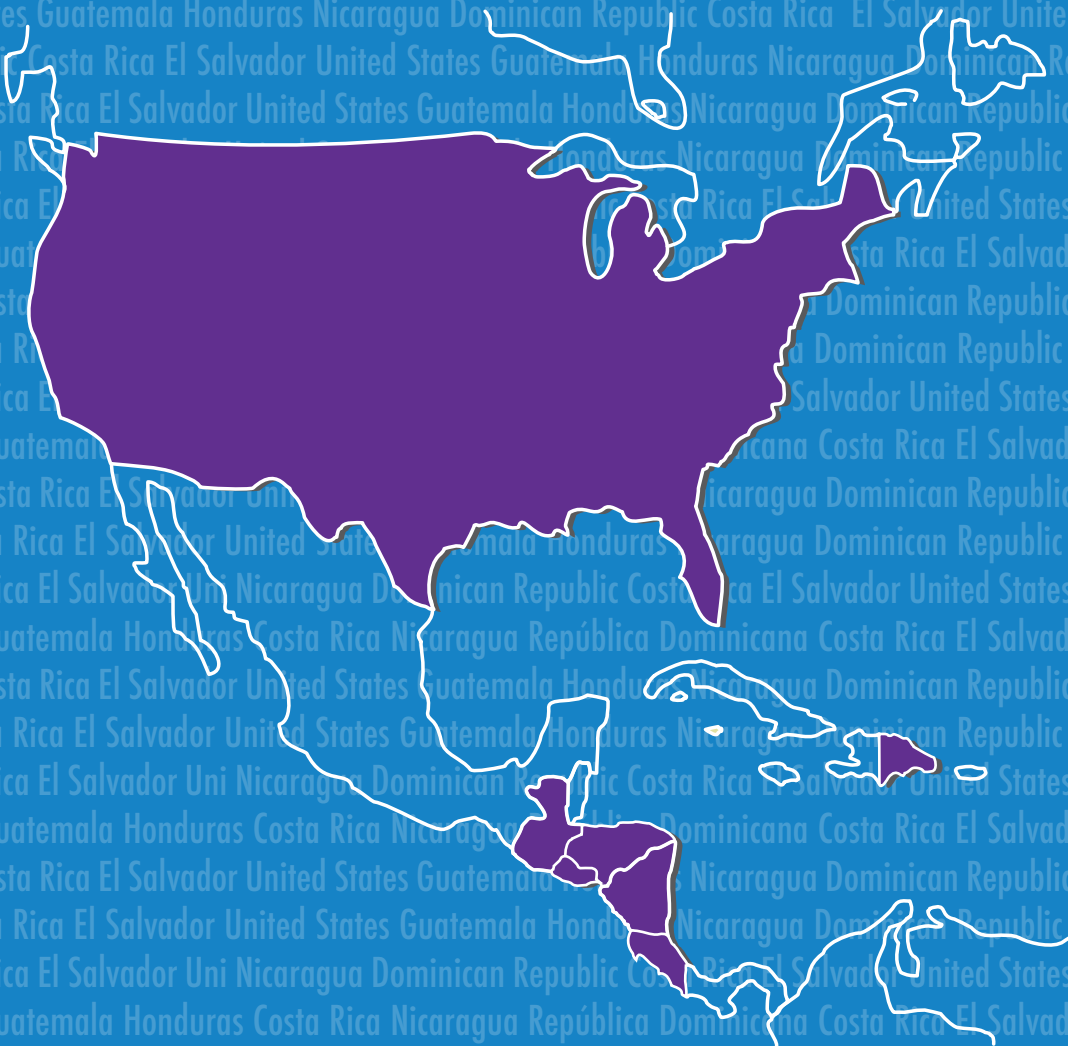




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# Monitoring Progress of the Environmental Cooperation Agenda in the CAFTA DR Countries

FIFTH EVALUATION REPORT







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# **Monitoring Progress of the Environmental Cooperation Agenda in the CAFTA DR Countries**

**FIFTH EVALUATION REPORT**

**November 2015**



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## LIST OF ACRONYMS AND ABBREVIATIONS

<b>COSTA RICA</b>	<b>ADA2</b>	Alianza de Derecho Ambiental y Agua
<b>EL SALVADOR</b>	<b>ADPG</b>	Asociación para el Desarrollo de Pedro García, Inc.
<b>UNITED STATES</b>	<b>ACOTPRO</b>	Asociación Conservacionista para la Protección de la Tortuga Marina del Progreso Asociation for the Conservation of Sea Turtles of El Progreso
<b>GUATEMALA</b>	<b>ANAVIH</b>	Federation of the Poultry Sector of Honduras
<b>HONDURAS</b>	<b>AHPRA</b>	Asociación Hondureña Protectora de los Animales y su Ambiente
<b>NICARAGUA</b>	<b>ARCAS</b>	Association for the Rescue and Conservation of Wildlife – Guatemala (Asociación de Rescate y Conservación de Vida Silvestre)
<b>DOMINICAN REPUBLIC</b>	<b>CAFTA-DR</b>	Central America-Dominican Republic-United States Free Trade Agreement
	<b>CAWEN</b>	Central American Wildlife Enforcement Network (Red de Observancia y Aplicación de la Normativa de Vida Silvestre de Centroamérica y República Dominicana)
	<b>CCAD</b>	Central American Commission on Environment and Development (Comisión Centroamericana de Ambiente y Desarrollo)
	<b>CEDARENA</b>	Centro de Derecho Ambiental y de los Recursos Naturales
	<b>CEMA</b>	Centro de Estudios de Mar y Acuicultura
	<b>CEPRODE</b>	Centro de Protección para Desastres
	<b>CER</b>	Centro de Ecoeficiencia y Responsabilidad Social
	<b>CITES</b>	Convention on International Trade in Endangered Species of Wild Fauna and Flora
	<b>CNP</b>	Chiquibul National Park
	<b>CO2</b>	Carbon dioxide
	<b>CoP</b>	Conference of the Parties
	<b>CONAP</b>	National Council of Protected Areas of Guatemala
	<b>CP</b>	Cleaner production
	<b>CPC</b>	Cleaner production center
	<b>CSOs</b>	Civil Society Organizations
	<b>DIPESCA</b>	Dirección General de Pesca y Acuicultura.
	<b>DOI</b>	U.S. Department of the Interior
	<b>DOJ</b>	U.S. Department of Justice
	<b>DOS/OES</b>	U.S. Department of State – Bureau of Oceans and International Environmental Scientific Affairs
	<b>ECA</b>	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
	<b>ECC</b>	Environmental Cooperation Commission
	<b>ECP</b>	Environmental Cooperation Program
	<b>EE</b>	Energy Efficiency
	<b>EIA</b>	Environmental Impact Assessment
	<b>ELE</b>	USAID’s Environmental and Labor Excellence Program for CAFTA-DR
	<b>EMS</b>	Environmental Management System

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<b>ENCC</b>	National Climate Change Strategy (Estrategia Nacional de Cambio Climático)
<b>ENRD</b>	Environmental and Natural Resources Division
<b>EPA</b>	U.S. Environmental Protection Agency
<b>FAO</b>	UN Food and Agricultural Organization
<b>FCD</b>	Friends for Conservation and Development (Belize)
<b>FTA</b>	Free Trade Agreement
<b>FPX</b>	Federation of Agroexporters of Honduras
<b>FUNDEMAR</b>	Fundación Dominicana de Estudios Marinos, Inc.
<b>FWS</b>	U.S. Fish and Wildlife Service
<b>FY</b>	Fiscal Year
<b>GHG</b>	Greenhouse Gas
<b>ha</b>	Hectare
<b>HED</b>	Higher Education for Development
<b>HSI</b>	Humane Society International
<b>IFAM</b>	Institute of Municipal Development and Assistance
<b>ICF</b>	National Institute of Forest Conservation and Development – Honduras (Instituto Nacional de Conservación y Desarrollo Forestal)
<b>IIT</b>	Illinois Institute of Technology
<b>INPESCA</b>	Institute Nicaraguense de Pesca y Acuicultura
<b>ITA</b>	Inter-agency Travel Agreement
<b>ITAP</b>	International Technical Assistance Program (DOI)
<b>MAMUCA</b>	Mancomunidad de Municipios del Centro de Atlántida (Association of Municipalities of the Atlantida Department)
<b>MARENA</b>	Ministry of Environment and Natural Resources of Nicaragua (Ministerio del Ambiente y los Recursos Naturales)
<b>MARN</b>	Ministry of Environment and Natural Resources of Guatemala (Ministerio de Ambiente y Recursos Naturales)
<b>MARN</b>	Ministry of Environment and Natural Resources of El Salvador (Ministerio de Ambiente y Recursos Naturales)
<b>MBR</b>	Maya Biosphere Reserve
<b>MEA</b>	Multilateral Environmental Agreement
<b>MEM</b>	Ministry of Energy and Mines of Guatemala (Ministerio de Energía y Minas)
<b>MINAE</b>	Ministry of Environment, Energy and Seas of Costa Rica (Ministerio del Ambiente, Energía y Mares)
<b>MMCBR</b>	Maya Mountains Chiquibul Biosphere Reserve
<b>MOUs</b>	Memorandum of Understandings
<b>MSME</b>	Micro, Small and medium enterprise
<b>NDF</b>	Non-detrimental finding
<b>NGO</b>	Non-governmental organization
<b>NYIT</b>	New York Institute of Technology
<b>OAS</b>	Organization of American States



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<b>OAS-DSD</b>	Organization of American States – Department of Sustainable Development
<b>OSPESCA</b>	Organization of the Fishing and Aquaculture Sectors of the Central American Isthmus
<b>POC</b>	Point of Contact
<b>RA</b>	Rainforest Alliance
<b>SERNA</b>	Secretariat of Natural Resources and Environment - Honduras
<b>SF6</b>	Sulfur hexafluoride
<b>SINAC</b>	National System of Conservation Areas – Costa Rica (Sistema Nacional de Áreas de Conservación)
<b>SICA</b>	Central American Integration System
<b>SID</b>	Sustainable industrial development
<b>SME</b>	Small and medium enterprise
<b>SOH</b>	Sociedad Ornitológica de la Hispaniola
<b>TEC</b>	Instituto Tecnológico de Costa Rica
<b>TRAFFIC</b>	Wildlife Trade Monitoring Network
<b>UC</b>	University of California
<b>UCA</b>	Universidad Centroamericana Jose Simeon Cañas
<b>UNEP</b>	United Nations Environment Programme
<b>URL</b>	Universidad Rafael Landivar - Guatemala
<b>U.S.</b>	United States (of America)
<b>USG</b>	United States Government
<b>USAID</b>	United States Agency for International Development
<b>US\$</b>	U.S. dollar
<b>USFS</b>	United States Forest Service
<b>USIL</b>	Universidad San Ignacio de Loyola
<b>WCMC</b>	World Conservation Monitoring Centre
<b>WCS</b>	Wildlife Conservation Society
<b>WEC</b>	World Environment Center





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## EXECUTIVE SUMMARY

### Background and Overview

Since 2005, the United States has invested approximately US\$ 89 million to fund the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR) environmental cooperation. This funding is helping CAFTA-DR countries advance in the following four programmatic areas: (A) Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws; (B) Biodiversity and Conservation; (C) Market-based Conservation; and (D) Improved Private Sector Performance.

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

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, with a view to improve future environmental cooperation programming.

This Fifth Evaluation 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 CAFTA-DR 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. 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 focusing on wildlife conservation; support to CITES authorities; creating synergies among the public and private sector; working with SMEs to promote the use of cleaner production practices and technologies to improve environmental performance and productivity; and teaching students the importance of energy efficient and cleaner production practices.

This fifth report focuses primarily on results achieved from the period comprised between March 2014 and September 2015, by means of an impact or high-level results assessment, emphasizing sustainable changes emerging from 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 narrative reports submitted by implementing agencies, and complemented with field visits and interviews conducted to CAFTA-DR ECP stakeholders. The OAS-DSD has also developed a simple tool to capture high-level results in each theme within the ECP, using a new set of impact-level indicators from the current CAFTA-DR ECP monitoring framework.

### Results and Impact

#### *Theme A: Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws*

Under this Theme, the purpose is to strengthen environmental institutions, laws and policies, to promote effective implementation and enforcement of these laws and policies, and to promote best practices leading to sustainable management of the environment. In addition, the intention is to promote the effective implementation of Multilateral Environmental Agreements (MEAs), build capacity to promote public participation in the environmental decision-making process, and to promote effective civil society engagement to ensure compliance



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with Free Trade Agreement's (FTA) obligations.

Previously, implementing agencies have worked with CAFTA-DR countries to improved 150 existing laws and adopt 28 new laws and regulations related to wastewater, air pollution, and solid waste. Work during this period continued to support institutions and officials responsible for the enforcement and compliance of environmental legislation. 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.

*Theme B: Biodiversity and Conservation*

The purpose of Theme B is to protect wildlife and its habitat for long-term economic and environmental development. Initiatives related to this theme seek to combat illegal trade in endangered species, conserve and manage shared, migratory and endangered species, and promote the 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 the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), training CITES implementation officials, building wildlife enforcement capacity and networks, supporting new or existing animal rescue centers, and preventing illegal logging.

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, implementation and enforcement; developing accessible, replicable training material; supporting the development of procedures and systems that increase the performance and effectiveness of CITES implementation; 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 their habitat, as well as preventing illegal timber and wildlife trafficking.

*Theme C: Market-based Conservation*

The goal of Theme C is to implement a market-based conservation system, by developing and promoting incentives and other flexible and voluntary mechanisms in order to encourage environmental protection. Initiatives related to this Theme focus on sustainable tourism, sustainable agriculture and sustainable harvesting of forest products, as a means to support economic growth, sustainable natural resource management and environmental protection through ecological certification. Previous projects linked to Theme C 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. During this reporting period no implementing agency specifically focused on Theme C; hence results were somewhat indirect, specifically the establishment of school and home gardens and the strengthening of three cooperatives to support fish cultivating farms and shellfish harvesting.

*Theme D: Improved Private Sector Performance.*

The improvement of the private sector's environmental performance is to be achieved through cleaner production strategies, environmental management systems (EMSs), voluntary mechanisms, public-private associations,



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and by building stronger institutional and human resource capacity. 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 related to Theme D 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. Also, participating universities have begun to provide courses on energy efficiency and clean production strategies, as well as promote internships. Overall, expanding results from the CAFTA-DR ECP implementation have begun to reveal positive environmental impacts jointly with positive economic results for participating enterprises.

## Challenges and Recommendations

1. Coordinating availability of government officials across a variety of agencies/ministries and countries is often a challenge, and becomes more so during general national elections and the ensuing changes in governments and personnel that happen.
2. Proper planning and coordination of the project activities is crucial for the project success when several implementers are involved in a project.
3. In some cases the process of identifying partner organizations has taken more time than originally intended, due to specific situations in each of the countries. Working with new partners requires some work to build a relationship before the beginning of activities.
4. Post- election government changes slowed down implementation, implementers had to renew contacts and familiarize new government representatives with the program.
5. Partnering with organizations in some countries was especially difficult, given the limited choices of NGOs working with the government on specific subjects (i.e. wildlife rehabilitation).
6. The political situation in some of the countries also hindered meeting some objectives throughout the different funding cycles.
7. The grants application procedures are challenging for foreign NGOs to navigate. Several of the focal points recommended offering in-country workshops on how to apply for U.S. government grants or providing extra support to explain the process through direct outreach.
8. CAFTA-DR stakeholders identified climate change as a growing concern throughout the region. Future ECP efforts could look into supporting climate change interventions, including mitigation strategies and adaptation to the effects of climate change. Climate resilience is a complex issue which calls for a coordinated response from governments, the private sector and civil society stakeholders to improve urban management, infrastructure, and the systems that deliver and maintain clean water, air, and waste disposal services. The USAID's Feed the Future and the Agency's Global Climate Change Initiative are two initiatives with the potential to be synergistic partners in this area.





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## I. INTRODUCTION

### Background and Overview

On February 18<sup>th</sup>, 2005, the CAFTA-DR Parties<sup>1</sup> 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 approximately US\$ 89 million to fund the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR) environmental cooperation. This funding is aiding CAFTA-DR countries advance in the following four programmatic areas:

Programmatic Areas
(A) Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws
(B) Biodiversity and Conservation
(C) Market-based Conservation
(D) Market-based Conservation; and (D) 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.

