have been trained in cleaner production and EMS</p> <p>Over 364 students have participated in practicum courses focusing on cleaner production (WEC)</p> <p>11 Universities have committed themselves to including cleaner production and EMS modules in undergraduate, graduate, and free courses</p> <p>Individuals from over 770+ SMEs have also been trained in CP</p>	<p>Total: 143 (El Salvador: 29, Guatemala: 114) (WEC)</p> <p>Total males: 107 (El Salvador: 26, Guatemala: 81)</p> <p>Total females: 36 (El Salvador: 3, Guatemala: 33)</p> <p>4 students trained in CP practices and participating in internships</p> <p>16 CPC personnel trained on Integrated Watershed Management (IWM) in order for them to incorporate this topic in the trainings focused on the target groups defined in the project: university teachers, students and MSMEs personnel. CPCs then proceeded to train university students (173 in the four countries), and additional training workshops were held focused on university teachers (13 participants) (WWF).</p>
<p>Notes:</p> <ol style="list-style-type: none"> 1. Please see the previous CAFTA-DR Monitoring Reports for details on past results: http://www.caftadr-environment.org/monitoring/ 2. Due to the crosscutting nature of CAFTA-DR ECP, progress in law enforcement or regulations achieved by some implementing agencies are also reported under the institutional strengthening section. 3. Values were not provided on the amount spent 		

Analysis of Results and Impacts

Environmental and Economic Benefits

Impressive results were reported in the last evaluation report, as CAFTA-DR ECP supported over 770 companies in cleaner production (CP) technologies, resulting in over US\$ 3 million in savings since 2007. Environmental benefits included yearly savings of over 15,000 tons of greenhouse gas, 927,053 kWh/year of energy, 9,348,504 gallons/year of water, 155 tons/year of solid waste, and 1,329,504 gallons/year of wastewater. Moreover, over 100 professors and 360 students, as well as other stakeholders, especially SME representatives, have been trained in CP. Growing interest continues within universities and research centers to promote energy efficiency (EE) and CP methods. During this reporting period, continued environmental and economic benefits resulted from the use of CP and EE practices and technologies.

Since the last monitoring report, WEC has trained 11 SMEs in El Salvador (8) and Guatemala (3), often with the help of student interns (4 this period), to assist them in developing action plans to sustainably improve their manufacturing operations and environmental performance (see Case Study 5). Preliminary results are positive, with imple-



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mentations from the action plans positively benefiting companies' operations and performance. The World Wild Fund has also begun their project "Cleaner Production and Private Sector Partnerships" that aims to implement CP strategies, connected with Integrated Watershed Management (IWM), in six micro, small and medium-sized enterprises (MSMEs) in Honduras, El Salvador, and Guatemala (see Case Study 6).

Companies in El Salvador and Guatemala that have implemented WEC action plans, often recommended by students, have contributed to the following environmental benefits:

- 2.3 tonnes of materials savings
- 167,747 kWh decrease in energy usage
- 1,286,790 gallon decrease in water usage
- 12.3 ton decrease in waste/pollution production
- 1,093,770 gallon decrease in wastewater production
- 214.80 ton decrease in GHG emissions

Overall, participating companies have saved US\$103,190,⁶ through energy and water reductions, waste disposal, and raw material savings. Although the amount of investment in these changes has not been reported, most of the initial implementations are related to good practices and thus involved very low levels of investment.

Additionally, a total of 349 individuals have been trained since the last reporting period:

- 143 individuals in El Salvador (29) and Guatemala (114), through roundtables/conferences and in MSMEs (WEC)
- 4 students trained in CP practices and participated in internships (WEC)
- 16 CPC personnel trained on IWM in order for them to incorporate this topic in project trainings (WWF)
- CPCs then proceeded to train university students (173), and university teachers (13) (WWF)

Case Study 5: Pathways to Cleaner Production – WEC, CPCs, Universities and MSMEs

During this reporting period, the CP Centers of El Salvador and Guatemala have worked closely with WEC, participating as local partners in their respective countries. The participating universities, *Escuela Superior de Economía y Negocios* (ESEN) (El Salvador) and *University Rafael Landivar* (URL) (Guatemala), have been working actively in the project, supporting project activities within their campuses and executing student internships carried out at selected MSMEs facilities. The courses "Cleaner Production" and "Sustainable Development" were selected at URL and ESEN, respectively. MSMEs from several industry sectors in both countries have received students and supported the project staff to actualize the students' participation at their facilities. Action plans were developed in the current courses for 11 companies (3 in El Salvador and 8 in Guatemala) and follow-up was conducted with companies participating in the initial phase with prior courses (18 companies, 8 from El Salvador and 10 from Guatemala that received assistance before 2016).



⁶ Amount spent by the companies was not reported.



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Several of these new operations are already implementing action plans recommended by the students, based on feasibility and both financial and environmental potential for improvements. By the end of this reporting period, students and WEC/CP technicians began to prepare the final project activities to support MSMEs to implement more action plan activities where possible. Since many of the recommendations require a certain amount of financing, most of the initial implementations were related to good practices, and measures that require greater investment will be budgeted in the following year after initial results are achieved. During the final months of this project extension, WEC and its partners (including students) focused on assisting companies to prioritize the recommended action plan activities to ensure implementation. It must be highlighted that even though students are still in their academic learning process, most of companies have expressed value in their participation at their facilities. In addition, the students, as the future talent pool, offer companies the opportunity to provide insight into challenges and lessons and what should be included in the curricula being designed.

Roundtables have also been held to bring together academia and the private sector to strengthen the outcomes of the partnerships, build their interaction with each other, and learn how academia can support students to improve their skills and be better trained when initiating their professional life. Specifically, WEC held a sustainability roundtable in Guatemala in September 2016 where 45 representatives from academic, private sector and government, as well as 50 students, shared their experiences, thoughts and advice on how to improve relations and create more practical opportunities for students. Universities have highlighted the importance of the creation or expansion of relationships with the private sector. The ability to develop and conduct practical course work for students at companies has become increasingly important to the participating universities. Importantly, companies that have participated in the previous phase, before this project extension, continue to implement recommended action plans, thereby demonstrating the feasibility of using student input that results in economic savings and environmental benefits.

Over the course of recent activities, WEC is collecting information and developing materials to publicize this project experience to reach a wider audience in order to motivate the expansion of CP best practices. One article has been created and published in the magazine *America Economía* in its Central American distribution. Through this, WEC fosters the introduction of sustainable strategies within operations of Latin American companies, where the implementation of CP/EE best practices can play a differentiating role when firms need to become more efficient and competitive, as well as improve their environmental performance to access new markets. Cleaner production practices that increase energy and water savings and decrease pollution are gaining traction in Latin America as a way to “green” supply chains, save money, and increase competitiveness, while reducing consumption of natural resources and decreasing carbon emissions. Because cleaner production strategies for environmental protection are generally considered as an expense, it is expected that by raising awareness that this is not the case more SMEs will implement such strategies, and that it will expand to other areas of production.

Case Study 6: WWF undertaking Cleaner Production in Prioritized Watersheds

WWF is currently starting their project “Cleaner Production in Prioritized Watersheds of Central America’s Northern Triangle region and Panama*” in consortium with the National Cleaner Production Centers (NCPCs) of El Salvador, Guatemala, Honduras and Panama. Overall, the goal is to generate the enabling conditions for the adoption of Cleaner Production (CP) in micro, small and medium-sized enterprises (MSMEs), while enhancing training opportunities for students and demonstrating how MSMEs can engage in the integrated management of watersheds.





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WWF is working with the NCPCs, and will establish collaborative partnerships with universities and private sector partners, specifically MSMEs located in the selected watersheds of Acelhuate in El Salvador, Motagua in Guatemala, Chamelecón in Honduras. The project will build local capacities on CP and Energy Efficiency (EE) of university teachers and students, and MSME personnel; expand the adoption of CP and EE in MSMEs; and increase awareness of the benefits of CP and its role in integrated watershed management (IWM)

The four NCPCs have established contact and started discussion with at least two universities in each country regarding the signature of memorandums of understanding (MOUs). To date, four universities have signed MOUs: in El Salvador, *Universidad de El Salvador* (UES) and *Escuela Superior de Economía y Negocios* (ESEN); in Honduras, *Universidad Nacional Autónoma de Honduras* en el Valle de Sula (UNAH-VS); and in Guatemala, *Universidad Rural* (URURAL). Guatemala is expecting to sign two additional MOUs with *Universidad Rafael Landívar* (URL) and *Universidad de San Carlos de Guatemala* (USAC), which are under review. In order to ensure the sustainability of the project efforts, universities were the first key stakeholders approached. Since universities have the mandate to educate and train future professionals, the startup activities focused on engaging the universities to include Cleaner Production (CP), Energy Efficiency (EE), and Integrated Watershed Management (IWM) as additional topics in regular courses. The universities approached were those that had careers related to industrial and administrative processes, and that were different from those that had been considered or participated in previous CP projects.

First, WWF built capacity of NCPC personnel (16 participants) in Integrated watershed management (IWM), in order for them to incorporate this topic in the trainings focused on the target groups defined in the project: university teachers, students and MSMEs personnel. Subsequently, NCPCs then proceeded to train 173 university students (34 in El Salvador, 24 in Guatemala, 73 in Honduras), and 2 university teachers in Honduras. El Salvador and Guatemala will start these teacher trainings in May 2017.

In each country, NCPCs are reaching out to several MSMEs to define their interest to participate in the project and discuss the signature of an MOU. To date the following MOUs have been signed:

- In El Salvador two MOUs have been signed with Lacteos San José and NOVO APART Hotel and meetings are planned with: *Panadería San Antonio, Industrias La Palma, Industrias Lupita, Lacteos San Juan and Hotel Mediterráneo.*
- In Honduras, two MOUs have been signed with *RECIGROUP and Microenvases, S. de R.L* and has started the In-Plant Assessments with the participation of two university students, through internships. Meetings with four other MSMEs are planned.
- In Guatemala, the NCPC has reached out to the Chamber of Industry who has agreed to plan meetings with MSMEs.

The CAFTA-DR focal points and Ministries, as well as other relevant stakeholders have expressed their satisfaction that CP has been considered as a tool for IWM. Also, through the outreach/awareness activities of the project, the participation of the NCPC in El Salvador in the water roundtable: *Salvemos el Río Acelhuate* was achieved. In Guatemala, the decision has been made to establish a long-term joint initiative in relation to CP and has resulted in the startup of the joint organization of a National Cleaner Production Congress and a Cleaner Production post-graduate course.