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



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In support of these priority areas, the ECA (Article IV) requires that the Environmental Cooperation Commission (ECC)<sup>2</sup> 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 in its ability to examine and evaluate the progress of specific cooperative programs, projects and activities in meeting their intended goals, and to maintain procedural mechanisms for the enforcement of environment laws.<sup>3</sup>

In this context, the Organization of American States through its Department of Sustainable Development (OAS-DSD) is assisting the ECC of the CAFTA-DR<sup>4</sup> in evaluating if and how the activities carried out by the countries in the region are contributing towards the achievement of the priorities established by the parties. For this purpose, OAS-DSD has worked with stakeholders in developing an evaluation process based on key performance indicators.

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,<sup>5</sup> with a view to improve future environmental cooperation programming.

In 2009, a first monitoring report submitted by OAS-DSD featured mainly qualitative information on results achieved. At the time, a monitoring system was still being developed for all activities being implemented under the CAFTA-DR ECP. A second report followed in 2010 that identified tangible progress, mainly at the output level, focusing on completed activities and identifying changes in capacity and knowledge. The second report compiled and triangulated quantitative data with qualitative analysis to highlight tangible progress towards the achievement of the expected results. This report also identified aspects in need of improvement to promote the adoption of laws, regulatory frameworks, and capacity strengthening efforts. In 2011, a third monitoring report provided more in-depth information at the outcome level and drew a clearer picture of results achieved to date, with respect to improved capacity to manage environmental issues and generate socio-economic and environmental benefits in individual CAFTA-DR countries. Finally, in March 2014 a fourth monitoring report provided an overarching perspective of all results that had been achieved to that date, by means of an impact or high-level results assessment, focusing on sustainable changes in the environmental regulatory framework, in the attitude and behavior of beneficiaries, and more generally on the environmental and socio-economic benefits of the environmental cooperation. In line with this new focus, the OAS-DSD moved away from aspects addressed in the first three monitoring reports, such as the relevance and efficiency of CAFTA-DR ECP, to focus exclusively on program effectiveness and sustainability.

This Fifth Evaluation Report aims to go beyond solely reporting activities of the implementing agencies; it explores the strengthening of capacities of government and civil society stakeholders (e.g. CSOs, the private sector and the general public) to protect, improve and conserve the environment. To this end, the report underlines the impact of interventions regarding environmental legislation and policy development, economic and social development, and environmental protection. These essential, interdependent factors fuel sustainable development in the CAFTA-DR signatory countries.

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<sup>2</sup> 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.

<sup>3</sup> To support this mechanism the parties designated the Secretariat for Environmental Matters to consider public submissions on environmental law enforcement.

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

<sup>5</sup> Cooperation efforts began in late 2005.



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## Methodology

This fifth report focuses primarily on results achieved from the period comprised between March 2014 and September 2015, by means of an impact or high-level results assessment, emphasizing sustainable changes emerging from 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 narrative reports submitted by implementing agencies, and complemented with field visits and interviews conducted to CAFTA-DR ECP stakeholders. The OAS-DSD has also developed a simple tool to capture high-level results in each theme within the ECP, using a new set of impact-level indicators from the current CAFTA-DR ECP monitoring framework. The OAS-DSD selected indicators through an iterative process and in consultation with CAFTA-DR points of contact and implementing agencies. In the future, the OAS-DSD intends not only to continue using its new impact indicators, but also to revise the entire CAFTA-DR ECP monitoring framework with a view of simplifying it and having implementers and points of contact share their opinions, as new projects and/or subsequent phases are approved in the coming years.

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 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 implementation. Other challenges in the process of documenting impacts include:

- Not all the implementing agencies used the impact-level reporting template prepared by the OAS-DSD. In those cases, the OAS-DSD had to rely solely on the bi-annual narrative reports submitted by implementing agencies to extract relevant information.
- Several implementing agencies did not report 2015 results, and in some cases did not report 2014 results.
- There was sometimes a slight mismatch between the information provided by those agencies that used the reporting template, and the relevant indicators. Moreover, the data elements supplied by implementing agencies for specific indicators were not always comparable, as they did not always appear to be collected in a systematic fashion. Attempts to add up straight numbers supplied by the agencies proved to be somewhat misleading.
- 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.
- 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.
- The OAS-DSD engagement occurred after the initial set of projects were designed. Consequently, to determine the impact of projects, OAS-DSD often had to interpret results reported by the agencies



following their unique individual standards.<sup>6</sup>

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<sup>6</sup> It should be noted that OAS-DSD did not expect implementing agencies to provide comprehensive data for indicators they did not specifically monitor in the lifetime of their projects.





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## II. RESULTS AND IMPACT

Through the ECP, CAFTA-DR countries are striving to enhance policy and environmental law enforcement, provide for and 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 themes:

- Theme A – Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws
- Theme B – Biodiversity and Conservation
- Theme C – Market-based Conservation
- Theme D – Improved Private Sector Environmental Performance

### Theme A – 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's (FTA) obligations.

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

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

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

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

- Improved implementation and compliance of environmental law and case follow-up and resolution



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- Improved rules, enforcement and compliance of fisheries' legislation

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

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

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## Key Findings

- Inspections, audits, and the development of national reference laboratories have continued.
- Launched of El Salvador's government improved EIA permitting processes.
- First Best Practices EIA FORUM conducted.
- More than 6,000 people were trained in environmental decision-making.
- A total of 32 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation were implemented.
- The Small Grants Program has effectively disseminated quality environmental information to populations and helped to improve public participation in the environmental decision-making process.
- Potentially more than 1,386,041 individuals were reached through campaigns and outreach material on public participation mechanisms and environmental information.

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To measure results OAS-DSD designed indicators to capture information on visible or measurable changes in environmental legislation, improved regulatory environmental frameworks, the introduction of environmental technology, capacity to enforce environmental legislation to prosecute and carry out sanctions, and the development of agreements and information systems to support sustainable natural resource management and conservation at the national and regional levels. 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 [note 1]	Baseline	Progress [note 2]
Number and type of public institutions that have stronger capacity to enforce environmental legislation and preservation and ensure effective stakeholder compliance	<p>Clear baseline data from the beginning of the program is lacking.</p> <p>To varying degrees, justice administration and regulatory frameworks for environmental law appeared to improve throughout the region as a result of CAFTA DR ECP activities (reported in 2014).</p>	<p>Some of the EPA capacity-building activities include: : a) two wastewater regulation consultations in Dominican Republic and Honduras; b) one forum of best practices of EIA; c) launch of El Salvador Government improved EIA permitting processes; d) one meeting of EIA directors from the CAFTA-DR countries; e) follow up evaluations to Dominican Republic and Honduras laboratories.</p> <p>EPA led a workshop in the DR on solid waste management, and worked with El Salvador to improve their EIA process.</p>
Number of policies, laws, agreements or regulations promoting sustainable natural resource management and conservation that are refined, developed and or implemented as a result of the ECP.	Implementing agencies worked with CAFTADR 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>EPA activities included: inspections, laboratory audits, and development of national and regional reference laboratories.</p> <p>32 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation were implemented through the small grants programs implemented by Helvetas.</p>
Type of environmental practices applied in the mining sector in CAFTA-DR countries	<p>Clear baseline data from the beginning of the program is lacking.</p> <p>Technical Environmental Impact Assessment (EIA) mining guidelines were produced for the mining sector and Costa Rican authorities were introduced to clean technological alternatives (e.g. iCON 150 gravimetric concentrator) (reported in 2014).</p>	<p>Mining activities focused on hands-on training and field visits.</p> <p>DOI-ITAP achieved improved regulation of the mining industry in Guatemala and Costa Rica through government-to-government capacity building for mine inspectors in the ministries of energy and mines and ministries of environment in both countries.</p>
Perception of CSOs about the level and quality of their engagement in enforcement support	N/A-	The interest and involvement of fishermen to adopt coordinated actions in order to build the road of sustainability has been evident.



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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>A strategic public outreach approach was implemented by local NGOs in each CAFTADR country, by means of a small grant program. This effectively led to increased engagement of civil society and local government stakeholders in specific environmental issues and policy-making processes.</p> <ul style="list-style-type: none"> <li>• 130 workshops were carried out.</li> <li>• 4,500 people were trained in public participation tools and methods in each CAFTADR country.</li> <li>• 22,000 publications were delivered to each country’s Ministry of Environment (reported in 2014).</li> </ul>	<p>EPA developed a strategic public outreach approach implemented by local NGO’s in each CAFTA-DR country, through a small grant program, to effectively engage civil society and local governments on specific environmental issues and policy-decision-making processes (reported in last evaluation report).</p> <p>DOI-ITAP facilitated a 7-country regional exchange workshop to share best practices in public participation as a protected area management tool. This workshop was led by the Government of Guatemala, which showcased its highly successful Maya Biosphere Reserve (MBR) Multi-Sector Roundtable as a venue through which targets and ongoing progress can be sustained across changes in political administrations.</p> <p>A small grant program is being administered, by Helvetas in collaboration with USDOS and other key actors, to NGOs to enhance public participation in environmental protection in line with the CAFTA-DR agreement and national legislation.</p> <ul style="list-style-type: none"> <li>• 88 campaigns were carried out.</li> <li>• 6,284 people were trained in environmental decision-making and 32,259 in natural resource management and/or biodiversity conservation.</li> </ul>
<p>Number of laws and/or regulations/standards on environment matters influenced by the public, through public participation mechanisms</p>	<p>Implementing agencies worked with CAFTADR 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>32 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation were implemented as a result of the ECP through the small grants programs, which focused on enhancing public participation, implemented by Helvetas.</p>



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#### Notes:

1. OAS-DSD had developed seven indicators to assess the impact of environmental legislation and protection. However, one of these indicators could not be addressed due to lack of supporting/substantiating information.
2. Due to the crosscutting nature of CAFTA-DR ECP, progress in law enforcement or regulations achieved by some implementing agencies is reported under Theme B.

## 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. During this evaluation period, the ECP helped to implement 32 new policies, laws, agreements or regulations promoting sustainable natural resource management and conservation, specifically including five municipal environmental assessments developed in the MAMUCA (Mancomunidad de Municipios del Centro de Atlántida) region, ten situational assessments of the same number of families in the MAMUCA region, one fishing resource (scale fish) assessment, and two fishing resource (shrimp and manjúa) diagnostics to strengthen fisheries policies in Guatemala's Caribbean Coast, and two solid waste management plans in El Hatillo, Costa Rica.

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

ECP activities supporting the increased capacity of institutions to enforce environmental legislation included: inspections, audits, and the continued development of national reference laboratories, as well as efforts to help improve the effectiveness, transparency and enforcement of Environmental Impact Assessments (EIAs). Laboratory audit follow-ups were also conducted in Honduras and the Dominican Republic, to provide technical assistance for addressing any laboratory deficiencies. Finally, late in 2013, dialogue took place with the Ministry of Environment and Natural Resources (MARN) in El Salvador on potential bilateral EIA collaboration, which could be used as a model for the region. This is to assist MARN in enhancing efficiency and effectiveness in the implementation of El Salvador's EIA and permitting processes and follow-up compliance monitoring and enforcement. MARN developed an online tracking system to manage EIA applications and improve the environmental permitting process. The EIA application tracking system facilitates the approval process of environmental assessments and creates a more transparent process. The publicly-available online EIA application tracking system will increase accessibility by municipality and ministry officials as well as domestic and international investors and civil society organizations in order to strengthen the local capacity for the protection of the environment, public health and welfare. This new system will improve the business enabling environment and the investment climate by reducing the time to complete and approve environmental permits.

The ECP program also aimed to strengthen the capacities of countries to meet environmental obligations of the CAFTA-DR agreement 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 in the DR on solid waste management, where participants were provided with information and case studies on landfill gas planning, design, construction, as well as the maintenance and monitoring of gas collection systems. Technical guides/resources were presented on special wastes, construction and operation of solid waste landfills, scrap tire management, and landfill gas collection/use systems.<sup>7</sup>

<sup>7</sup> Unfortunately, some of the EPA capacity building activities that were programmed - EIA (regional), wastewater model regulation, solid waste management, enforcement and compliance - initiated with a delay of approximately two years (reported in June 2014). This delay was due to institutional challenges experienced by the CCAD (Central American Commission on Environment and Development; this organization was tasked with providing logistical support to EPA). USAID had to identify another appropriate organization in the region to provide logistical support to EPA and complement the Agency's capacity building program with follow-up activities.



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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 law and enforcement, illegal trade policing for exotic species, violation investigation, and offender prosecution and sentencing. Reports from DOI suggest that, as a result of their efforts, prosecutors and judges are now better prepared to prosecute or adjudicate cases against environmental criminals. As well, DOI reports that capacity-building training and workshops on wildlife trade monitoring and enforcement have allowed government stakeholders and CSOs to play a positive role in wildlife trade monitoring and enforcement (details discussed in Theme B).

The Program has achieved improved regulation of the mining industry in Guatemala and Costa Rica through government-to-government capacity building for mine inspectors, working with the ministries of energy and mines and ministries of environment in both countries. DOI built capacity through hands-on joint field inspections of mine sites in Costa Rica and the United States, tailored training for mine inspectors, specialized equipment donation, private sector partnerships, and follow-up web-based learning opportunities. As a result of this capacity building, the government of Guatemala identified concrete steps/actions it will take to improve interagency coordination on mining regulations and to improve public participation in mining governance. The government of Costa Rica implemented new technology to improve its capability to inspect mining operations. Additional mining activities built on previous DOI-ITAP materials and training and continued to focus on hands-on training and field visits. From the period October 2013 to March 2014, 16 people were trained on new techniques for more effective mining practices. Overall, 67 individuals were trained by the DOI during their 6-year project (2008-2014). Also, during this six-year period DOI-ITAP supported the adoption of two information systems, specifically seismographs.

The perception of CSOs about the level and quality of their engagement in enforcement has been consistently high, with particularly encouraging results coming from the Helvetas small grant program, and especially the ADA2 project in Guatemala where the interest of fishermen to adopt coordinated actions in order to build the road to sustainability has been evident. Several prominent individuals in the fisheries sector stated their points of view:

- Eustaquio Ochoa (President of the Fisherman's Network) «Por primera vez establecimos una mesa de dialogo solo entre los pescadores y estuvimos de acuerdo en dialogar sobre nuestras propias limitaciones y fortalezas para aumentar las posibilidades de tener mejores pesquerías.» (For the first time, we set up a fisherman's meeting and agreed to only discuss our own limitations and strengths to increase the chances of better fisheries.)
- Jorge Cocon (Shrimp Fisheries) «Por primera vez no nos vinieron a hablar solo de conservación, sino de un manejo sostenible de nuestras pesquerías que involucró la participación plena de los pescadores, sobre alternativas de comercialización de nuestros productos para el mejoramiento de nuestra calidad de vida y el interés de proteger los hábitats pesqueros.» (For the first time, outside parties came to discuss not only conservation, but also the sustainable management of our fisheries, and included the full participation of fishermen and addressed alternative marketing for our products to help improve our quality of life and to protect fisheries habitats.)
- Angelica Mendez (Coordinator of the Fisherman's Network) «Ahora nos dimos cuenta que podemos trabajar juntos, así que a partir de este trabajo de lineamientos pesqueros que hemos realizado pensemos ahora en nuestro futuro para encaminarnos a tener un verdadero cambio en el manejo de nuestras pesquerías.» (Now we have realized that we can work together; following this work on fishing guidelines we have now realized that we must think of our future and strive towards a real change in the management our fisheries.)



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## ***Increased Public Participation and Transparency to Support Informed Decision-making***

Public participation is a crucial element for the effectiveness of environmental decision-making. Through its outreach interventions, 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. The program supported the production and dissemination of information in the media, including pamphlets, posters, sidewalk billboards, newsletters, press releases, reports, assessments, online social media, 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.