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Photo 11
 Workshop with Students in UES,
 El Salvador



Photo 12
 Workshop with Students in
 UNICAH, Honduras



Photo 13
 Visit to RECIGROUP in Honduras



Photo 14
 Visit to MICROENVASES in Honduras

Other commitments supported by the CAFTA-DR Environmental Cooperation Program

Secretariat for Environmental Matters (SEM)

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 SEM operates as an independent entity within the Secretariat for Central American Economic Integration (SIE-CA) and under the sole direction and supervision of the EAC. While the SEM does not receive or act on instructions from any authority other than the EAC it is funded through the ECP. Additionally, SEM activities help promote compliance of environmental laws and public participation.



The tables presented below show the number of submissions by year and by country, respectively. Up to May 2017, thirty-eight (38) submissions have been filed. ⁷

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Year	Number of submissions
2007	1
2008	2
2009	1
2010	10
2011	8
2012	2
2013	5
2014	2
2015	3
2016	3
2017	1

Country	Number of submissions
Guatemala	16
El Salvador	5
Honduras	6
Dominican Republic	8
Costa Rica	2
Nicaragua	1
United States	0

Monitoring CAFTA-DR environmental cooperation

The Organization of American States through its Department of Sustainable Development (OAS-DSD) is assisting the ECC of the CAFTA-DR ⁸ in evaluating if and how the activities carried out by the countries in the region are contributing towards the achievement of the priorities established by the parties. For this purpose, the OAS-DSD has worked with stakeholders in developing an evaluation process based on key performance indicators. Starting in 2009, the OAS-DSD has prepared independent evaluation reports to provide a general overview of the CAFTA-DR Environmental Cooperation Program (ECP), including success stories, case studies, challenges and recommendations witnessed from the beginning of the implementation of the Program ⁹, with a view to improve future environmental cooperation programming.

⁷ See also <http://www.saa-sem.org/en>

⁸ Since the ECC has not yet been established, by default the OAS-DSD is assisting the CAFTA-DR signatory countries.

⁹ Cooperation efforts began in late 2005.



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III. LESSONS LEARNED

The OAS-DSD asked the implementing agencies to report on the main lessons they had drawn from their experience with their projects and programs. Based on these lessons, agencies were also asked to propose recommendations for future work. The OAS-DSD itself has several recommendations for improving the results of work within the ECP. Many lessons learned, challenges, and recommendations that are still valid have been issued in previous OAS-DSD's Monitoring Reports. It is important to take stock of what has been learned over the years and put these insights into action to continue to improve the effectiveness of future projects.

Best Practices

1. When planning training events and workshops, it is important to use local and regional technical experts to provide this training, in collaboration with relevant U.S. and international technical experts. These experts have relevant local and regional knowledge; may be easier for participants to relate to; and are usually more readily available to consult with after the event has ended.
2. Regional meetings of officials from CAFTA-DR countries provided an efficient venue to share best practices, discuss national and regional priorities, identify capacity gaps, and provide opportunities for government officials within the region to engage in joint collaboration, and enhance government-to-government cooperation.
3. Efforts from implementing agencies to provide technical assistance, deliver training and support regional meetings and workshops led to increased knowledge of environmental regulations and international resolutions, a more consensual approach to specific environmental issues, and improvements in environmental legislation and regulations in CAFTA DR countries.
4. Previous CITES activities have had participants from CITES enforcement agencies, however the project implemented by DOI-ITAP has greatly expanded the participation to a variety of other government agencies that are involved in the regulation, monitoring, and enforcement of wildlife issues, including but not limited to fisheries bureaus, CITES scientific and administrative authorities, marine enforcement agencies, and regional and international quasi-government bodies such as OSPESCA and the CITES Secretariat's Scientific Support Unit. Having institutions work together to achieve a common goal and establish collaborative relationships will add in the progress and sustainability of results.
5. Support to CITES implementation and enforcement led to consolidated wildlife enforcement operations and to the building of multidisciplinary inter-agency teams. Such collaborations have led to successful joint inspection and seizure operations. Countries are becoming increasingly able to organize these joint operations on their own.
6. In order to increase the degree of engagement in public participation, the program supported the production and dissemination of information in the media, including paper-based and on-line publications, videos and radio announcements. It also sponsored community meetings, workshops and specific training and capacity-building activities regarding the assessment and use of environmental information. Recently social media has started to be used, including the creation of groups and pages on Facebook. WCS is now even looking at the possibility of utilizing Instagram.
7. Outreach strategies and public awareness projects are very useful prior to developing concrete environmental interventions. These initiatives increase potential beneficiaries' awareness of issues and help open their minds to possibilities for changing their existing livelihood practices to ones that are better for the environment.
8. Previously, DOI-ITAP created and shared an informal calendar of activities with U.S. partners, other interested USG agencies, and select NGOs in order to enhance inter-agency communication and coordina-



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tion of similar activities and training as part of DOI-ITAP’s “whole of government” approach to capacity building and development. Organization between implementing agencies that are pursuing similar goals to co-support events can lead to cost-savings, which can mean expanding the number of participants at an event or conducting additional activities. Creating synergies among project implementers within a country may increase the overall impact of the assistance.

9. The Small Grants Program has proven successful in the engagement of local organizations, such as civil society organizations, academic institutions, and professional organizations in the public participation opportunities and mechanisms that the CAFTA-DR Environment Chapter and ECA provide. HSI was also very successful at engaging both local organizations and government.
10. Participants in the Small Grants Program have noted that committing to share survey results with the communities surveyed can help to build trust; while WCS found that sharing experiences generated interested in the program from communities surrounding the intervention area.
11. Public-private partnerships generate advantages in the process of transforming productive sectors or territories. Public-private sector collaboration generates a greater impact on the environmental performance and competitiveness of businesses; however, these are processes that take time and require great commitment on the part of both actors.
12. Prior to the ECP cleaner production interventions in regional MSMEs few of the participating companies had considered the environment as an important issue. Most of them had never received training on environmental issues, nor joined a pollution prevention project. Thus, the ECP was clearly able to influence the companies’ environmental strategies by introducing them to ideas about environmental problems and challenges that companies’ face and the link between environmental and economic performance of companies. The strongest incentives for MSMEs to green their production continue to be related to cost savings. MSMEs tend to continually improve their environmental performance if they see a return on technology investments.
13. Local capacities must be strengthened so that activities can be maintained once a project’s funding term ends. To transfer technical leadership and strengthen local technical capacities, staff from participating MSMEs were trained under the ECP.
14. The implementation of education in the cleaner production program has been a welcome addition to the ECP. Through the improvement of the academic development and curricula in sustainable development and cleaner production in participating universities, students are able to execute their practical training in local MSMEs from different sectors and recommend practices and technologies in cleaner production to improve the environmental performance and productivity of participating MSMEs. These practicums have led students to gain employment after graduating. Moreover, incorporating curricula in universities helps to ensure the sustainability of results.
15. Documenting participation at all events is essential to understanding how many and what type of people a project has reached. To this end, it is important to have participant sign-in sheets for workshops, pre- and post- evaluations, and documentary proof of public/private input into curricula.
16. Baseline and follow-up surveys are an excellent method to determine the change in perception, attitude and knowledge of beneficiaries who have been exposed to an outreach campaign. Recruiting volunteers to help with the survey implementation can help to reduce costs.
17. In some cases existing tools (e.g., SIRPAC) or tools developed through the program could be better used by the countries.
18. Roundtables provide an excellent venue to bring together stakeholders from various sectors. Specifically, they have been able to bring together academia and the private sector to strengthen their interaction



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with each other and teach how academia could support students to improve their skills and be better trained when initiating their professional life.

19. Developing materials to publicize project experiences and reach a wider audience can motivate the expansion of best practices.
20. By creating a single meeting, instead of separate meetings, for government representatives and scientific authorities, and by also including members of NGOs, the private sector, and universities, much more holistic and comprehensive results can be attained.
21. The importance of including government partners in the development of outreach campaigns proved to be significant in the replication of the campaigns in other areas, as government institutions were able to leverage resources to provide more visibility to the outreach campaign. Government entities participating in community liaison workshops also helped both the local partners and HSI disseminate the messages more efficiently and effectively in outreach campaigns, as well as strengthened the community commitment.
22. Partnerships with local groups help to increase the chance of having a long lasting effect on wildlife protection, or other initiatives, in the communities that participated in public outreach programs and activities.
23. More implementing agencies are developing outreach programs tailored to local needs and realities, which helps to strengthen the effectiveness and sustainability of all programs.
24. Facilitating and supporting bigger and more impactful opportunities that go beyond the expected results might take longer to define and consolidate, but they contribute significantly to the sustainability of the efforts of the project and to institutionalize tools and approaches.
25. The integration of community members within the technical team allowed for the incorporation of their local knowledge when designing survey routes and protocols.

Challenges and Observations

1. Meeting the objectives of the CAFTA DR ECP successfully requires many activities to be undertaken at the same time, presenting a challenge to implementers in general, and CAFTA DR countries. However, significant results can be achieved with limited resources by focusing on institutional strengthening and capacity building.
2. Several of the Small Grants Program projects have noted that it was a challenge to gain the willingness and openness of some communities to participate. Gaining the confidence of these groups takes hard work and an effort to show how participating will benefit the community.
3. Difficulties have arisen coordinating students' internships (depending on academic cycles of each university) with companies' timing, and trying to have enough time available to realize projects that need a longer time line. Emerging challenges to implementing the student recommendations in the participating MSMEs have appeared, because there is neither mandatory timeline nor enforceable mechanism for ensuring that MSMEs do, in fact, adopt some or all of the student recommendations. This challenge is compounded by the fact that many of the large-scale recommendations have initial investment costs that the MSMEs are responsible for covering independently, and often do not have the necessary capital to implement all of the recommendations. Training must be provided so that MSMEs gain the knowledge of the continued saving that can occur if these recommendations are implemented. Recently, it has been found that most of the initial implementations are related to good practices, and measures that would require investments are budgeted in to the following year(s) after initial results are achieved.



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4. It is important to note that the organizational structure can be very different in each university, both between and within countries, meaning that it takes time and resources to identify the best way to engage them and with whom to establish communication to be able to decide to sign MOUs.
5. One specific challenge in regards to CITES is the lack of information on how many species exist and reliable identification for some organisms. This was encountered during the implementation of the Rosewood identification workshops. At least nine new species have been identified recently in the region that had not been previously recorded. Without up-to-date information on how many species exist and their population levels, it can be difficult to develop comprehensive wood identification activities. In some cases collaborating with academia or scientific authorities may help to address this issue.