A seven-country regional exchange workshop to share best practices in public participation as a protected area management tool. This workshop was led by the Government of Guatemala, which showcased its highly successful Maya Biosphere Reserve (MBR) Multi-Sector Roundtable as a venue through which targets and ongoing progress can be sustained across changes in political administrations.<sup>8</sup>

Additional efforts by CAFTA-DR ECP to enhance public participation in environmental protection in line with the CAFTA-DR agreement and national legislation, have occurred through Helvetas, in collaboration with USDOS and other key actors, administering a small grant program (no more than US\$50,000) to NGOs. To date, this program has yielded impressive results, with 32,259 individuals receiving training in natural resource management and/or biodiversity conservation, 6,284 individuals involved in environmental decision-making trainings, 20,376 individuals completing a course/workshop, and 537 individuals trained from civil society organizations. Workshops focused on topics including environmental education, awareness, natural resources management, law enforcement and public participation mechanisms. In some cases, workshops included both environmental conservation aspects and national environmental legislation. Also, the multiplying effect of training trainers and committing trainees to reach other people in their institutions with the acquired information has been very effective and allowed for more people to be reached than originally expected. Overall, a total of 88 massive campaigns were supported, with the audience having access to information on public participation mechanisms and environmental information through these campaigns and outreach material being estimated at 1,351,041 individuals, while the audience reached by campaigns (environmental education and awareness initiatives) was estimated at 422,606 individuals. Additionally, 17,456 individuals have accessed information through sharing platforms (e.g. Facebook, Twitter, Blog spots, and Youtube). Thirteen local governments have also been reported to be working in partnerships with civil society organizations, and ten opportunities have been pursued to leverage additional funds as result of ECP assistance. Specific details on the results of each of the six small grant program projects are provided below.

The **ALIARSE** project in **Costa Rica** has delivered a strong message of solid waste management and recycling using different media outlets, concrete activities, and other strategies that included the local authorities of San José. The municipality was a key actor in the project and boosted the outreach campaign with free space using muppies (sidewalk billboards) to display messages related to the project. Public and private partnerships included the participation of the Ministry of Health, the Institute of Municipal Development and Assistance (IFAM), and the companies Kimberly Clark, Vical, Packaging Santa Ana, Coca Cola, and Florida Bebidas. Environmental leaders have been trained in four districts of San José and now comprise the Inter-district Network, engaging with the municipality of San José to address the environmental issues of their districts and the compliance with law 8839 (solid waste management). Those leaders are women and young people from marginalized neighborhoods with poor access to education and professional opportunities. The social impact is tremendous for these beneficiaries since it allowed them to increase their self-confidence and find a productive role in their community. Supporting the

<sup>8</sup> Details on this project are reported in Theme B.



participation of women and youngsters is a main concern because they are often excluded from decision-making processes. Most relevant achievements were:

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- One Interdistrict Network was created with 38 members;
- Ninety-five community leaders from four districts of San José (Pavas, San Sebastián, San Francisco, and Hatillo) have been trained in environmental matters and law 8839;
- Six agreements have been established between civil society and the municipality to address environmental issues;
- Three hundred and sixty-two people were trained by the Municipality of San José on environmental complaints and law 8839;
- Four environmental monitoring committees were developed,
- Eight community-based proposals (e.g. recycling contests, environmental education, and fairs) have been developed in the participating districts;
- El Hatillo district developed two solid waste management policies;
- Six Ecopuntos (recycling materials gathering points) have been established and are functioning (Pavas (2), Hatillo (2), San Sebastián (1), and Cipreses (1));
- Two thousand banners and posters have been displayed to promote the Ecopuntos;
- A total of 3,929 children from 20 schools have participated and been reached with an environmental awareness theatrical play;
- Over 5,000 downloads of the recycling game were achieved (available in public libraries, schools, and intelligent community centers); and
- Approximately one million people have been reached with key messages using 28 muppies. A photography contest (to capture images for the muppies) to denounce infringement of the 8839 Act and the management and sustainable and responsible use of solid waste was performed.



Community project in the district El Hatillo: neighbors and environmental leaders.



Community project in the district San Sebastian: environmental leaders, the Ecopoint, and mural.





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The goal of the **ADA2 (Alianza de Derecho Ambiental y Agua)** project in **Guatemala** was to engage civil society, especially fishermen and women, and local authorities, especially those that regulate fisheries in the Caribbean of Guatemala. First, the project involved organizing fisheries organizations and communities to determine the actual status of the fisheries in their area. With this information, gathered through a participative and consultory manner, fishermen and women were prepared to address these issues with their local authorities. Participation mechanisms, such as roundtables were created, and have successfully been operating to deal with joint interests among stakeholders. As a main output, a fisheries regulation guideline for this area was presented to the national fisheries authority of Guatemala to be approved and subsequently applied by stakeholders of the area. The main achievements were:

- Seven hundred and fourteen individuals (166 women) were trained in public participation mechanisms and environmental issues, specifically related to fisheries;
- A total of 256 community leaders (98 women) were trained in environmental management and the legal framework of fisheries management, as well as advocacy and citizen participation;
- Roundtables had excellent participation: 68 (19 women) individuals attended the intersectorial roundtable; 56 (16 women) attended the shrimp roundtable; 30 (five women) attended the manjua roundtable; and 45 (eight women) attended the snook roundtable;
- Three agreements were created between civil society (ADA2, Fishermen's Network) and national authorities (CONAP, CEMA - Centro de Estudios de Mar y Acuicultura, DIPESCA) to collaborate fisheries regulations;
- Three fisheries assessments (shrimp, manjúa, and snook) were developed and are the basis of the fisheries regulation proposal;
- An environmental outreach campaign was developed using 13 media outlets that included radio spots transmitted over two months, two radio forums, and local cable interviews;
- Eight hundred informational leaflets - 250 shrimp, 250 snook and 300 manjúa copies - were distributed to the general audience to promote project goals; and
- A promotional video was produced about the project activities that will be used to disseminate results on a larger scale.



Inter-institutional working table of the three selected fisheries.



Table of representatives: DIPESCA, CONAP, Municipality of Livingston, Fishermen's Network and project consultants.



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During the **MAMUCA (Mancomunidad de Municipios del Centro de Atlántida - Association of Municipalities of the Atlántida Department)** project in **Honduras**, stakeholders in five municipalities were trained on issues related to promoting the sustainable use of water and soil resources, as well as the environment in general. The project worked in ten communities (approximately 500 families) by establishing school gardens with the methodology “learning by doing”, ensuring that technical assistance and training received by children would be replicated in their homes, with the participation and collaboration of their families, to achieve the goal of acquiring food security and surplus production (some income has been generated). Also, the water boards’ work plans were handed out and experiences were shared during project implementation at municipal events. This has motivated other water boards to follow the same steps into sustainable conservation. Most relevant achievements include:

- One inter-municipal commission has been created, members include two representatives from each of the five municipalities of MAMUCA;
- Six hundred and seventy-nine individuals (317 women) were reached directly with the project’s goals, receiving information regarding the importance of this project, the management of watersheds, and legal frameworks;
- Six hundred and four individuals (50% women) were trained in environmental conservation and awareness;
- Two hundred and fifty-seven individuals (90 women) (leaders and staff from the educational system) were trained in leadership and self-esteem;
- Three hundred and forty-seven individuals (109 women) were trained in water management, service fee calculation, administrative procedures, and fund management;
- Environmental situation assessments were developed for prioritized communities within the five municipalities of MAMUCA (Arizona, Esparta, La Masica, San Francisco, and El Porvenir). These assessments were the basis for the work plans of the water boards in each municipality and were made through a participatory process;
- Water quality was a key component in the project, thus 50 water quality analyses were made in the MAMUCA region;
- The delimitation of 11 micro-watersheds to improve management were done with the collaboration and clearance of the municipalities;
- Eleven action plan for community management were developed;
- Three documents of regulations were reviewed with senior members of the water boards, accumulating until this period a total of seven bylaws reviewed:
- Ten school gardens have been established and are functioning, giving school students an organic and healthy intake of food. In addition, 1,120 individuals (714 women) were trained in managing school gardens and other related aspects (e.g. organic food, compost, food preparation); and
- An outreach campaign included the distribution of 200 leaflets and 100 posters regarding the project’s goals. Television announcements were also developed; an estimate of 40,000 direct subscribers



Training for the establishment of gardens in the project communities.



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have been reached and potentially an indirect audience of 200,000.

The **LIDER** project in **Nicaragua** has reached its main goal, which was to strengthen organized groups or cooperatives in environmental education, alternative economic activities, and to protect and conserve two protected areas: Volcán Cosigüina and Estero Padre Viejo (both in the subsystem of protected areas in the Gulf of Fonseca). Two community committees have gained legal representation, one in each protected area's zone of influence. These committees also include members of the local authorities and all together address various issues in their region, including environmental issues. The project has gained a positive reputation in the region, even transcending national boundaries as Honduran fishermen would like to implement similar actions, and is strongly supported by the Ministry of Environment and Natural Resources (MARENA). The most relevant achievements were:

- The project has strengthened environmental management capacities and participation of local structures in the management of natural areas in the subsystem of protected areas in the Gulf of Fonseca;
- Agreements have been established that strengthen the synergy between the institutions of MARE-

NA, the municipal government, the private sector, educational institutions, and collaborative management committees, on strengthening initiatives with low environmental impact in protected areas;

- Two working agendas have been developed (one per each local structure);
- Two additional projects have been approved to access cooperation funds from other international agencies;
- Twenty-seven hectares are better managed and protected against forest fires through the training of a forest firefighters brigade;
- Three cooperatives (Marcelino Méndez, Kilaka and Kilakita) have been strengthened and supported to establish fish cultivating farms (pargo lunarejo or snapper);
- Technical assistance specializing in hormone induced breeding of snapper has been provided;
- Workshops (with support from the University of Costa Rica, INPESCA (Instituto Nicaraguense de Pesca y Acuicultura), the Cuban technological institute and the Ministry of Environment) on fish nurseries, reproduction, and fish and shellfish management have been given to 14 communities;
- Four hundred and ninety-one individuals (253 students, 26 teachers, 212 adult community member) in 13 communities have been trained



Delivering the forest plant seedlings to the community of Kilaka



Working day to repopulate the concha negra shellfish in mangrove concessions.



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in environmental protection;

- Eighteen hectares of mangrove have been repopulated (and monitored) with shellfish (concha negra) to promote the conservation and sustainable use of this species;
- A strong outreach campaign has reached approximately 20,000 people through written (press release in the national newspaper La Prensa), radio (two radio spots have been transmitted regarding conservation of the two protected areas), and visual media (press conference on two national television channels, and a documentary shared through different media and social media outlets);
- Eight hundred guides on environmental education were edited from an original Ministry of Education version for elementary schools (3-6 grades: for 13 rural schools). Also talks on environmental awareness were given in ten rural schools, and three environmental education events were held to benefit forest restoration in degraded areas; and
- Ten thousand forest plants were produced in nurseries and distributed among the different sectors to support the project's reforestation aim to mitigate the silting of estuaries, and also improve the quantity and quality of water infiltrating into aquifers.



Hormonal induction of the Spotted Rose Snapper.

The **ADPG (Asociación para el Desarrollo de Pedro García, Inc.)** project in the **Dominican Republic** involved training workshops, developing environmental initiatives, and engaging civil society with local authorities to promote environmental protection. The project worked with schools, community committees, two municipalities, two district municipalities, other local and national governments, as well with the general public of the two main municipalities of Pedro García and Yásica. Environmental campaigns at first were done very locally, but afterwards these campaigns aimed to influence areas outside the projects limits, up to the point that an environmental service fee was being negotiated with another district in the lower basin for the protection and quality of spring water found in the upper basin (Pedro García and Yásica). In Pedro García, the interest of implementing the three Rs (recycling, reusing, and reducing) has extended to schools, where teachers inspired by the project's initiative have also began to implement actions in their schools. The main achievements are:

- Six environmental commissions were formalized in different schools;
- Seven hundred and fifty visits to the families of Pedro García and Yásica to provide guidance on environmental awareness;
- Fifty-four meetings at 38 different schools for information, guidance, and support of their environmental initiatives;
- Sixty-four teachers were trained on environmental protection and legal frameworks, through six workshops;
- Forty-two talks for students and community members on the protection and conservation of the environment;
- Eight meetings with key actors of civil society, which included six with government authorities (two with the Government of Puerto Plata, two with the Ministry of the Environment and Natural Resources, and two with the Ministry of Education in Santiago and Puerto Plata), one with members of the



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Association ADPG, and one with the Absent Children Development Association PRO-Pedro Garcia and the Chamber of Commerce of Puerto Plata;

- Eighty-five community leaders (56 women) were trained in environmental legislation and public participation mechanisms;
- Environmental assessments in Pedro García and Yásica were done through a participatory process that involved 160 people (69 women);
- Twelve environmental initiatives (over 1,200 people involved) have been developed that include community cleaning, environmental fairs, recycling activities, Zero Waste, essay contests, etc;
- In the intervention area 4,259 people have been reached directly by the project's activities, about the theme of protection and conservation of the environment; and
- An outreach campaign has included: a blog with more than 2,800 visits; radio transmitted messages (6,000 persons reached), six billboards have been made and placed in the intervention area to promote conservation; and 4,100 stickers and 5,500 brochures have been made.



Signing agreements with the community institutions and the district boards.



Delivering recycling containers at an Education Center.

The **FUNDEMAS** project in **El Salvador** had two main components: (1) training and awareness on environmental protection, and (2) communication and outreach strategies to broaden the impact of the project's key messages on environmental protection. Specifically, this project sought to increase the awareness of civil society on the issues of natural resource management and environmental regulations and procedures in order to promote participatory and informed decision-making in matters of environmental protection through educational and training activities in the municipality of San Salvador. The main achievements were:

- One thousand and thirty-six environmental trainers trained (592 women);
  - a. Seven strategic alliances were made with universities, which were the key element for the multiplication effect of environmental trainings,
  - b. 1,000 environmental guides were given out to trainers to have a training tool, and
  - c. 25,905 students and 3,809 employees, making a total of 29,714 persons, were trained by trainers.
- One thousand, five hundred and eighty individuals (855 women) participated in environmental protection campaigns, investing their own time in several environmental protection activities;



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- Beach cleaning activities had a total participation of 1,284 volunteers (707 women);
- Two hundred and ninety-six participants (148 women) participated in the environmental management forum, embedded in the Enterprise Social Responsibility week;
- An Ecoefficiency roundtable was active with 36 companies and 232 people (78 women);
- Through seven spaces that promoted public participation (346 people participated) it was possible to strengthen the promotion of two laws regarding natural resources management;
- Through traditional and non-traditional communication methods a total of 258,146 people were reached; specifically, three publications in one of the country's main newspapers (Diario El Mundo: 194,771 readers), a Bag Media (grocery publicity bag) campaign, 2,500 copies of promotional material were developed to foster the project's goals, and several social media outlets; and
- During the last month of the project (April 2015), training was provided to 184 trainees (114 women and 70 men) from schools in the public system, who in turn replicated these trainings in their schools, complying with 184 workshops and benefiting 13,994 (6,997 women) students.

Outreach and public awareness projects promoting environmental protection potentially reached an estimated 1,351,041 individuals. These outreach efforts made environmental information more accessible through different activities, including press conferences, radio spots, social media, muppies, dissemination of brochures and training materials, and workshops on various topics (e.g. environmental laws, public participation and advocacy, solid waste management, water management, fisheries, etc). These projects led civil society organizations to play an active part in compliance and enforcement of environmental decisions, through meetings with municipal authorities, ministries, NGOs, exchanges, roundtables and municipal forums.

## Theme B – Biodiversity and Conservation

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

**Goal B** is divided into three expected results, which are:

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

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## Key Findings

- Several meetings to help develop guidelines, methodologies, and tools to improve the skills of CITES and fisheries authorities to formulate non-detrimental findings (NDFs). One of these tools included a regional protocol for marine species NDFs launched with OSPESCA in CAFTA-DR countries.
- Support given to CITES Authorities in CAFTA-DR countries has strengthened the management and coordination of these authorities.
- Trainings provided to government officials and law enforcement agencies (attorney generals, judges, police and armed forces) on best practices to implement wildlife regulations in the operational framework of the Central American Wildlife Enforcement Network (CAWEN).



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- Although numbers have not been provided by all of the HSI and DOI programs it is likely that millions of people were reached by outreach campaigns to raise public awareness on biodiversity and endangered species conservation.
- Two hundred and thirty-three individuals were trained in natural resource management, biodiversity conservation and endangered species protection under HSI and at least 423,227 people directly involved in conservation and environmental protection campaigns under Helvetas.