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IV. RECOMMENDATIONS

1. Continuity of assistance provided by implementing agencies was stressed. It is important to take advantage of the relationships already developed with the countries without interruption. For instance, EPA previously had been very valuable in assisting with drafting, implementing, and enforcing environmental laws and regulations.
2. It is important that the regional cooperation is complemented by bilateral cooperation in order to create a greater impact on the cooperation or amplify the scope of action.
3. As the ECP is focusing on those programs that have achieved greater success and are replicable, it should also allow for discussion on emerging environmental priorities in the region.
4. Implementing agencies should have contingency plans and flexibility to adjust changes and political priorities. They should make work plans jointly with the ministries to identify the needs and priorities. Greater importance should be given to jointly plan the cooperation not only with POCs but also with experts, and to take into account all possible variables, better managing national risks, timing, and realities.
5. One recommendation is to include botanical and field identification activities into the curriculum for future wood identification workshops. This has been suggested in all workshops, and would provide an opportunity to train land managers in particular in the identification of *Dalbergia* spp. in the field.
6. Follow-up activities are crucial if MSMEs are to realize long-term benefits and generate sustainable sector-wide changes. Recommendations include impact assessments as a means of providing key information and creating meaningful incentives to engage MSMEs in long-term investments. These projects are more effective when the long-term benefits are understood from the outset, and when permanent government mechanisms and incentives are in place to encourage replication of best practices. It is also important to design projects with enough time to teach, provide assistance and to provide follow-up support to MSMEs. This last step is crucial if the project is to sustainably alter MSMEs' operations. The design phase of the project should entail close collaboration with local partners. Throughout the life of the project, there should be an ongoing focus on transferring leadership to these local partners so that results can be sustained after the project ends.
7. Efforts can be made to have future wildlife education programs that focus on critical species in Central America as a way to increase the impact of outreach campaigns.
8. Monitoring activities would benefit from implementers providing a short narrative description of indicator results, especially when the indicator is reported as a numerical value. Other important successes that are not directly related to indicators should be documented in the section on "Success Stories".
9. Developing synergies with ongoing projects and initiatives of other partners in the region is critical.
10. Activities in new ECP priorities should be based on lessons and results.



ANNEX 1 Registry of Citizen Submission Secretariat for Environmental Matters CAFTA-DR

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Year	Submission Code	Party	Date Filed	Current Status	Most Recent Activity	Summary
2007	CAALA/07/001 TOR-TUGAS MARINAS RD	Dominican Re-public	May 9, 2007	Factual Record Published	May 16, 2011	Related to the Sea Turtles Case, the Secretariat published factual record on January 2011.
2008	CAALA/08/001 EX-TRACCIÓN DE ARENA EN LAS CANAS RD YELLEN	Dominican Re-public	November 17, 2008	Archive	March 6, 2009	<p>The Petitioners (Kristi and Mark Herritz) claim that the government of the Dominican Republic has failed to comply with certain environmental legislation by allowing the extraction of sand from the beaches in Las Canas.</p> <p>The Secretariat sent a notice to the Environmental Affairs Council that the Submitters, Kristi and Mark Herritz, decided to withdraw their Submission in light of the quick response by the Government of the Dominican Republic.</p>
2008	CAALA/08/002 EX-TRACCIÓN DE ARENA EN LAS CANAS RD YELLEN	Dominican Re-public	December 2, 2008	Archive	March 6, 2009	<p>The Petitioner (Mark Yellen) claims that the government of the Dominican Republic has failed to comply with certain environmental legislation by allowing the extraction of sand from the beaches in Las Canas.</p> <p>The Secretariat sent a notice to the Environmental Affairs Council that the Submitter, Mark H. Yellen, decided to withdraw his Submission in light of the quick response by the Government of the Dominican Republic.</p>
2009	CAALA/09/001 URBANIZACIÓN EL ESPIÑO ES	El Salvador	April 24, 2009	Review suspended	February 26, 2010	<p>The Petitioner (Victor Hugo Mata Tobar) claims that the government of El Salvador has failed to comply with certain domestic environmental legislation in relation to the urbanization and distribution of land in the area known as El Espiño (San Salvador), which has brought negative environmental consequences for the area.</p> <p>The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission.</p>



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2010	CAALA/10/001 RESI-DENCIAL VILLA VERAN-DA ES	El Salvador	January 14, 2010	Factual Record Published	August 13, 2012	<p>The Submitter claims that the Government of El Salvador failed to enforce certain domestic environmental legislation when it authorized the Villa Veranda Housing Project to be developed in Northwest Santa Tecla, La Libertad.</p> <p>The Secretariat works on the preparation of a Factual Record.</p>
2010	CAALA/10/002 IN-CUMPLIMIENTO DE LA LEY DE CAZA GALAS GT	Guatemala	February 3, 2010	Review suspended	April 27, 2010	<p>The Petitioner (Guatemalan Center for Legal, Environmental and Social Action (CALAS)) claims that the Republic of Guatemala has failed to enforce the so called General Hunting Law (Decree 36-04) by not prosecuting those that have committed crimes covered by the law.</p> <p>The Secretariat has determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission.</p>
2010	CAALA/10/003 LOS COBANOS FUNDARRE-CIFE ES	El Salvador	February 4, 2010	Suspended	October 11, 2010	<p>The petitioner states that the area referred to as Los Cóbános Reef, which has been declared the Los Cóbános Protected Natural Area Complex, is the only reef in the Pacific between Panama and Mexico and that it is an important part of El Salvador's natural heritage. In this light, the petitioner denounced that, beginning in 1996, it has demanded that the Ministry of the Environment, "[...] enforce the Law on the Environment in regards to two tourism companies that have caused serious damage to the ecosystem and that jeopardized the entire reef system and existing biodiversity in the area. This is especially true in the case of the Decamerón Hotel, which has constructed a breakwater in the ocean with the goal of changing currents and taking possession of area sand [...]"</p> <p>The Secretariat has determined not to request a response from the Republic of El Salvador.</p>