The purpose of Theme B is to protect wildlife and its habitat for long-term economic and environmental development. Initiatives related to this theme 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 the Convention on International Trade in Endangered Species of Wild Fauna and Flora (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; the capacity to improve the management of sensitive ecosystems; and the ability to carry out inspection and seizure operations. In turn, such changes are expected to lead to positive changes in the attitude of the population (also through awareness campaigns) 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 [note 1]	Baseline [note 3]	Progress [note 2]
<p>Number of new or improved tools used by public agencies in charge of enforcing CITES to enhance wildlife protection and forestry species conservation (training, Plan, studies, monitoring community initiative, studies, list of species)</p>	<ul style="list-style-type: none"> <li>• CITES offices lack training material in an accessible format for use by government personnel.</li> <li>• CITES offices lack basic equipment to automate their work.</li> <li>• Government lacks inter-agency coordination, which weakens CITES implementation and enforcement.</li> <li>• Lack of wildlife enforcement operations.</li> </ul> <p>Reported in 2014:</p> <ul style="list-style-type: none"> <li>• A detailed visual and taxonomic identification guide for Tillandsia in Guatemala and an illustrated manual of species at risk in El Salvador.</li> </ul>	<ul style="list-style-type: none"> <li>• 1,319 participants from governmental, NGO, and community sectors participated in CITES management or technical capacity-building efforts (2008-2014).</li> <li>• 11 discrete activities undertaken to improve CITES scientific capabilities (e.g. monitoring system developed, training on process for non-detriment finding) to better comply with CITES and protect selected species (2008-2014).</li> <li>• Five countries have received assistance on upgrading their CITES information systems to improve data quality and decision-making capabilities, Costa Rica, Guatemala, Honduras, Nicaragua, El Salvador (in process) (2008-2014).</li> <li>• Cumulative total of 9 wildlife seizure events officially reported by CAWEN/ROAVIS agencies (many additional seizures shared informally).</li> </ul>



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	<ul style="list-style-type: none"> <li>• An economic valuation study of CITES species in Central America and the Dominican Republic.</li> <li>• A taxonomic identification guide for forest species, including CITES species, was developed.</li> <li>• An interactive training CD on animal handling was developed and trainings provided.</li> <li>• In Guatemala, an on-line course on how to establish and maintain a social license was delivered.</li> <li>• Support to wildlife enforcement operations resulted in several inspection and seizure operations involving articles made of sea turtles.</li> </ul>	<ul style="list-style-type: none"> <li>• Overall, 7 capacity-building activities have been completed by CAWEN/ROAVIS local enforcement networks, using DOI best practices and/or training materials.</li> <li>• 42 individuals trained by DOI trained wildlife enforcement instructors during the 3rd regional CAWEN/ROAVIS meeting.</li> <li>• DOI-ITAP and DOJ/ENRD worked with the Government of Guatemala to host the 4th regional CAWEN/ROAVIS meeting 21-22 January 2015 in Guatemala City, Guatemala.</li> <li>• DOI-ITAP sponsored a study tour and peer exchange to Washington, DC and Huntsville, AL for key Guatemalan Government officials and NGOs.</li> <li>• United Nations Environment Programme (UNEP) World Conservation Monitoring Centre (WCMC) and DOI-ITAP supported a two day workshop in Guatemala City regarding the analysis of CITES trade data for the CAFTA-DR countries and Panama.</li> <li>• Three workshops for judges have been held to provide an overview of wildlife trafficking, laws, CITES, and related topics, and to raise their awareness and attention to these issues.</li> <li>• Three regional and one international meeting/workshop regarding developing NDFs for shark and ray species.</li> </ul>
		<ul style="list-style-type: none"> <li>• DOI-ITAP has developed and updated an interactive electronic comprehensive CITES course which is being used in DOI-ITAP supported activities and by CAWEN/ROAVIS members for their own in-house training. The course includes material on “best practices” for CITES and wildlife enforcement. The course has been uploaded to the CAWEN/ROAVIS web site: <a href="http://www.roavis.net">www.roavis.net</a>.</li> <li>• Through government records and overflights, information and data was collected to initiate an informational database to monitor the threats and impacts to the MMCBR area.</li> </ul>





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		<p>In total, for the HSI FY10 program, six workshops were carried out in CAFTA-DR countries (one in each country).</p> <ul style="list-style-type: none"> <li>• A total of 109 people, including government representatives, were trained on confiscated animal identification and handling.</li> <li>• A total of 140 animal handling CDs and 250 field guides were distributed in the aforementioned trainings.</li> </ul> <p>In addition to the CD, a total of 500 copies of the Animal Handling Field Guide were printed as a complementary material to be distributed in workshops under the FY10 program.</p>
<p>Number of people reached and sensitized by public awareness campaign on wildlife protection or conservation</p>	<p>N/A</p>	<p>DOI-ITAP has focused on the south-to-south promotion and replication of a successful public participation model to improve protected area governance and multi-sector decision-making, as well as supporting an outreach and educational campaign to raise the profile of the assets and threats to the MBR and MMCBR (important habitats for CITES species). As follow-up to VP's participation in the MBR and Southern Peten Roundtables, she directed the Guatemalan President's Office of Communication to develop and widely disseminate an Outreach Campaign on Environmental and Conservation Challenges in the MBR and MMBCR. Also, Balam, CONAP and local communities have created multiple programs that have been broadcasted over radio and television to continue raising the profile of preventing environmental crimes, including the impact of trafficking of timber.</p> <p>Before the development of the outreach campaign, supported by HSI, in each of the countries, an informal baseline survey was carried out to gather perceptions related to wildlife. The baseline surveys have been carried out in one large city, and in one small community in each country, surveying a total of 1,200 individuals. Most awareness campaigns have been approved, and Honduras, Nicaragua, and Guatemala and have started implementing the campaigns.</p>



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<p>Number and type of new CITES endangered wildlife protection standards adopted by institutions managing borders and customs</p>	<ul style="list-style-type: none"> <li>Regional legislation not always updated to current CITES standards.</li> <li>Basic government structure and legislative requirements as per CITES not always present.</li> <li>In 2012, a workshop was conducted in Nicaragua to present and review the first draft of the Government of Nicaragua’s Decree 8-98.</li> <li>Costa Rica: legal assistance to the CITES authority was provided to develop an executive order indicating which CITES resolutions were applicable to Costa Rica. With this executive order, CITES resolutions are now binding and mandatory (reported in 2014).</li> <li>Legal assistance was provided to Honduran authorities to update the regulations for CITES implementation, approved by Executive Decree (reported in 2014).</li> <li>Together with the authorities of Nicaragua and Costa Rica, the binational operational manual was updated to combat illegal trafficking and control trade in species (reported in 2014).</li> </ul>	<p>The CITES trade data analysis and training produced by UNEP-WCMC was excellent. Participating CITES officials were very engaged in understanding the observations and recommendations of the report and committed to improved CITES annual reporting as well as training their colleagues.</p> <p>Along the Guatemala-Belize border, CONAP has continued to work with Balam and FCD on timber trafficking operations. The “Environmental Security Strategy for the MMCBR,” with bi-national focus has been finalized, approved and implemented. Confiscations of timber being trafficked across the Belize-Guatemalan border have increased from 2012 to 2013. Guatemala and Belize are drafting a joint Memorandum of Understanding, under the Guatemala-Belize Roadmap, to focus on the protection and sustainable management of natural resources.</p> <p>Information about traffic routes and traffickers were gathered in Costa Rica and Nicaragua rural areas. Wildlife trafficking in the rural areas of Guatemala, Honduras, El Salvador, and Dominican Republic will be collected during the next period.</p>
<p>Number of hectares of biological significance and/or natural resources under improved natural resource management as a result of the ECP.</p>	<p>1.3 million ha of biological significance were under improved natural resource management as a result of CAFTA DR ECP (reported in 2014).</p>	<ul style="list-style-type: none"> <li>27 ha managed and protected against forest fires through the training of a forest firefighters brigade.</li> <li>40.2ha of mangrove have been repopulated (and monitored) with shellfish (conchas negras) to promote this species conservation and sustainable use.</li> </ul>



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<p>Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of the ECP.</p>	<ul style="list-style-type: none"> <li>• Lack of integration between communities in protected areas and government resources assigned to law enforcement (prior to CAFTA DR).</li> <li>• Deficient community representation and voice in decisions affecting protected areas and surrounding communities (prior to CAFTA DR).</li> <li>• Qualitative information regarding improved policies in the MBR in Guatemala (reported in 2014).</li> <li>• 706 individuals (reported in 2014).</li> </ul>	<p>Currently a program is underway on economic alternatives to wildlife poaching:</p> <ul style="list-style-type: none"> <li>• The group ACOTPRO will be developing a patrol program for marine turtles in El Progreso, Costa Rica and already completed the training on economic alternatives to wildlife poaching (15 participants and the participation of SINAC).</li> <li>• Fundacion Cocibolca held a workshop in Aguas Agrias, Nicaragua and surrounding communities on economic alternatives to wildlife poaching. A total of 50 participants attended the workshop, which also had the participation of the CITES Management Authority, MARENA, to present relevant information about wildlife legislation.</li> <li>• Local partners will be identifying the remaining four groups in Uaxactún, La Unión, Boca de Yuma and Comayagua during next period. An economic incentive will be distributed among these communities to back up their economic alternatives to illegal poaching and illegal extraction of wildlife in the area.</li> </ul>
		<p>The project led by LIDER in Nicaragua has strengthened environmental management capacities and participation of local structures in the management of natural areas of the subsystem of protected areas of the Gulf of Fonseca. Strengthening of 14 communities (904 females, 1196 males) regarding sustainable use of natural resources, especially shellfish by managing mangrove concessions, and cage-farming snapper.</p> <p>In the Dominican Republic an environmental service fee was being negotiated with another district in the lower basin for the protection and continued quality of spring waters found in the upper basin (Pedro García and Yásica)</p>



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<p>Number of government representatives within CAFTA-DR applying methodologies to combat illegal logging</p>	<p>Reported in 2014:</p> <ul style="list-style-type: none"> <li>• 305 Government of Honduras representatives enhanced their knowledge of systems and methodologies used to prevent and combat illegal logging.</li> <li>• 98 agents strengthened their skills to process timber violations.</li> </ul>	<p>At the 4th regional CAWEN/ROAVIS meeting members shared a summary of 2014 activities and committed to activities in each of their countries to combat timber trafficking in the region in 2015. Participants included Police, Customs, CITES officials, fisheries officials, and border security forces.</p> <p>Also, one informal action plan to address timber trafficking (at the 4th regional meeting) has been developed.</p> <p>CONAP continued to work with Balam and FCD on timber trafficking operations. “Environmental Security Strategy for the MMCBR,” with bi-national focus has been finalized, approved and implemented. Confiscations of timber being trafficked across the Belize-Guatemalan border have increased from 2012 to 2013.</p>
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. OAS-DSD had developed eight indicators to assess the impact of environmental legislation and protection. However, two of these indicators could not be addressed due to lack of supporting/substantiating information.</li> <li>2. Due to the crosscutting nature of CAFTA-DR ECP, progress in law enforcement or regulations achieved by some implementing agencies is reported under Theme A.</li> <li>3. Please see the CATA-DR 4th Monitoring Report for past baselines and results achieved for the two indicators not provided here.</li> </ol>		

## Results and Impacts

### *Improved Implementation and Enforcement of CITES*

Implementing agencies launched various initiatives to build and strengthen capacities and harmonize 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 material; supporting the development of procedures and systems that increase the performance and effectiveness of CITES implementation; and developing tools to address limits on the implementation and enforcement of CITES.

### *Skills Development, Coordination Efforts, Collaboration Mechanisms and Regional Meetings*

DOI reported in their final close out report (2008-2014) for Capacity Building on CITES Implementation that 1,319 participants from governmental, NGO, and community sectors participated in CITES management or technical capacity-building efforts, 11 discrete activities were undertaken to improve CITES scientific capabilities (e.g. monitoring system developed, training on process for non-detriment findings) to better comply with CITES and protect selected species, and that five countries received assistance on upgrading their CITES information systems to

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improve data quality and decision-making capabilities, specifically Costa Rica, Guatemala, Honduras, Nicaragua, and El Salvador (in process). DOI-ITAP also capitalized on opportunities to conduct CITES and CAWEN/ROAVIS regional outreach and education via events hosted outside of DOI-ITAP, including activity snapshots (e.g. on CITES NDF workshops), one page pamphlets highlighting overviews and “successes” of CAWEN/ROAVIS, and summary sheets highlighting DOI-ITAP-supported CITES activities and achievements.

Further DOI CITES activities focused on proper implementation, enforcement, and scientific-application of CITES, as well as on strengthening interactions and communication between CITES scientific authorities, administrative authorities, and national fisheries authorities. With support from various partners, DOI, and other implementing agencies conducted a number of regional, national, bi-national, and tri-national workshops and capacity-building activities addressed at a wide range of stakeholders. Central America Wildlife Enforcement Network (CAWEN/ROAVIS) activities continued to strengthen national Wildlife Enforcement Networks with the aim of improving inter-agency cooperation and communication in planning and conducting national and regional wildlife enforcement operations. Overall, seven capacity-building activities have been completed by CAWEN/ROAVIS local enforcement networks, using DOI best practices and/or training materials. In April 2014, a tri-national operational planning meeting was held in Esquipulas, Guatemala involving El Salvador, Guatemala, and Honduras. Police, CITES officials, and the Points of Contact discussed plans and protocols for joint wildlife enforcement and inspection operations along the tri-national border.

Overall, a cumulative total of nine wildlife seizure events were reported by CAWEN/ROAVIS agencies, including a timber seizure in Honduras. Both countries reported high levels of cooperation among various agencies, including customs, and other enforcement and civil authorities involved in combating wildlife trafficking. A total of six press releases on law enforcement activities conducted in the region have occurred, including one on the Honduran timber seizure. Also, several materials and communication/outreach tools (eight) have been developed in the region regarding CAWEN/ROAVIS activities and priorities, including one brochure in Spanish, one standard folder design, the launch and updating of the CAWEN/ROAVIS web site ([www.roavis.net](http://www.roavis.net)), and one roll up banner.

Regional activities have included the 3rd regional CAWEN/ROAVIS meeting in San José, Costa Rica (December 10-12, 2013). Forty-two individuals attended, including officials from Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua<sup>9</sup>, and were trained by DOI wildlife enforcement instructors. Also, 30 participants were reported to have gained improved knowledge of law enforcement best practices and eight case studies were presented by the countries and technical experts attending (Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, USFWS, US-DOJ, Brazil). During this regional meeting the CAWEN/ROAVIS Communications Strategy and Communications Action Plan was approved, helping to improve the operational framework for CAWEN/ROAVIS. DOI-ITAP and DOJ-ENRD (Department of Justice-Environmental and Natural Resources Division) worked with the Government of Guatemala to host the 4th regional CAWEN/ROAVIS meeting in Guatemala City, Guatemala (January 21-22, 2015). CAWEN/ROAVIS members shared a summary of 2014 activities and committed to activities in each of their countries to combat timber trafficking in the region in 2015. Participants included police, customs, CITES officials, fisheries officials, and border security forces. Technical experts that provided presentations, facilitated discussions, and shared their experiences included the CAWEN/ROAVIS points of contact, DOI-ITAP staff, a trial attorney from DOJ-ENRD, the Organization of American States, and representatives from Asociación Balam and Wildlife Conservation Society (WCS). One informal action plan to address timber trafficking was developed at this 4th regional meeting.

Since 2013, DOI-ITAP has worked with the United Nations Environment Programme (UNEP)-World Conservation Monitoring Centre (WCMC) to conduct a detailed analysis of CITES trade data for the CAFTA-DR countries. On March 13-14, 2014, DOI-ITAP supported a two-day workshop in Guatemala City, Guatemala where Pablo Sinovas, a Senior Programme Officer with UNEP-WCMC, presented the report, explained its findings, and discussed recommenda-

<sup>9</sup> Private donor funding from Wildlife Trade Monitoring Network (TRAFFIC) enabled officials from Nicaragua to participate. Given restrictions regarding activities with Nicaragua, the CITES activities after this point do not include any funding/support for Nicaraguan government officials or entities at this time. DOI-ITAP continues to work with the U.S. Department of State to ensure compliance with U.S. policy.



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tions for improved reporting in the future. UNEP-WCMC also provided in-depth and hands-on training regarding the use and application of CITES databases maintained by UNEP-WCMC. This training was a great success, with participating CITES officials being very engaged in understanding the findings and recommendations of the report and stated that they were committed to improved CITES annual reporting, as well as training their colleagues

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Numerous workshops for judges have been undertaken, with the goal to provide local and federal judges with an overview of wildlife trafficking, laws, CITES, and related topics, as well as to raise their awareness and attention to these issues. Specifically, in June 2014 a regional judges' workshop was held in Panama. Following this, national-level judges' workshops were held in Tegucigalpa, Honduras (October 13-14, 2014) and in San Salvador, El Salvador (October 16-17, 2014). DOI-ITAP is also engaged with State/INL at U.S. Embassy-San José to support two events of mutual interest, which include a judges' training workshop for Costa Rican judges.

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Four regional workshops were held to improve the capacities of CAFTA-DR countries to undertake and plan CITES non-detrimental findings (NDFs) in Central America and the Dominican Republic. Following the highly successful CITES NDF capacity-building workshop held in El Salvador in September 2013, DOI-ITAP, in conjunction with the National Council of Protected Areas (CONAP) of Guatemala, supported a two-day meeting in Guatemala City, Guatemala (March 11-12, 2014). The purpose of this meeting was to assist the CAFTA-DR countries in formulating national level NDF's for sharks and to discuss the potential for a regional shark NDF. The general goal of this meeting was to assist all participating countries in implementing, to the best of their abilities, the CITES Appendix II shark listing resulting from the last CITES Conference of the Parties (CoP), which came into effect in the Fall of 2014. Overall, eight CITES Scientific Authority staff participated in the development of a regional NDF for highly-commercialized species. Following this, two experts were to travel to four countries in February 2014 and provide information and guidance to each country's national workshop. DOI-ITAP also collaborated with FWS (U.S. Fish and Wildlife Service), via an Inter-agency Travel Agreement (ITA), to support the participation of CITES authorities from El Salvador, Costa Rica, and Honduras at the International Workshop on Sharks hosted by the Government of Colombia in Santa Marta, Colombia (November 25-27, 2014). Following this, DOI-ITAP and Organization of the Fishing and Aquaculture Sectors of the Central American Isthmus (OSPESCA) organized a two-day workshop on Procedures and Regional Expertise for Making CITES NDFs for shark and ray species in Guatemala City, Guatemala (January 19-20, 2015). The 26 participants included CITES and fisheries officials from CAWEN/ROAVIS countries, OSPESCA officials, and members of OSPESCA's Sharks and Highly Migratory Species Working Group. DOI-ITAP engaged with FWS to provide funding for representatives from Nicaragua and Belize to attend as well. The objective of the workshop was to have CITES and Fisheries officials jointly review and coordinate the Regional Protocol proposals for making shark and ray NDFs. This protocol will serve as a reference to the governments of the Central American Integration System (SICA). Additionally, the Government of Costa Rica requested DOI-ITAP support for a tri-national exchange regarding shark data on March 24-27, 2015 in Punta Arenas, Costa Rica. This was a follow-up activity from the previous CITES NDF workshops organized and supported by DOI-ITAP in the region. Participants included CITES, fisheries, and environment officials from Costa Rica, El Salvador, and Guatemala. DOI-ITAP funded two technical experts, Drs. Javier Tobar and Leonardo Castillo, from INAPESCA/ Mexico to attend and share their expertise and information with the group.



Regional Expert Consensus Workshop for the Procedures for Making NDFs for species of sharks and rays of CITES Appendix-II in Central American Integration System (SICA) member countries in Guatemala City, Guatemala, January 2015.



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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.

To date, as a result of CAFTA-DR ECP work, several tools have been successfully developed and utilized. DOI-ITAP has developed and updated an interactive, electronic, comprehensive CITES course which is being used in DOI-ITAP supported activities and by CAWEN/ROAVIS members for their own in-house training. The course includes material on “best practices” for CITES and wildlife enforcement. The course has been uploaded to the CAWEN/ROAVIS website [www.roavis.net](http://www.roavis.net). Additionally, HSI has created a Spanish-language interactive animal handling curriculum CD and field guide and trained border officials, customs agents, national police forces, and government representatives to replicate future training, as part of a region-wide initiative. The animal handling CD is an ideal tool for border posts and jobs with a high-level of turnover, as it can be left at the post, is fully interactive, and comes with a pocket-size booklet. For the FY10 program, six workshops were carried out in CAFTA-DR countries (one in each country), with a total of 109 people, including government representatives, being trained on confiscated animal identification and handling, as well as 140 animal handling CDs and 250 field guides were distributed. In addition to the CD, a total of 500 copies of the Animal Handling Field Guide were printed as a complementary material to be distributed in workshops under the FY10 program.<sup>10</sup>

The strengthening of CITES implementation and enforcement capacities within national and regional institutions led to an increase in the number of government officials trained in relevant CITES regulations. By means of courses and capacity-building workshops delivered throughout the CAFTA-DR region, stakeholders, including participants from wildlife compliance, enforcement, and judicial agencies as well as custom officials, had a chance to improve their knowledge of CITES regulation and develop their skills with regard to investigations, confiscations, and fine issuance at customs. These individuals are now better acquainted with procedures to carry out wildlife inspections and implement CITES laws and regulations.

### ***Improved Protection of the Forests, Protected Areas, and the Management of Sensitive Ecosystems, with emphasis on Public Awareness Campaigns***

According to the Fourth Monitoring and Evaluation report status report, as a result of CAFTA-DR ECP support, 1.3 million ha of biological significance were under improved natural resource management, over 1,581,771 people were reached by specific outreach campaigns in protected areas, 33 workshops were organized in conjunction with DOI to address alternatives to poaching wildlife in rural communities and support alternative livelihoods, and over 1,107 people were trained in ecotourism and protected area management. During this period, Helvetas reported that over 40.2 ha were under improved technologies or management practices as a result of USG assistance; with 27 ha managed and protected against forest fires through the training of a forest firefighters brigade, and 18 hectares of mangrove repopulated (and monitored) with shellfish (concha negra) to promote this species conservation and sustainable use in Nicaragua. Also, 10,000 forest plants were grown in nurseries, which were distributed among the different sectors of the subsystems of protected areas of the Gulf of Fonseca, Nicaragua, to support the project’s reforestation aim to mitigate the silting of estuaries, and also to improve the quantity and quality of water infiltrating into aquifers. Moreover, the project has strengthened environmental management capacities and the participation of local structures in the management of natural areas of the subsystem of protected areas of the Gulf of Fonseca. As discussed in Theme A, the CAFTA-DR Helvetas program has trained 32,259 beneficiaries trained and 423,227 people directly involved in conservation and natural resource protection campaigns in the country specific projects on environmental conservation and management, and the sustainable use of natural resources. In addition, 233 individuals were trained in natural resource management, biodiversity conservation and endangered species protection under HSI.

<sup>10</sup> All activities from the HSI FY07 program have been reported in the last evaluation report.



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Overall, one of the most impressive results of CAFTA-DR ECP has been to engage 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 type of activities can help to 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.

DOI-ITAP has largely focused on the south-to-south promotion and replication of a successful public participation model to improve protected area governance and multi-sector decision-making, as well as supporting an outreach and educational campaign to raise the profile of the assets and threats to the MBR and MMCBR, which are important habitats for many CITES species. Previously, DOI-ITAP's in-country partner in Guatemala, Asociación Balam, successfully promoted the benefits of strengthening public participation as a tool for the protection and sustainable use of natural resources in the MMCBR. Through this work, government and community leaders of the MMCBR signed a formal agreement to work collaboratively, and learn from the successes of the DOI-supported Maya Biosphere Reserve Multi-Sector Roundtable that operates in northern Peten. They have since drafted plans and Memorandums of Understandings (MOUs) and developed tools to guide and monitor the development activities and environmental protection in the area. Guatemala's Vice-President Roxana Baldetti and DOI's Deputy Assistant Secretary for Policy and International Affairs participated in the Southern Inter-Sectorial Roundtable Meeting held in Peten in November 2013. During this meeting, VP Baldetti recognized this Roundtable as an official public participation venue to strengthen governance and encourage collaboration, and praised it as a model to be replicated elsewhere in the country. She also formally recognized DOI and the U.S. State Department for their role in facilitating a 'South-South' capacity-building approach, as well as DOI in-country partner Asociación Balam. VP Baldetti is now working through this Roundtable and the MBR Roundtable to directly and effectively communicate and better respond to local needs related to protected area management.

Additionally, there has been improved understanding of public participation as a best practice to improve cross-border governance in the MMCBR (Guatemala)-CNP (Belize). Guatemala-Belize bi-national joint activities have included DOI continuing to work with Asociación Balam and Friends for Conservation and Development (FCD, Belize-based NGO) to continue strengthening the transboundary protected areas along the Guatemala-Belize border and CONAP continuing to work with Balam and FCD on timber trafficking operations. Confiscations of timber being trafficked across the Belize-Guatemalan border increased from 2012 to 2013. Through the Southern Inter-Sectorial Roundtable and with DOI/Balam/FCD technical assistance:

- The Guatemala-Belize Roadmap, signed by the respective Ministries of Foreign Affairs, is being implemented;
- Guatemala and Belize are drafting a joint MOU, under the Guatemala-Belize Roadmap, to focus on the protection and sustainable management of natural resources;
- Cooperation Agreements were signed between three local communities and CONAP;
- The "Environmental Security Strategy for the MMCBR," with bi-national focus has been finalized, approved and implemented; and
- Guatemala and Belize have approved an "Environmental Education Plan" with a bi-national focus, to be implemented by the communities, CONAP, Balam, and FCD.





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## **Success Story 1. Increased Public Awareness for Issues in the MBR and MMBCR**

Environmental and Conservation Challenges in the MBR and MMBCR. The following are some of the associated links:

- TV Infomercial: “Reserva de la Biosfera Maya, una joya de la Humanidad” (“MBR, A Jewel for Humanity”) <http://www.youtube.com/watch?v=t7s9OndMaPk>
- The U.S. Department of the Interior Assists with the Conservation of the Maya Biosphere Reserve <http://agn.com.gt/index.php/component/k2/item/11074-el-departamento-del-interior-de-ee-uuy-su-apoyo-a-la-conservaci%C3%B3n-de-la-biosfera-maya>
- Uaxactun, a model community within the Peten jungle. <http://agn.com.gt/index.php/component/k2/item/11075-uaxact%C3%BA-centenariacomunidad-modelo-de-la-selva-petenera-guatemalteca>
- Vice President Baldetti Supports Inter-Sectorial Roundtable <http://guatemala.gob.gt/index.php/2011-08-04-18-06-26/item/6502-mesa-intersectorial-del-surde-pet%C3%A9n-destaca-apoyo-de-la-vicepresidenta-baldetti>  
<http://www.agn.com.gt/index.php/component/k2/item/10935-mesa-intersectorial-del-sur-depet%C3%A9n-destaca-apoyo-de-la-vicepresidenta-baldetti>
- Hope to triple tourism to the El Mirador Archaeological site <http://www.agn.com.gt/index.php/component/k2/item/11008-esperan-triplicar-el-n%C3%BAmero-de-turistas-que-visitan-sitio-arqueol%C3%B3gico-el-mirador>
- Military brigade with Focus on Ecology <http://agn.com.gt/index.php/component/k2/item/10875-una-brigada-de-infanter%C3%ADa-con-enfoque-ecol%C3%B3gico>

Also through the efforts of Asociación Balam, CONAP, and the local communities, awareness has been raised within the general public on the significance of and threats to the MMBCR resources. Multiple programs have been broadcasted over radio and television to continue emphasizing the need to prevent environmental crimes. The following programs were created and broadcast:

- Television Educational Programs: two 30-minute television segments on the trafficking of timber between Belize and Guatemala were broadcast on national television, raising the visibility of this issue at the national and bi-national levels. DOI, DOS, and the United Nations Food and Agricultural Organization (FAO) contributed to this production, which was led by CONAP, with technical contribution from Balam and FCD, among others. These programs were broadcast in two segments via the Guatemalan TV station, Guatevision, as part of their regular programming “A Fondo” (“In Depth”).
  - First segment, April 3, 2014: : <http://guatevision.com/?p=122#sthash.8gzOLktY.dpbs>
  - Second segment, April 10, 2014 <http://guatevision.com/?p=122#sthash.OEQ63qhP.dpbs>
- Press Conferences: three press conferences held on governance issues along the Belize-Guatemala border (adjacency zone).
- Radio Programs: 24 radio programs for the local population focused on the prevention of environmental crimes.



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The acquisition of quality baseline information is important for both developing successful public awareness campaigns, as well as for determining the success of any outreach campaign. In each of the CAFTA-DR countries an informal baseline survey was carried out by HSI and supporting local NGOs to gather perceptions related to wildlife. The baseline (and in the future, follow-up surveys) have been carried out in one large city, and in one small community within each country.

The survey included eight basic questions within the following categories:

- Knowledge of the definition of wildlife;
- Illegal wildlife as pets;
- Specific perceptions of problems, ranked in order, that affect wildlife;
- Behaviors related to wildlife protection;
- Vulnerable wildlife species per region;
- Participation in specific activities related to wildlife protection;
- Knowledge of wildlife legislation; and
- A special ninth question about specific problems identified in the previously selected rural community. The local partners helped to create each of these specific questions for the surveys.

The specific rural and urban communities, as well as local partners for each country are as follows:

**Honduras:** Local partner Asociación Hondureña Protectora de los Animales y su Ambiente (AHPRA) conducted the surveys for both the rural and urban areas. Comayagua Department was selected as the rural area, and Tegucigalpa as the urban location. Comayagua is located in one of the biggest trafficking areas (and where many confiscations take place) in Honduras.

**Nicaragua:** Fundación Cocibolca implemented both the rural and urban area surveys. They selected Granada for the urban area and Aguas Agrias as the rural area. Granada is a major city located close to the Costa Rican border, recognized for the amount of tourism it receives. Aguas Agrias is a small town near Granada and the Mombacho reserve, and is well-known for selling wildlife as pets.

**Guatemala:** NGO Asociación de Rescate y Conservación de Vida Silvestre (ARCAS) implemented the rural survey in the Uaxactún community in Flores, Petén. Uaxactún is an important area because it is a border town to the rescue center's release sites, and has a notably significant problem with hunting. In the urban area, NGO Zootropic conducted the survey in the capital of the country, Guatemala City. It is a crucial target, as the largest numbers of trafficked animals often end up in major and capital cities.

**Costa Rica:** For the rural area, local partner Fundación Corcovado selected the community of El Progreso, in Osa Peninsula to conduct the survey. The Osa Peninsula houses a great number of important species for Costa Rica and also shares release sites with other rescue centers in the country. San José, Costa Rica's capital, was where the urban campaign took place.

**Dominican Republic:** Local partner Fundación Dominicana de Estudios Marinos, Inc. (FUNDEMAR) implemented the survey in the rural Boca de Yuma community, located next to the Parque Nacional del Este, one of the more vital sites for wildlife in the country. New partner Sociedad Ornitológica de la Hispaniola (SOH) conducted the survey in Santo Domingo, the country's capital, for the urban area.

**El Salvador:** Local partner SalvaNatura undertook the survey in the rural area La Union, located in an area



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with high amounts of illegal trade and in the urban area of San Salvador.

The twelve baseline studies were completed in all six countries (interviewing a total of 1,200 people) and HSI is currently finishing the baseline data analysis. The surveys provided valuable information about how the campaigns need to be focused to people's general knowledge in all twelve locations. This database will be compared after the implementation of the outreach campaigns to document changes in people's perceptions about wildlife in each area. HSI has also been working with partners in the development of media outreach campaigns. Most campaigns have been approved, and Honduras, Nicaragua, and Guatemala have already implemented the campaigns. Local partners in Honduras, Nicaragua, Guatemala (rural area), and Dominican Republic (rural area) are using previously developed materials; however, the message has been updated with improvements gained from analyzing the surveys. The other partners are developing new materials. Specific information on the awareness campaigns are as follows:

**Honduras** was able to obtain additional exposure than originally planned with an additional three free months of transmission of artwork on a digital billboard located in the urban area (Tegucigalpa).