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2010	CAALA/10/004 LACHÚA GT	Guatemala	February 15, 2010	Suspended	May 17, 2010	<p>The petitioner claims that the Government of Guatemala has failed “to effectively enforce national environmental legislation, specifically articles 46, 64, 97 and 128 of the political constitution of the republic of Guatemala, Decree 4-89 – Protected Areas Law and Regulations, Decree 68-86 law to protect and improve the environment, Decree 5-95 that ratified the convention on biological diversity, and Decree 4-88 that ratified the convention on wetlands of international importance, especially as waterfowl habitat (RAMSAR). All of the above is related to the construction of the Transversal Corridor of the North roadway project, specifically the Rubel-salto-Playa Grande section of the road, which crosses the border of the Laguna Lachuá National Park.”</p> <p>The Secretariat has determined not to recommend the preparation of a factual record</p>
2010	CAALA/10/005 ATITLÁN GT	Guatemala	February 15, 2010	Suspended	May 19, 2010	<p>The Petitioner (Guatemalan Center for Legal, Environmental and Social Action (CALAS)) claims that the Government of Guatemala has failed to comply with different laws governing the protection and management of Lake Atitlán located in the Department of Sololá, and as a result the lake is on the verge of environmental collapse.</p> <p>The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspended review of the Submission</p>
2010	CAALA/10/006 LAGU-NA DEL TIGRE FONPE-TROL GT	Guatemala	March 8, 2010	Suspended	June 27, 2012	<p>The petitioner claims that the State of Guatemala is not enforcing, among other regulations:, Congressional Decree number 4-89, the Protected Areas Law (specifically articles 19 and 20); Congressional Decree 5-90 and its reforms declaring the “Maya Reserve” in the department of El Petén a protected area and the corresponding master plans; Decree 71-2008, the National Economic Development Fund Law; and the Ramsar Convention on Wetlands (Ramsar, Iran, 1971).</p>



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						<p>According to the petitioner, the “[...] modification, expansion and extension of oil exploitation contract 2-85, signed by the Ministry of Energy and Mines and PERENCO GUATEMALA LIMITED,” will represent State non-compliance with these regulations.</p> <p>The Secretariat is working on the preparation of a Factual Record according to the work plan submitted to the Environmental Affairs Council.</p>
2010	CAALA/10/007 OMOA HN	Honduras	March 8, 2010	Suspended	March 15, 2011	<p>The Petitioner (FUNDAMBIENTE) claims that there have been a series of irregularities and non-compliance with the national legislation of the Republic of Honduras related to the installation and expanded operation of the Gas del Caribe Company in the site known as La Puntilla, Municipality of Omoa.</p> <p>The Secretariat, after analyzing both the Submission and the response from Honduras, recommended the preparation of a factual record to the Environmental Affairs Council</p>
2010	CAALA/10/008 HOSPITAL NACIONAL DE MIX-CO-MONTE REAL GT	Guatemala	July 27, 2010	Review suspended	July 27, 2010	<p>The Submitter (Monte Real Community Development Council) claims that the State of Guatemala has not effectively enforced its environmental legislation in regard to the construction of a hospital in the Monte Real Neighborhood, located in Zone 4 of Mixco in the Department of Guatemala.</p> <p>The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission. (The Submitter had 30 days to file an expanded Submission).</p>
2010	CAALA/10/009 JARDINES DE TICKAL II GT	Guatemala	September 3, 2010	Review Suspended	September 3, 2010	<p>The Submitter (Amilcar Lobos Yong) claims that local car repair shops, auto body workshops, car importers, parking lots, informal used car lots, and dog breeders pollute the environment and affect the life of the neighbors in “Jardines de Tikal II,” Guatemala, City.</p> <p>The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspended review of the Submission</p>



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2010	CAALA/10/010 CON-TAMINACIÓN AUDITI-VA- ANTIGUA GUATE- MALA GT	Guatemala	October 1, 2010	Suspended by submitter	January 23, 2011	<p>The Petitioner (<i>Hotel Casa Florencia and 7th Avenue Neighbors Committee of Antigua Guatemala</i>) argues that the State of Guatemala is not enforcing certain national environmental legislation in regard to noise pollution in the city of Antigua, Guatemala, located in the department of Sacatepéquez. Specifically, the Petitioner argues that Antigua, Guatemala is a World Heritage Site and that the noise pollution caused by regular city activity and, specifically, the El Esfuerzo Sports and Social Club, affects public health and interferes with the daily activities of the city.</p> <p>The submitter requested to the Secretariat the temporary suspension of their submission.</p>
2011	CAALA/11/001 SEA TURTLES CR	Costa Rica	January 10, 2011	Review suspended	March 6, 2011	<p>The Submitter (Association Sea Turtle Restoration Program – PRETOMA) claims that there have been anomalies in the use of turtle excluder devices (TEDs) by several shrimp trawlers in violation of domestic regulations designed to protect sea turtles in Costa Rica. In addition, the Submitter denounces irregularities in processes related to the issuance of fishing licenses that regulate what activities said boats may pursue.</p> <p>The Secretariat determines that the Revised Submission was presented after the 30-day time limit had already passed and concludes review of the case</p>
2011	CAALA/11/002 NATIO-NAL MIXCO HOSPITAL II GT	Guatemala	April 4, 2011	Review Suspended	April 4, 2011	<p>The Submitter (The Community Development Council for the Monte Real Neighborhood) claims that the State of Guatemala has not effectively enforced its environmental legislation in regard to the construction of a hospital in the Monte Real Neighborhood, located in Zone 4 of Mixco in the Department of Guatemala.</p> <p>The Secretariat determines that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission</p>