**Nicaragua** successfully distributed their campaign "*Tu casa no es mi casa*" in communities around the Mombacho Volcano Wildlife Reserve and Aguas Agrias, with the help of government environmental volunteers "Los guard-abarrancos" to distributed materials (e.g. posters and stickers). About 630,400 people were reached through its campaign in the Granada Department, as a result of the outreach materials such as radio ads and radio interviews.

In **Guatemala**, local partner Zootropic in conjunction with CONAP has developed outreach materials to be displayed for tourists in Aurora International Airport in Guatemala City, highlighting the importance of not purchasing souvenirs and materials made from wildlife products. In Guatemala's rural area, Uaxactún, local partner AR-CAS has been working together with CONAP to place billboards highlighting the consequences of illegal hunting and wildlife extraction. They also will be developing educational workshops with school children and high school students in the community.

**Costa Rica** has been actively distributing the outreach materials in El Progreso community, and surrounding areas in the Osa Peninsula.

**Dominican Republic** local partner SOH, has been developing draft artwork to be distributed in Santo Domingo and FUNDEMAR is working to print and distribute the materials in Boca de Yuma.

In **El Salvador**, the Ministry of Environment (MARN), will be using a wildlife campaign created by local university students, that contains messages according to the target audience. MARN and HSI will review the materials and update them as needed before distribution in San Salvador and La Unión areas.

The HSI program will also provide funding and training for economic alternative investment for community members in one community of each country. To date, Costa Rica and Nicaragua have begun the process. The group Asociación Conservacionista para la Protección de la Tortuga Marina del Progreso (ACOTPRO) will be developing a patrol program for marine turtles in El Progreso, Costa Rica and have already completed the training on economic alternatives to wildlife poaching. The workshop with ACOTPRO was held on March 4, 2015 with the attendance of fifteen participants and the participation of SINAC (Environment Ministry). Fundación Cocibolca held a workshop in Aguas Agrias and surrounding communities in Nicaragua on February 10, 2015. A total of 50 participants attended the workshop, which also had the participation of the CITES Management Authority, MARENA, to present relevant information about wildlife legislation. Moreover, in Granada, a total of 168 people were trained in wildlife legislation, campaign materials and economic alternatives in that area. Local partners will be identifying the remaining four groups for workshops in Uaxactún, La Unión, Boca de Yuma and Comayagua during next period. An economic incentive will be distributed among these communities to back up their economic alternatives to illegal poaching and illegal extraction of wildlife in the area. Therefore, information on the number of people who derive economic benefits from sustainable management and alternative livelihood practices should be available during the next reporting period. Additionally, information about traffic routes and traffickers were gathered in



Costa Rica and Nicaragua rural areas. The four communities' information about wildlife trafficking in Guatemala, Honduras, El Salvador and the Dominican Republic will be collected during the next period.

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## Theme C – Market-Based Conservation

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

Under this goal, the focus is on the implementation of a market-based conservation system, centering around 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.

**Goal C** has one expected result:

Improved management and conservation of the environment through: ecotourism, the production of crops favorable to the environment, and the commercialization of forest products and practices with ecological certification.

### Key Findings

- Ten school gardens are functioning and information transfer has reach around 500 families, providing a healthy, organic intake of food, as well as some income generation in Honduras.
- Three cooperatives have been strengthened and supported to establish fish cultivating farms and shellfish harvesting in Nicaragua.

To measure this result, OAS-DSD designed specific indicators that capture information on visible/measurable changes in agricultural practices and farm management, increased revenues for producers, and benefits for the environment derived from improved practices.

Indicator [note 1]	Baseline [note 3]	Progress [note 2]
<p>Number of community members, producers trained in the development of ecotourism, and or sustainable agricultural practices</p>	<ul style="list-style-type: none"> <li>• 68 community members trained in ecotourism.</li> <li>• 208 producers trained in the implementation of sustainable agricultural practice.</li> <li>• Development of 2 manuals for sustainable ecotourism.</li> <li>• 10 training manuals addressing sustainable agricultural practices in process of validation (all reported in 2014).</li> </ul>	<p>Ten school gardens (reaching approximately 500 families) have been established and are functioning, giving school students an organic and healthy intake of food in Honduras. Also, 1,120 persons (714 women) have been trained in managing school gardens and other related aspects (organic food, compost, food preparation).</p> <p>Three cooperatives have been strengthened and supported to establish fish cultivating farms and shellfish harvesting in Nicaragua. Also, 14 communities have become knowledgeable regarding the sustainable use of natural resources, especially fish and shellfish, and managing mangrove concessions. Training also provided to identify potential tourism opportunities. LIDER, one of the Small Grantee, contributes to sustainable tourism in the region by supporting six local small tourism businesses (restaurants, hotels, community tours, etc.)</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 USG assistance</p>	<ul style="list-style-type: none"> <li>In 2008 4,806 farmers grew certified bananas, coffee and cocoa with increased economic benefits, rising to 6,912 farmers in December 2012.</li> <li>Very little cacao grown or cocoa grown at traditional prices and with quality issues. As of 2014, 400 producers received increased economic benefits.</li> <li>600 (530 men, 70 women) (reported in 2014)</li> </ul>	<p>School gardens have been replicated in many homes, which has improved food security and in some cases even created surplus production (some income has been generated).</p> <p>Supposedly some income generation from tourism activities.</p>
<p>Number of hectares under improved technologies or management practices as a result of USG assistance</p>	<ul style="list-style-type: none"> <li>104,129 ha (2008); 187,898 ha.(October 2013)</li> <li>561 ha of cocoa were under improved production practices and additional 1,483 ha of forested areas surrounding cacao-producing areas (reported in 2014)</li> <li>625 ha</li> </ul>	<p>20 ha under improved technologies or management practices as result of the ECP.</p> <ul style="list-style-type: none"> <li>27 ha managed and protected against forest fires through the training of a forest firefighters brigade.</li> <li>18 ha of mangrove have been repopulated (and monitored) with shellfish (concha negra) to promote this species conservation and sustainable use.</li> </ul>
<p><b>Notes:</b></p> <p>1. OAS-DSD had developed ten indicators to assess the impact of environmental legislation and preservation. However, seven of these indicators could not be addressed due to lack of supporting/substantiating information.</p> <p>2. Due to the crosscutting nature of CAFTA-DR ECP, progress in market-based conservation achieved by implementing agencies has been reported under previous Themes.</p> <p>3. Please see the CATA-DR 4th Monitoring Report for past baselines and results achieved for the seven indicators not provided here.</p>		

## Results and Impacts

During the last reporting period several projects linked to Theme C yielded clearly tangible impacts, both for the populations whose livelihoods come from the forest and plantations, and for the environment from which they get their living. Advances were 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, the 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



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farmers who had abandoned cacao plantations or were having very limited yield, to enhance their production. These extremely successful projects have now come to a close and currently no projects are specifically focusing on market-based conservation issues. Indirectly, a couple of the Helvetas small grants projects have addressed some of the market-based conservation indicators, so these will be discussed.

The MAMUCA project in Honduras has worked in ten communities, establishing ten school gardens and ultimately reaching approximately 500 families. These functioning school gardens have resulted in students receiving an organic and healthy intake of food. Also, by utilizing the methodology “learning by doing”, MAMUCA has ensured that the technical assistance and training received by children will be replicated in their homes, with the participation and collaboration of the family. Ultimately, this has helped families acquire food security and in some cases even surplus production, which has allowed for some economic benefits in the form of income generation. In addition, 1,120 individuals (714 women) have been trained in managing school gardens, organic food, compost, and food preparation.

In Nicaragua, LIDER has aided in the strengthening of three communities including La Ballona, Kilaka and Kilakita. Support has been provided to help them establish fish cultivating farms, specifically using floating cages to house spotted rose snapper (pargo lunarejo), as well as sustainably harvesting shellfish (concha negra). Workshops have been given in 14 communities to educate individuals on the sustainable use of natural resources (particularly fish and shellfish), fish nurseries, fish reproduction, and the management of mangrove concessions. Additionally, technical assistance, specializing in hormone induced breeding of spotted rose snapper has been provided. The Nicaraguan Institute of Fisheries, INPESCA, has guaranteed to facilitate obtaining Human Chorionic Gonadotropin Hormone (Chorulon), which is used in the process of hormone induced spawning of marine fishes, as well as to support the process of certifying the reproducing alpha males of spotted rose snapper. In regards to shellfish, 40.2 hectares of mangrove have been repopulated with concha negra in an effort to promote this species’ conservation and sustainable use. Monitoring of shellfish populations will also be undertaken in the areas that have been assigned for sustainable exploitation. Finally, a training event was provided to the cooperatives to identify opportunities for services and tourism. It has been found that linking economic alternatives to rural tourism has allowed for the expansion of revenue generation, while improving community relations.

At the impact level, OAS-DSD has assessed existing mechanisms to support the sustainability of benefits gained by producers. The primary market-based conservation tools to achieve this are product certification and enhancements in the organizational capacity of producers’ cooperatives. Undoubtedly, the enhancement in the organizational capacity of the communities will help to support the sustainability of benefits gained by producers.

## **Theme D – Environmental Performance of the Private Sector**

Goal: To improve the environmental performance of the private sector

Under this goal, the purpose is to promote the adoption of clean production methods and environmental management systems to improve a company’s competitive advantage by reducing resource consumption and waste. 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.

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### **Key Findings**

- CAFTA-DR ECP supported 56 companies implement cleaner production technologies.
- Overall, US\$353,946 was saved, US\$304 476 invested, leading to US\$49,470 net savings by participating SMEs.



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- Over 300 students have participated in practicum courses focusing on cleaner production.
- Reported energy savings due to this program totaled 294,325 kWh.
- Reported water savings totaled 8,010,368 gallons.
- Reported savings of 433 tons of CO<sub>2</sub>.

To improve the private sector’s environmental performance efforts will be made through cleaner production strategies, environmental management systems (EMSs), voluntary mechanisms, public-private associations, and by building stronger institutional and human resource capacity. 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 related to Theme D 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.

The main expected results for Theme D are:

- Improved trade policies and incentives related to environmental issues.
- Greater private sector commitment to environmentally responsible 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.

OAS-DSD designed a set of impact indicators specific to this theme. Some indicators 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. Two indicators were also added to allow for the incorporation of activities by HED, which has focused on cleaner production recommendations by students, educational activities, as well as outreach and marketing. El primer resultado capta lo que se puede hacer a través del proceso de “incentivos”. Por ejemplo, se pueden desarrollar y adoptar políticas, se pueden conformar comités sobre temas específicos y se pueden desarrollar y poner en práctica incentivos. El segundo resultado se centra directamente en el comportamiento de las empresas. Aquellas empresas que sepan, estén comprometidas y tengan la capacidad de emprender una acción ambientalmente responsable utilizarán tecnología de producción limpia, adoptarán prácticas de ecoeficiencia y utilizarán sistemas de gestión ambiental.

El DDS de la OEA diseñó un conjunto de indicadores de impacto específicos para este tema. Algunos indicadores están diseñados para captar los cambios cuantificables pertinentes dentro de las prácticas agrícolas e industriales y la gestión empresarial. Los demás indicadores dentro de este conjunto capturan los beneficios económicos (es decir, mayores ingresos para los productores y propietarios de negocios) y los beneficios ambientales asociados a estas prácticas mejoradas. Además, se agregaron dos indicadores para facilitar la integración de las actividades de la HED, que se ha centrado en las recomendaciones de producción más limpia hechas por estudiantes, en actividades educacionales, divulgación y mercadeo.



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Indicator [note 1]	Baseline	Progress [note 2]
Number of enterprises which received environmental certifications/recognitions during the program performance period	Local partners provided project recognition to participating SMEs for their active work and achievements (reported in 2014).	No mention of specific certifications or recognitions given during this period.
Change in SMEs' energy use [measured in kW] Change in SMEs' fuel use [measured in gallons] Change in SMEs' water usage [measured in gallons] Change in SMEs' generation of waste/pollution [measured in tons] Change in SMEs' generation of wastewater [measured in gallons] Change in SMEs' GHG emissions [measured in tons of CO <sub>2</sub> ]	From March 2014 report: <ul style="list-style-type: none"> <li>• Energy savings of 927,053 kWh/year.</li> <li>• Water savings of 9,348,504 gallons/year.</li> <li>• Solid waste reductions of 155 tons/year.</li> <li>• Wastewater reductions of 1,329,504 gallons/year.</li> <li>• Greenhouse gas (CO<sub>2</sub>) savings of 13,000 tons/year.</li> <li>• Greenhouse gas (CO<sub>2</sub>) savings of 2,034 tons/year.</li> </ul>	As of March 2015, 43 of the companies that have implemented action plans recommended by students have achieved the following relevant results: <ul style="list-style-type: none"> <li>• Gallons of water saved: 4,247,766</li> <li>• Electric energy reduced: 131,300 kWh</li> <li>• Fuel saved: 517 gallons</li> </ul> Specifically, four Salvadoran companies reported 583,795 gallons of water, 990 gallons of fuel, and 87 tons of CO <sub>2</sub> have been saved and 73,725 kWh has been cut from usage.  Honduran Project final results (14 companies started, 11 finished completely) total achieved saving:  Solid materials [ton]: 5 Liquid materials [m <sup>3</sup> ]: 0.18 Solid Product [ton]: 1,049 Liquid Product [m <sup>3</sup> ]: 14 Water [m <sup>3</sup> ]: 14,243 Electric Energy [kWh]: 163,025 Thermal Energy [kWh]: 20,122 Solid materials [ton]: 87 Wastewater (volume) [m <sup>3</sup> ]: 9,380 Wastewater (pollution - organic material) [m <sup>3</sup> ]: 0 Direct emissions CO <sub>2</sub> [tons]: 346
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)	<ul style="list-style-type: none"> <li>• By 2011 , 36 participating companies had invested approximately US\$ 1,358,000 and obtained economic benefits of US\$ 1,800,000</li> <li>• (33% profitability ratio between savings and investments).</li> </ul>	As of March 2015, in 43 companies: <ul style="list-style-type: none"> <li>• Investments realized by companies:US\$81,978.</li> <li>• Dollars saved: US\$96,108, through energy and water reductions, waste disposal and raw material savings.</li> <li>• Salvadoran companies (4) savings of \$42,467 and investments of \$19,381.</li> </ul>





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	<ul style="list-style-type: none"> <li>By Dec. 2013, savings of US\$ 1,195,318 and investment of US\$ 880,596 (36% profitability ratio between savings and investments).</li> </ul>	<ul style="list-style-type: none"> <li>Costa Rican companies (participating in semester 2, 2013), \$17,259 of investments, and savings data is being collected.</li> <li>Nicaraguan companies have invested \$19,526 and saved \$14,309.</li> <li>Honduran companies have invested \$7,427 and reported savings of \$1,866.</li> <li>Guatemalan companies (12 companies) have invested \$4,538.</li> <li>Peruvian companies (4) have invested \$12,902 and saved \$39,403, with a great potential for improvement.</li> </ul> <p>Honduran Project final results: During the 21 months of the effective implementation period (July 2012 to March 2014) the companies saved US\$ 257,838 (based on the 13 participants). Actual investment by companies during the project reached US\$ 222,498. Thus, 16% profitability ratio between savings and investments.</p>
<p>Perception of key stakeholders on the environmental and economic benefits stemming from the use of cleaner production techniques</p>	<p>The private sector is showing a fast-growing interest in implementing cleaner production practices, because adopting such practices leads to tangible environmental and economic benefits (reported in 2014)</p>	<p>Caprina operators (Costa Rican company) that attended the course on implementing CP and SID remarked that the workshop not only expanded their understanding of cleaner production, but specifically, expanded their awareness of how they could incorporate more natural resources into their business to implement CP approaches.</p> <p>Positive cases where companies showed that, indeed, the action plans have positively benefited their operations and performance.</p> <p>The Peruvian wooden furniture company, Ebanistería Romero, has taken into high consideration for its production process the recommendations received, and the best practices learned through the training workshops and the series of site visits</p>
<p>Number of SMEs that successfully accessed bank loans or private equity as a result of USG assistance</p>	<p>In most cases where SMEs required investments to purchase equipment to improve their operations, they used internal funds instead of bank loans to make their purchases</p>	<p>Baseline still seems to be the case.</p>



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<p>Number and percentage of SMEs that have adopted new technologies or practices to respond to environmental standards</p>	<p>Over 714 companies in cleaner production technologies (reported in 2014).<sup>11</sup></p>	<p>Implementation phase has started in all countries, in 43 companies of 88 companies (48%) where students developed CP diagnostics.</p> <ul style="list-style-type: none"> <li>As of March 2015, the number of companies that have (are) received technical assistance on CP/EE: 72.</li> </ul> <p>Honduran Project: 14 companies started. During the 24 months of the assistance provided to SMEs, from March 2012 to February 2014, 13 companies participated in the project of which 11 (85 %) participated more actively.</p>
<p>Types of technologies or practices adopted and implemented in SMEs and in the industry to respond to environmental standards</p>	<p>174 action plans (technologies and/or practices) as a result of the CAFTA-DR ECP and 11 generated by companies themselves (reported in 2014).</p> <ul style="list-style-type: none"> <li>Energy and water consumption reduction strategies;</li> <li>Solid and liquid input reduction;</li> <li>Waste material reduction and contamination prevention;</li> <li>Re-use of organic waste and energy generation from biomass;</li> <li>Air emissions reduction;</li> <li>Implementation of EMSs;</li> <li>Environmental and climatological monitoring and data analysis.</li> </ul>	<p>USAID/EPA: Low Emissions Development Strategies in Costa Rica in the agriculture and livestock sectors.</p> <p>CP and SID recommendations to companies, but these have not yet been reported as adopted or implemented. During the reporting period (April 1-Sept 30, 2013), 11 MSMEs in Costa Rica, Dominican Republic, and El Salvador received a total of 69 CP and SID recommendations from students engaged in the cleaner production practicum courses.</p> <p>43 companies have implemented all types of recommendations in all environmental aspects.</p> <p>Honduran Project final results  Total number of recommendations: 115  Materials: 7  Product: 3  Water: 45  Electric energy: 28  Thermic energy: 15  Solid waste: 4  Wastewater: 6  Emissions: 0  Others: 7  Of the recommendations, 64 (56%) were implemented.</p>

<sup>11</sup> See CAFTA-DR 4th Monitoring Report for specific details.