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2011	CAALA/11/003 DEFO-RESTATION LOS AMATES GT	Guatemala	May 4, 2011	Review Suspended	May 4, 2011	<p>The Submitter denounces the deforestation of the upper part of the basins where the Caguatalla, Frio, Corral de Piedra and El Jute rivers are born and whose water, supplies the water distribution and bypass tank system used by the communities surrounding the Pontezuelas Farm located in the Los Amates Municipality in the department of Izabal.</p> <p>The Secretariat has determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends</p>
2011	CAALA/11/004 WEST BAY ROATAN HN	Honduras	May 16, 2011	Factual record published	April 10, 2013	<p>The Submitter claims that, during the construction and expansion of a hotel complex on the West Bay coast of the Island of Roatán in Honduras, no prior environmental impact study was prepared, a series of irregularities were committed and national Honduran legislation was not enforced.</p> <p>The Secretariat for Environmental Matters has notified the Environmental Affairs Council of a time extension for issuing determinations.</p>
2011	CAALA/11/005 SEA TURTLES-TED II-CR	Costa Rica	August 27, 2011	Suspended	June 6, 2012	<p>The Submitter claims that there have been anomalies in the use of turtle excluder devices (TEDs) by several shrimp trawlers in violation of domestic regulations designed to protect sea turtles in Costa Rica. In addition, the Submitter denounces irregularities in processes related to the issuance of fishing licenses that regulate what activities said boats may pursue.</p> <p>The Secretariat for Environmental Matters has notified the Environmental Affairs Council of a time extension for issuing determinations</p>



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2011	CAALA/11/006 OMOA II – HN	Honduras	September 28, 2011	Suspended	February 7, 2012	<p>The Submitter (FUNDAMBI-ENTE) claims that the State of Honduras, either through action or omission, has not enforced, among other regulations, the General Law on the Environment, Decree 01-93 (specifically articles 1, 5, 7, 35, 41, 48, 52, 53, 54, 58, 59, 62, 66, 68, 70, 72, 74, 78, 79 and 80) as well as articles 65, 68 and 145 of the Constitution of the Republic of Honduras. This claim is regarding the “[...]installation and expanded operation of the Gas del Caribe company in the site known as La Puntilla located in the northern part of the urban center of the Omoa municipality [...]”</p> <p>The Secretariat is currently analyzing the Submission to determinate whether it fulfills requirements of Article 17.7.2 of the CAFTA-DR.</p>
2011	CAALA/11/007 AGUA CALIENTE RIVER ES	El Salvador	November 14, 2011	Suspended	January 30, 2012	<p>The Submitter (Environmental Management Committee of Ciudad Arce) claims that a local company is not complying with regulations governing the treatment of solid waste and residual waters that are being discharged into the Agua Caliente River and that the authorities have been notified of this situation but have done nothing about it.</p> <p>The Secretariat determines that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission</p>
2011	CAALA/11/008 MAYA BIOSPHERE GT	Guatemala	November 14, 2011	Suspended	May 1, 2012	<p>The Submitter claims that the State of Guatemala is not effectively enforcing certain domestic environmental legislation related to Administrative Case File Number 19-2-2009, Area PTN-1-2008, created by the Ministry of Energy and Mines in regards to the invitation for hydrocarbon exploration and exploitation within the perimeter of the Maya Biosphere Reserve and adjacent areas.</p> <p>The Secretariat determines that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission</p>



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2012	CAALA/12/001 "OMOA III-HN"	Honduras	July 27, 2012	Suspended	September 11, 2012	The Submitter (FUNDAMBIENTE) claims that there have been a series of irregularities and non-observance of internal Honduran legislation in regard to the installation and expanded operations of the Gas del Caribe Company in the area known as La Puntilla, located in the northern part of the main city in the municipality of Omoa.
2012	CAALA/12/002 NOISE POLLUTION II – ANTI-GUA GT	Guatemala	October 2012	Suspended	June 12, 2012	The Submitter (casa Florencia Hotel) argues that the State of Guatemala is not enforcing certain national environmental legislation in regard to noise pollution in the city of Antigua Guatemala, located in the department of Sacatepéquez. Specifically, the Submitter argues that Antigua Guatemala is a World Heritage Site and that the noise pollution caused by regular city activity and, specifically, the El Esfuerzo Sports and Social Club affects public health and interferes with the daily activities of city residents
2013	CAALA/13/001 LAKE MASAYA NI	Nicaragua	February 28, 2013	Suspended	April 2, 2014	The Submitter (Democratic Federation of Public Service Workers) claims that the State of Nicaragua has failed, either through action or omission, to comply with the Political Constitution of the Republic of Nicaragua, specifically articles 23, 24, 25, 27, 26, 46, 47, 48, 52, 55 and 130 as well as Article 641 of the General Law on the Environment and Natural Resources, the Penal Code of Nicaragua, the Law on the Public Prosecutor's Office and the Penal Procedures Code, as the result of environmental deterioration caused by polluting Lake Masaya in the department of Masaya in the Republic of Nicaragua.
2013	CAALA/13/002 HAZAR-DOUS WASTE DR	Dominican Republic	May 23, 2013	Suspended	July 8, 2013	The Submitter (Green Eco Recycling Industrial S.A.) points out the lack of effective application of the environmental legislation regulating the treatment of hazardous wastes and their disposal in the Dominican Republic.