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Educational activities relating to cleaner production and industrial sustainable development strategies	N/A	<p>Significant progress toward the objectives of strengthening the capacity of Latin American institutions to teach the next generation of cleaner production professionals and creating a forum for systematic collaboration and information sharing among the partners.</p> <p>As of March 2015, after collecting data at the participating companies of the project that have implemented action plans recommended by students, the following are relevant results:</p> <ul style="list-style-type: none"> <li>• Number of practicum courses: 16.</li> <li>• Number of students that have participated in practicum courses: 301.</li> </ul>
Marketing and Outreach for promoting CP/EE technologies to SMEs		<p>Advancements have also been made in the development of joint research initiatives, including the conditional acceptance of one research paper developed jointly by IIT and UCA faculty, "From Cleaner Production to Sustainable Development: The Role of Academia" by the Journal of Cleaner Production.</p> <p>WEC supported IIT/NYIT research objectives, participating in one of the research studies: Market Incentives in Latin America.</p> <p>WEC also worked on a "lessons learned document" in each country considering the point of view of the main stakeholders of the project (Companies, Professors, CP Centers and Students).</p> <p>Honduran Project final results:</p> <ul style="list-style-type: none"> <li>• Publication of four articles that promote CP/EE/EMS projects and results through local industrial association magazines.</li> <li>• The project team increased the project promotion during this reporting period, reaching local newspapers, industry magazines, TV channels, and radio stations.</li> </ul>

## Results and Impacts

### *Environmental and Economic Benefits*

Impressive results were reported in the last evaluation report, as CAFTA-DR ECP supported over 714 companies in cleaner production (CP) technologies, resulting in nearly 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



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of water, 155 tons/year of solid waste, and 1,329,504 gallons/year of wastewater. Moreover, nearly 100 professors, students and other stakeholders were trained in CP. There continues to be a growing interest 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 EP and EE practices and technologies.

USAID/EPA has specifically been working with companies in the agricultural and cattle sector in Costa Rica, focusing on GHG (Greenhouse Gas) emissions and promoting cost effective, low-emission management practices throughout the country. Examples of cleaner production projects are being implemented in Guatemala, El Salvador, Nicaragua, Honduras, Costa Rica, Dominican Republic, and Peru, as well as an additional project in Honduras has come to a close. WEC trained selected SMEs locally, often with the help of student interns, to assist them in developing action plans to sustainably improve their manufacturing operations and environmental performance.

USAID has developed a work plan to support a low emissions transport sector. This work, implemented by EPA, will kick off in April to include activities to restrict import of secondhand vehicles, set emissions standards for new buses, explore an emission taxes during annual vehicle registration, and increase awareness for emission controls and diesel technologies.

**Case Study 1. Enhancing Capacity for Low-Emission Development Strategies (EC-LEDS) in Costa Rica**

Costa Rica has the goal of becoming a carbon neutral country by the year 2021. Their roadmap for achieving this goal is the *Estrategia Nacional de Cambio Climático* (ENCC)—National Climate Change Strategy—published in 2008. Through the EC-LEDS program, Costa Rica and the United States are working together to improve data, support policies, and facilitate decision-making and actions that have the greatest impact towards the country's low-emission path, specifically focusing on GHG emissions in the agricultural and cattle sector. Several important developments have included:



**Improving Livestock Management.** EC-LEDS has partnered with Costa Rican agricultural experts to collect, monitor, and analyze GHG emissions data from dairy operations. The approach used was undertaken with the country's largest dairy producer and now serves as a model for promoting cost effective, low-emission livestock management practices throughout the country.

**Indicators for Monitoring Livestock Sector GHG Emissions Adopted.** In 2014, with EC-LEDS support, the cattle sector adopted a set of indicators to monitor GHG emissions across the country. This pilot program, combined with the emissions profile, are critical for establishing baseline data and setting up a monitoring, reporting, and verification system, which will be utilized in tracking the future implementation of a nationally appropriate mitigation action for the cattle sector.

**Channels for Sharing Low-Emission Livestock Management Strategies Established.** EC-LEDS and Costa Rican agricultural experts collaborated to identify and demonstrate cost-effective strategies to mitigate greenhouse gas emissions in Costa Rica's livestock sector. These strategies included manure management, feeding strategies, and land-use practices. The team established a cattle low-emission working group, involved key public and private sector stakeholders, and developed a website in Spanish to support this effort in 2013

Overall, this program with the goal of assisting Costa Rica to reduce the GHG from the agricultural and cattle sectors could serve as a model for other countries in the region. Also, some of the current findings should be published in the scientific literature to set a precedent as the first sulfur hexafluoride (SF6) tracer technique used at such magnitude in Central America for the comparison of methane emissions.

*Information obtained from the website <https://www.ec-leds.org/countries/costa-rica> - Accessed October 15, 2015*



## Success Story 2. Enhancing SME's Environmental Performance in Honduras SME's

Fourteen SME's signed the participation agreement for the WEC program in Honduras, with seven companies representing the Federation of Agroexporters of Honduras (FPX) and seven companies the Federation of the Poultry Sector of Honduras (ANAVIH). When the project started in March 2012, with the exception of two companies, the selected companies did not have EMSs, controls to reduce pollution, or even basic controls to measure water or energy consumption. Of the original 14 participating companies, one (Avicola Zelaya) withdrew before becoming active. The other three that ultimately withdrew from the project did participate partially and are therefore included in the number of participating companies. The CP/EE audit reports identified opportunities to implement that were customized to each SME based on their assessments, such as materials and product recovery, water consumption reduction, and the efficient use of electrical and thermal energy. Overall, a total of 115 recommendations were made (materials: 7, product: 3, water: 45, electric energy: 28, thermic energy: 15, solid waste: 4, wastewater: 6, emissions: 0, others: 7). Of these recommendations, 64 (56%) were implemented. Seventy-five percent of the implemented options were related to water and energy, while the rest primarily focused on materials, product, and solid waste. In the case of the 51 (44%) recommendations that were not implemented, 23 of these (45%) were related to water, 11 (21%) were related to electrical energy, six (12%) to thermal energy, and the rest focused on waste water and solid waste aspects. From these recommendations significant saving were achieved including: 5 tons of solid materials, 0.18 m3 of liquid materials, 1,049 tons of solid product, 14 m3 of liquid products, 14,243 m3 of water, 163,025 kWh of electrical energy, 20,122 kWh of thermal energy, 87 tons of solid materials, 9,380 m3 of wastewater (volume), and 346 tons of direct emissions of CO<sub>2</sub>. During the 21-month period of implementation (July 2012 to March 2014) the companies saved US\$257,838 (based on the 13 participants) and actual investment reached US\$222,498, which was only 48% of the projected investment. This reflects the fact that companies focused on investment opportunities that required no or very low investments; and some companies did not implement opportunities exactly as was suggested by the technical team, seeking alternative solutions to obtain similar or partial results (usually lower) with lower costs. Ultimately, a total of US\$35,340 was saved by companies after accounting for investment costs. Overall, the average saving was US\$19,830/company (based on the 13 participants), and the average investment was US\$17,115/company. By sector the ratio of investment to savings during the life of the project was greater in the poultry sector (investment US\$126,992, savings US\$78,274) than in the agroindustry (investment US\$95,506, savings US\$179,565). Importantly, the annual saving forecast is expected to be US\$174,425/year in the poultry sector and US\$134,264/year in the agroindustry sector. These continued saving will hopefully attract other companies in these sector to implement similar CP and EE technologies.



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As of March 2015, WEC reported that the implementation phase had begun in all countries, and specifically in 43 of the 88 companies (48%) where students had developed CP diagnostics. All types of recommendations have been implemented, and in all environmental aspects. The WEC project had already advanced sufficiently to start data collection on the implementations realized by companies based on the students' recommended action plans. Preliminary results are positive, with implementations from the action plans positively benefiting companies' operations and performance.

Companies that have implemented action plans recommended by students have contributed to the following environmental benefits:



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- Water saved: 4,247,766 gallons
- Electric energy reduced: 131,300 kWh
- Fuel saved: 517 gallons<sup>12</sup>

Specifically, the first results reported by the four Salvadoran companies showed that they have saved 251,691 gallons of water, 478 gallons of fuel, and 25 tons of CO<sup>2</sup>, as well as cut from usage 20,544 kWh as a result of implementations. Salvadoran companies have continued with changes that have improved their processes, which have continued to create positive impacts at the companies. Specifically, 583,795 gallons of water, 990 gallons of fuel, and 87 tons of CO<sup>2</sup> have now been saved, and 73,725 kWh have been cut from usage. To date, companies in other countries have not yet reported their energy and materials savings.

Overall, participating companies have invested US\$81,978; however, have saved US\$96,108,<sup>13</sup> through energy and water reductions, waste disposal, and raw material savings. Specifically, participating companies in each country have reported the following:

- El Salvador: preliminary results from the four Salvadoran companies showed that they have saved \$13,826 and invested \$10,578, and subsequent results, from implementations continued over time, have led to savings increasing to \$42,467 and investments reaching \$19,381.
- Costa Rica: the first group of companies participating in semester two of 2013 invested \$17,259 and savings data is being collected.
- Nicaragua: companies have invested \$19,526 on purchasing equipment for improvements based on students' recommendations and saved \$14,309.
- Honduras: companies have invested \$7,427 and reported savings of \$1,866.
- Guatemala: companies (12 companies) have invested \$4,538 as of March 2015; minor savings are expected to be reached during the life of the project, considering this was the last country to be included in the project.
- Peru: the four participating companies have invested \$12,902 and saved \$39,403.

HED practicum students have provided a wide range of CP and SID recommendations to companies (i.e. installation of a cooling tower, installation of solar collectors, change the guillotine power unit, etc). As of September 2013, 11 micro, small and medium enterprises (MSMEs) in Costa Rica, Dominican Republic, and El Salvador received a total of 69 CP and SID recommendations. However, as none of the participating MSMEs reported implementing any of the recommendations during the reporting period, this data will be discussed in future reports. Several challenges have become apparent in regards to implementing the student recommendations in the participating MSMEs. Many of the MSMEs lack the tools to measure and implement the recommendations. This has led to the development and execution of some workshops to address this. Also, although the participating MSMEs are engaged in the partnership with the expectation that they will enhance their efficiency and generate cost savings, there is no mandatory timeline or enforceable mechanism for ensuring that MSMEs do, in fact, adopt some or all of the student recommendations. Through discussions, the partners, working closely with WEC, determined that helping the MSMEs understand the tangible benefits of implementing CP practices, despite the initial investment costs, in addition to enhancing their technical knowledge of how to implement these practices are key elements that will likely increase the likelihood of recommendations being

<sup>12</sup> The total fuel saved provided by WEC is lower than that of the El Salvadoran companies. Perhaps there is an error in one of these numbers.

<sup>13</sup> Numbers are close by not exactly the same numbers when results from the individual countries are added up.



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implemented.

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. Energy continues to be the environmental aspect where companies have saved and invested more, although the recovery of materials is the category that often provides a shorter return on investment. Monitoring the tangible, long-term impacts of the implementation of cleaner production and energy efficient practices is not a simple task. Nevertheless, WEC has been able to track several indicators in cooperation with the participating businesses, including the use of energy, the generation of waste and wastewater, the use of raw materials and water, greenhouse gas emissions, and the monetary savings achieved through the implementation of all the action plans devised locally for each enterprise. It has been a common misconception that the greatest opportunity for savings lies in reducing energy consumption, but this is only true for companies that have already optimized their processes. In general, small companies tend to have less sophisticated production processes that depend largely on human labor. Overall, the implementation process has provided three significant results. First, many companies have been able to improve their environmental performance, which could consequently also mean their compliance with national environmental protection legislation and regulations. Second, companies have started to report steady savings (in conjunction with increased environmental benefits) from these implementations. Overall, the combined investments made by the participating enterprises to reduce their impact on the environment have already been surpassed by the savings, and undoubtedly with time this will be the case for all individual companies. Because cleaner production strategies for environmental protection are generally considered as an expense to increased future profitability, it is expected that with raising awareness more SMEs will implement such strategies, and that it will expand to other areas of production. Finally, some companies have improved or, in some cases, established environmental management systems that will further facilitate their environmental certification processes that provide greater export opportunities. Ultimately, WEC is helping to create a culture of environmental monitoring among the participating businesses.

### **Success Story 3. Positive Perception of Stakeholders**

The Costa Rican company Caprina whose operators that attended the course on implementing CP and SID technologies remarked that the workshop not only expanded their understanding of cleaner production, but specifically, expanded their awareness of how they could incorporate more natural resources into their business to implement CP approaches.



Industry Representatives in San Jose, Costa Rica engage in a discussion on residual solids through the industry workshop organized by TEC in May 2013

The public and private sectors have both shown clear signs of increased interest in cleaner production. For example, from 2008 to 2013, the number of SMEs voluntarily adopting cleaner production practices and technologies, as a result of ECP projects, reached 714. Since 2013, an additional 56 SMEs have also voluntarily implemented such technologies. The benefits of investing in cleaner production practices and technologies are often not initially obvious to SMEs. But as the dual benefits of reduced environmental impact and increased profitability become more widely recognized and understood, more SMEs are expected to adopt clean production practices, beyond the scope of the projects initiated under the ECP within CAFTA-DR countries.

Another important outcome of the ECP is an increase in the number of classes and research focused on CP within research centers and universities, along with current CPCs. The CPCs play an active role in supporting academic



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institutions and students to develop curricula, skills, and innovative knowledge to expand the use of cleaner production and seek improved solutions. The younger generation is passionate about cleaner production as part of an emerging culture of sustainable development and environmental awareness. Importantly, the number of professionals trained to implement cleaner production practices is not keeping pace with the rising demand. To address this issue, WEC-HED launched in 2012 the Pathways to Cleaner Production Initiative, which has the goal of helping to build a modern workforce by emphasizing education and training and engaging the next generation of engineers and technicians in working with the private sector to develop responsible and sustainable business practices.

HED has made significant progress toward its objectives of strengthening capacity of Latin American institutions to teach the next generation of cleaner production professionals, imparting knowledge of CP and sustainable industrial development (SID) practices to MSMEs, and creating a forum for systematic collaboration and information sharing among the partners. HED has been particularly effective in their efforts to enhance the knowledge of students, faculty, and local businesses in CP and SID practices and have demonstrated flexibility and innovation by developing new approaches for recruiting MSMEs to participate in the practicum courses. HED exceeded anticipated targets for the FY2013 fiscal year in the areas of: outreach/extension, with 13 activities; short-term training, with 119 trainings; direct beneficiaries, with 179 individuals; and experiential/applied learning. Therefore leading to a deeper engagement with community stakeholders, a greater participation in workshops, and more learning opportunities for students to apply their classroom knowledge in real-life environments than originally anticipated. This was largely a result of three factors: the unanticipated expansion of the initiative into Honduras and Nicaragua, expanded attendance of students and community members at the capacity-building workshops, and the launch of two pilot courses prior to their originally anticipated start dates. Throughout the region, hundreds of students have graduated from environmental, industrial, and chemical engineering and business management programs with a focus on cleaner production. Many of these students have undertaken internships within SMEs, where they have performed environmental audits, developed EMSs and proposed tangible solutions for reducing SMEs’ impact on the environment, while increasing their profitability and competitiveness. As of March 2015, the WEC project reported participating in developing the practicum guide (manual) for the participating universities and being involved in the running of 16 practicum courses, in which a total of 301 students have participated. A key target during this period was to work collaboratively with all universities and CPCs and to assure the sustainability of the practicum courses. This period has been a step forward where local partners began to take the leadership to continue with these activities, such as realizing events to gather companies to receive students for future practicums.

Several capacity-building events, supported by HED, have created environments for systematic collaboration and information sharing among the partners. For instance, the Universidad San Ignacio de Loyola (USIL) held an event, *“Pathways to Cleaner Production for Micro-, Small-, and Medium-Sized Enterprises”*, which hosted faculty, students, and representatives from WEC, industry, and the Government of Peru, to expand awareness of the partnership’s work and how CP solutions result in cost savings and long-term sustainability. Also, during the Pathways to Cleaner Production Annual Meeting in Chicago, Illinois, the fourth round of faculty capacity-building workshops were held at the Illinois Institute of Technology (IIT) (*“Diagnostics and Energy Audit for Cleaner Production,” “Life Cycle Assessment and Ecodesign,” and “Business Case and Implementation Strategy for Cleaner Production”*). Twenty-one participants attended the workshop, including 20 faculty members and one representative from the National Cleaner Production Center in El Salvador, greatly increasing their knowledge of CP and SID practices.

Pathways to Cleaner Production Higher Education Partnership representatives from U.S. and Latin American universities, WEC, and HED during the 2013 partnership annual meeting at IITs campus in Chicago, Illinois.







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Las agencias ejecutoras han aprovechado tanto los medios de comunicación como las publicaciones para la In addition, WEC has been involved in organizing numerous workshops for students, teachers, and company representatives to promote cleaner production practices, and provide training on CP/EE best practices and green financial mechanisms (e.g. USIL, URL, CER). Additionally, in Honduras a total of 331 people having received trainings on CP/EE/EMS through workshops (189 people from 49 training workshops) and roundtables (142 from three roundtables). One roundtable, *“Experiencia Chilena en Producción Más Limpia y Oportunidades para Honduras”*, was held on February 12, 2014 in Tegucigalpa, Honduras, where 51 people attended, with participation from SMEs, industry associations, and government representatives. Another roundtable was held on March 27, 2014 in San Pedro Sula, Honduras, where participating SMEs were invited to present their successful cases and lessons learned. Fifty-four people participated in this event, which received significant media coverage by radio, TV channels and newspapers. Overall, six educational/outreach materials that promote CP/EE and this project have been delivered at workshops, roundtables, and site visits to companies.

Implementing agencies have made use of both the media and publications for knowledge dissemination. Both WEC and HED have released articles and case studies, and have shared results through local industrial association magazines. HED has been involved in joint research initiatives, including the conditional acceptance of one research paper developed jointly by IIT and Universidad Centroamericana Jose Simeon Cañas (UCA) faculty, *“From Cleaner Production to Sustainable Development: The Role of Academia”* by the Journal of Cleaner Production, while WEC supported IIT/NYIT (New York Institute of Technology) research objectives, participating in one of the research studies *“Market Incentives in Latin America”*, with the first paper *“Stimulating the market: incentives for cleaner production and energy efficiency in Latin America”* focusing on a comparative analysis of the availability and utilization of different types of market-based instruments for cleaner production and energy efficiency in micro, small and medium size enterprises in Central America. WEC has also worked on a “lessons learned document” in each country considering the point of view of the main stakeholders (companies, professors, CP centers, and students) of the project. As mentioned above, they have also organized technical and business roundtables that promote cleaner production, energy efficiency, and EMS projects. WEC has shared information directly with local newspapers, industry magazines, TV channels and radio stations. Also, both WEC and HED have provided educational materials on the technical aspects of best practices, to support the uptake of these practices within SMEs and larger companies. These efforts have led to greater visibility of cleaner production and its benefits amongst businesses.

### ***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 (SIECA) 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 which relates to ECP theme A.

The tables presented below show the number of submissions by year and by country, respectively. Up to May 2016, thirty-five (35) submissions have been filed<sup>114</sup> (see Annex 1 for a summary of the submissions filed).

<sup>114</sup> See also <http://www.saa-sem.org/>



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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	1

Country	Number of submissions
Guatemala	14
El Salvador	5
Honduras	6
Dominican Republic	7
Costa Rica	2
Nicaragua	1
United States	0

### Monitoring CAFTA-DR environmental cooperation

The OAS-DSD has been assisting in evaluating if and how the activities carried out by the countries in the region are contributing towards the achievement of the priorities established by the parties. For this purpose, OAS-DSD has worked with stakeholders in developing an evaluation process based on key performance indicators. Since 2009, the OAS-DSD has prepared five independent evaluation reports to provide a general overview of the ECP, including success stories, case studies, challenges and recommendations with a view to improve future environmental cooperation programming. This fifth report provides an overarching perspective of all results achieved to date, by means of an impact or highlevel results assessment. The OAS-DSD enhanced a set of impact-level indicators developed from the current CAFTA-DR ECP monitoring framework. The indicators were selected through an iterative process and in consultation with CAFTA-DR points of contact and implementing agencies. The monitoring process is related and supportive of the achievement of outcomes within all ECP themes.

## Overall results and impact

### Theme A

Under this Theme, the purpose is to strengthen environmental institutions, laws and policies, to promote effective implementation and enforcement of these laws and policies, and to promote best practices leading to sustainable management of the environment. In addition, the intention is to promote the effective implementation of Multilateral Environmental Agreements (MEAs), build capacity to promote public participation in the environmental decision-making process, and to promote effective civil society engagement to ensure compliance with Free Trade Agreement's (FTA) obligations.

Previously, implementing agencies have worked with CAFTA-DR countries to improved 150 existing laws and adopt 28 new laws and regulations related to wastewater, air pollution, and solid waste. During this period a total of 32 policies, laws, agreements or regulations promoting sustainable natural resource management and conservation were implemented. Work during this period also continued to support institutions and officials responsible for the enforcement and compliance of environmental legislation. 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.



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## Theme B

The purpose of Theme B is to protect wildlife and its habitat for long-term economic and environmental development. Initiatives related to this theme seek to combat illegal trade in endangered species, conserve and manage shared, migratory and endangered species, and promote the 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 the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), training CITES implementation officials, building wildlife enforcement capacity and networks, supporting new or existing animal rescue centers, and preventing illegal logging.

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, implementation and enforcement; developing accessible, replicable training material; supporting the development of procedures and systems that increase the performance and effectiveness of CITES implementation; 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 their habitat, as well as preventing illegal timber and wildlife trafficking.

## Theme C

The goal of Theme C is to implement a market-based conservation system, by developing and promoting incentives and other flexible and voluntary mechanisms in order to encourage environmental protection. Initiatives related to this Theme focus on sustainable tourism, sustainable agriculture, and sustainable harvesting of forest products, as a means to support economic growth, sustainable natural resource management and environmental protection through ecological certification. Previous projects linked to Theme C 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, 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 and highlighted the importance of protecting wildlife living in these productive areas. During this reporting period no implementing agency specifically focused on Theme C; thus, results were somewhat indirect, specifically the establishment of school and home gardens and the strengthening of three cooperatives to support fish cultivating farms and shellfish harvesting.

## Theme D

The improvement of the private sector's environmental performance is to be achieved through cleaner production strategies, environmental management systems (EMSs), voluntary mechanisms, public-private associations, and by building stronger institutional and human resource capacity. Initiatives related to this goal focused on encouraging businesses to adopt clean production methods and EMSs. Businesses which did so gained a competitive edge through reduced resource consumption and waste. Other initiatives related to Theme D focused 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. Also, participating universities have begun to effectively provide courses on energy efficiency and clean production strategies, as well as promote internships. Overall, expanding results from the CAFTA-DR ECP implementation have begun to reveal positive environmental impacts jointly with positive economic results for participating enterprises.



### III. CHALLENGES AND RECOMMENDATIONS

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1. Coordinating availability of government officials across a variety of agencies/ministries and countries is often a challenge, and becomes more so during general national elections and the ensuing changes in governments and personnel that happen.
2. Proper planning and coordination of the project activities is crucial for the project success when several implementers are involved in a project.
3. In some cases the process of identifying partner organizations has taken more time than originally intended, due to specific situations in each of the countries. Working with new partners requires some work to build a relationship before the beginning of activities.
4. Post-election Government changes slowed down implementation, implementers had to renew contacts and familiarize new government representatives with the program.
5. Partnering with organizations in some countries was especially difficult, given the limited choices of NGOs working with the government on specific subjects (i.e. wildlife rehabilitation).
6. The political situation in some of the countries also hindered meeting some objectives throughout the different funding cycles.
7. The grants application procedures are challenging for foreign NGOs to navigate. Several of the focal points recommended offering in-country workshops on how to apply for U.S. government grants or providing extra support to explain the process through direct outreach.
8. CAFTA-DR stakeholders identified climate change as a growing concern throughout the region. Future ECP efforts could look into supporting climate change interventions, including mitigation strategies and adaptation to the effects of climate change. Climate resilience is a complex issue which calls for a coordinated response from governments, the private sector and civil society stakeholders to improve urban management, infrastructure, and the systems that deliver and maintain clean water, air, and waste disposal services. The USAID's Feed the Future and the Agency's Global Climate Change Initiative are two initiatives with the potential to be synergistic partners in this area.



## 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 TORTUGAS MARINAS RD	Dominican Republic	May 9, 2007	Factual Record Published	16/05/2011	Related to the Sea Turtles Case, the Secretariat published factual record on January 2011.
2008	CAALA/08/001 EXTRACCIÓN DE ARENA EN LAS CANAS RD YELLEN	Dominican Republic	November 17, 2008	Archive	06/03/2009	<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 EXTRACCIÓN DE ARENA EN LAS CANAS RD YELLEN	Dominican Republic	December 2, 2008	Archive	06/03/2009	<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 ESPINO ES	El Salvador	April 24, 2009	Review suspended	2/26/2010	<p>The Petitioner (Víctor Hugo Mata Tobar) claims that the government of El Salvador has failed to comply with certain domestic environmental legislation in relation to the urbanization and distribution of land in the area known as El Espino (San Salvador), which has brought negative environmental consequences for the area.</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 RESIDENCIAL VILLA VERANDA ES	El Salvador	January 14, 2010	Factual Record Published	13/08/2012	<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 INCUMPLIMIENTO DE LA LEY DE CAZA GALAS GT	Guatemala	February 3, 2010	Review suspended	4/27/2010	<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 FUNDARRECIFE ES	El Salvador	February 4, 2010	Suspended	10/11/2010	<p>The petitioner states that the area referred to as Los Cóbano Reef, which has been declared the Los Cóbano Protected Natural Area Complex, is the only reef in the Pacific between Panama and Mexico and that it is an important part of El Salvador's natural heritage. In this light, the petitioner denounced that, beginning in 1996, it has demanded that the Ministry of the Environment, "[...] enforce the Law on the Environment in regards to two tourism companies that have caused serious damage to the ecosystem and that jeopardized the entire reef system and existing biodiversity in the area. This is especially true in the case of the Decamerón Hotel, which has constructed a breakwater in the ocean with the goal of changing currents and taking possession of area sand [...]"</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	5/17/2010	<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 Rubelsalto-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	5/19/2010	<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 LAGUNA DEL TIGRE FONPETROL GT	Guatemala	March 8, 2010	Suspended	27/06/2012	<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;</p>



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						<p>and the Ramsar Convention on Wetlands (Ramsar, Iran, 1971). According to the petitioner, the “[...] modification, expansion and extension of oil exploitation contract 2-85, signed by the Ministry of Energy and Mines and PERENCO GUATEMALA LIMITED,” will represent State non-compliance with these regulations.</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	15/03/2011	<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 MIXCO-MONTE REAL GT	Guatemala	July 27, 2010	Review suspended	7/27/2010	<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	9/3/2010	<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>





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						<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/10/010 CONTAMINACIÓN AUDITIVA-ANTIGUA GUATEMALA GT	Guatemala	October 1, 2010	Suspended by submitter	1/23/2011	<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	03/06/2011	<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 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 NATIONAL MIXCO HOSPITAL II GT	Guatemala	April 4, 2011	Review Suspended	04/04/2011	<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 DEFORESTATION LOS AMATES GT	Guatemala	May 4, 2011	Review Suspended	05/04/2011	<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 Pon-tezuclas 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 review of the Submission</p>
2011	CAALA/11/004 WEST BAY ROATAN HN	Honduras	May 16, 2011	Factual record published	04/10/2013	<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	06/06/2012	<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>
2011	CAALA/11/006 OMOA II – HN	Honduras	September 28, 2011	Suspended	02/07/2012	<p>The Submitter claims that the State of Honduras, either through action or omission, has not enforced, among other regulations, the General Law on the Environment, Decree 01-93 (specifically articles 1, 5, 7, 35, 41, 48, 52, 53, 54, 58, 59, 62, 66, 68, 70, 72, 74, 78, 79 and 80) as well as articles 65, 68 and 145 of the Constitution of the Republic of Honduras.</p>



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						<p>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	30/01/2012	<p>The Submitter claims that a local company is not complying with regulations governing the treatment of solid waste and residual waters that are being discharged into the Agua Caliente River and that the authorities have been notified of this situation but have done nothing about it.</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	05/01/2012	<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>
2012	CAALA/12/001 “OMOA III-HN”	Honduras	July 27, 2012	Suspended	09/11/2012	<p>The Submitter claims that there have been a series of irregularities and nonobservance 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.</p>



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2012	CAALA/12/002 NOISE POLLUTION II – ANTIGUA GT	Guatemala	October 2012	Suspended	06/12/2012	The Submitter 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	04/02/2014	The Submitter 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 HAZARDOUS WASTE DR	Dominican Republic	May 23, 2013	Suspended	07/08/2013	n.a.
2013	CAALA/13/003 EMISIONES CONTAMINANTES LOS ALCARRIZOS RD	Dominican Republic	June 19, 2013	Active	07/10/2013	The Submitter 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 CUYAMEL II HN	Honduras	August 23, 2013	Active. Preparation of a factual record according to the United States vote.	20/08/2015	The Submitter 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 HAZARDOUS WASTE DR	Dominican Republic	October 23, 2013	Suspended	20/11/2014	n.a.



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2014	CAALA/14/001 Dixon Cove Bay – HN	Honduras	10/09/2014	Pending determination 17.8.1 whether the Secretariat recommends the preparation of a factual record.	20/04/2015	The Submitter 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	14/10/2014	Suspended	06/11/2014	The Submitter claims 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	09/02/2015	Pending determination 17.8.1 whether the Secretariat recommends the preparation of a factual record.	10/07/2015	The Submitter 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.
2015	CAALA/15/002	Guatemala	06/04/2015	Suspended	01/06/2015	The Submitter claims 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 Batoruco	Dominican Republic	09/11/2015	Pending Party response	18/05/2016	The Submitter 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 Batoruco National Park.
2016	CAALA/16/001 Oakland GT	Guatemala	18/05/2016	Pending determination 17.7.2	18/05/2016	The Submitter claims that the Republic of Guatemala is not effectively enforcing environmental legislation regarding the construction of two apartment towers in Guatemala City.







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