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2013	CAALA/13/003 EMI-SIONES CONTAMINAN-TES LOS ALCARRIZOS RD	Dominican Republic	June 19, 2013	Active	July 10, 2013	The Submitter (Board of Neighbors Amor y Fe) claims that there is non-compliance with environmental legislation due to the alleged irregular operations of a biodiesel plant in the Los Alcarrizos area. The Submitter claims that the air and water has been polluted as the result of this situation as oils are being dumped into the soil in the area.
2013	CAALA/13/004 CUYA-MEL II HN	Honduras	August 23, 2013	Active. Preparation of a factual record according to the United States vote.	May 21, 2017	The Submitter (Environmental Law Institute) claims that the Republic of Honduras is failing to effectively enforce environmental legislation concerning the legality of the authorizations for constructing a hydroelectric project located in the Cuyamel River micro basin.
2013	CAALA/13/005 HAZAR-DOUS WASTE DR	Dominican Republic	October 23, 2013	Suspended	November 20, 2014	The Submitter (Green Eco Recycling Industrial S.A.) points out the lack of effective application of the environmental legislation regulating the treatment of hazardous wastes and their disposal in the Dominican Republic.
2014	CAALA/14/001 Dixon Cove Bay – HN	Honduras	September 10, 2014	Pending determination 17.8.1 whether the Secretariat recommends the preparation of a factual record.	February 13, 2017	The Submitter (Environmental Law Institute) claims that the Republic of Honduras is failing to effectively enforce environmental legislation regarding the legality of the authorizations for constructing a cruise terminal port in the island of Roatán, Honduras.
2014	CAALA/14/002	Guatemala	October 14, 2014	Suspended	November 6, 2014	The Submitters (Group of neighbors of Colonia Centroamerica) claim that the Republic of Guatemala is not effectively enforcing environmental legislation regarding the operations of a restaurant in the neighborhood.
2015	CAALA/15/001 Landfill ES	El Salvador	February 6, 2015	Suspended	May 31, 2017	The Submitter (Las Chinamas Limpia y Saludable Association – ACHINAMAS) claims that the Republic of El Salvador is not effectively enforcing environmental legislation regarding the construction of a landfill in a community located in the Chinamas village in the department of Ahuachapan in El Salvador.



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2015	CAALA/15/002	Guatemala	April 6, 2015	Suspended	June 1, 2015	The Submitters (Group of lawyers of Puerto Barrios, Izabal) claim that the Republic of Guatemala is not effectively enforcing environmental legislation regarding the operation of a slaughterhouse located in Puerto Barrios Izabal.
2015	CAALA/15/003 Sierra de Bahoruco	Dominican Republic	November 9, 2015	Pending Party response	May 18, 2016	The Submitter (SOS Ambiente RD) claims that the Dominican Republic is not effectively enforcing environmental laws 64-00 and 202-04 as well as other legislation concerning the widespread and accelerated deforestation of the Sierra de Bahoruco National Park.
2016	CAALA/16/001 Oakland GT	Guatemala	May 18, 2016	Suspended	October 10, 2016	The Submitter (Association of Oakland neighbors) claims that the Republic of Guatemala is not effectively enforcing environmental legislation regarding the construction of two apartment towers in Guatemala City.
2016	CAALA/16/002 Protección Animal	Dominican Republic	August 5, 2016	Pending vote by the Council to determine whether or not to prepare the factual record	May 25, 2017	The Submitter (Dominican Society for the Prevention of Cruelty to Animals) asserts that the Dominican Republic has failed to effectively enforce its environmental legislation derived from the alleged situation of the animals housed in the Moca Zoo, Espailat province.
2016	CAALA/16/003 San Ángel	Guatemala	August 10, 2016	Pending response from the Party.	March 21, 2017	The Submitters (Associations of several neighbors) assert that the Republic of Guatemala has failed in the effective application of its environmental legislation derived from the alleged approval of projects that have created an alleged deforestation of the sector's forests and elimination of fauna without consulting or listening to the neighbors.
2017	CAALA/17/001 Contaminación Río Motagua	Guatemala	April 4, 2017	Suspended	May 23, 2017	The Submitter (Neighborhood Association of Cabo Tres Puntas) asserts that the Republic of Guatemala has failed to effectively enforce its environmental legislation derived from the alleged contamination of marine waters, reefs and beaches as a result of large quantities of plastic and other solid waste that the Motagua river throws to the Caribbean Sea.

