

**EVALUATION:  
CENTRAL AMERICA REGIONAL ENVIRONMENTAL PROGRAM  
(PROARCA)**

Implemented by:  
**ASSOCIATES IN RURAL DEVELOPMENT, INC.**

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## ACRONYMS

|                  |   |
|------------------|---|
| AID              | Agency for International Development  |
| ALIDES           | Alianza para el Desarrollo Sostenible   |
| ANDAH            | Asociación Nacional de Acuicultores Hondureños (Honduran Association of Shrimp Farmers) |
| ARD              | Associates in Rural Development, Inc.   |
| AT               | Asistencia Técnica  |
| BM               | Banco Mundial (World Bank)  |
| BMP              | Best Management Practices   |
| BSP              | Biodiversity Support Program  |
| CAMTUR-FEDECATUR | Camara de Turismo de Guatemala-Federación de Camaras de Turismo                         |
| CAPAS            | PROARCA Component (Central American Protected Area System)                              |
| CARICOMP         | Caribbean Common Market Programme   |
| CCAD             | Comisión Centroamericana de Ambiente y Desarrollo                                       |
| CCAD/DGMA        | CCAD/ Dirección General de Medio Ambiente   |
| CHF              | Cooperative Housing Foundation  |
| CITES            | Convention on International Trade in Endangered Species of Wild Flora & Fauna           |
| COCATRAM         | Comisión Centroamericana de Autoridades Marítimas                                       |
| CODDEFFAGOLF     | Comité para la Defensa y Desarrollo de la Flora y Fauna del Golfo de Honduras           |
| CONCAUSA         | Declaración Conjunta Centroamérica-USA  |
| Costas           | PROARCA Component (Coastal Zone Management)   |
| CWIP             | Coastal Water Quality Improvement Project (USAID/Jamaica)                               |
| EPA              | Environmental Protection Agency   |
| FUNDAECO         | Fundación para el Ecodesarrollo y la Conservación                                       |
| GEF              | Global Environment Facility   |
| GIS              | Geographic Information System   |
| IDEADS           | Instituto de Derecho Ambiental y Desarrollo Sostenible                                  |
| INAB             | Instituto Nacional de Bosques – Guatemala (Guatemalan National Forestry Institute)      |
| IOCARIBE         | International Oceanographic Commission/Caribbean Region                                 |
| IRG              | International Resources Group   |
| LEPPI            | Local Environmental Policy and Programs Initiative                                      |
| MARPOL           | International Convention on the Prevention of Pollution from Ships                      |
| NASA             | National Aeronautics and Space Administration   |
| NGO              | Non-governmental Organization   |
| NOAA             | National Oceanographic and Atmospheric Administration                                   |
| PASA             | Project Assistance Service Agreement  |
| PCU              | Project Coordinating Unit   |
| PROARCA          | Proyecto Ambiental Regional Centroamericano   |
| PROBIO           | Programa de Biodiversidad   |
| PROGOLFO         | Proyecto de Planificación y Manejo Inte   |
| PROLEGIS         | Programa de Armonización y Aplicación de Legislación                                    |
| PROMAR           | Fundación para la Protección del Mar  |
| PVO              | Private Voluntary Organization  |
| Ramsar           | International Convention on Wetlands of International Importance                        |
| REA              | Rapid Ecological Assessments  |
| RENARM           | Regional Natural Resource Management Project  |
| RSMAS            | Rosensteil School of Marine and Atmospheric Sciences                                    |
| RSTA             | Regional Site Technical Advisor   |
| SAM              | Sistema Arrecifal Mesoamericano   |
| SE-CCAD          | Secretaria Ejecutiva, Comisión Centroamericana de Ambiente y Desarrollo                 |

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|             |   |
|-------------|---|
| SICA        | Sistema de Integración Centroamericano  |
| SO          | Strategic Objective   |
| TIDE        | Toledo Institute for Development and Environment  |
| TNC         | The Nature Conservancy  |
| UICN        | Unión Internacional para la Conservación para la Naturaleza                                     |
| UNEP-CEP    | U.N. Environmental Program-Caribbean Environmental Programme                                    |
| URI-CRC     | University of Rhode Island Coastal Resources Center   |
| USAID/G-CAP | Regional Program of the U.S. Agency for International Development in Central America and Panama |
| USEPA       | United States Environmental Protection Agency   |
| WWF         | Worldwide Fund for Nature   |

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## LIMITATION OF RESPONSIBILITIES

Our hope is that this report would serve as an instrument to strengthen the current PROARCA and that it would contribute ideas for successful work and effective efforts to facilitate environmental protection and biodiversity, and to promote conservation and sustainable use of the renewable natural resources of the region. Nonetheless, it is important to state that the opinions given in this document represent only the opinion of the Evaluation Team and in no way represent the opinion of the consulting firm Associates in Rural Development Inc., the opinion of USAID/G-CAP in Guatemala, CCAD, or the implementing agencies of the respective component of the PROARCA Project.

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## 1.0 Executive Summary

PROARCA is a five-year effort (1995-2000) completing a ten-year initiative begun with RENARM in 1990. Design of PROARCA was influenced both by the RENARM evaluation and CONCAUSA agreement signed by U.S. and Central American presidents to implement actions proposed in the Central American Alliance for Sustainable Development (ALIDES). PROARCA is the main vehicle for meeting the U.S. Government's commitments under CONCAUSA. USAID/G-CAP's regional counterpart for implementation of PROARCA is CCAD.

USAID's Regional Strategic Objective (SO), to which PROARCA also directly responds, seeks improved regional stewardship of key natural resources, focusing on consolidating the Central American Protected Areas System, especially the Meso-American Biological Corridor, and improved regulatory frameworks and enforcement for environmental protection at a regional level. Specifically, the SO proposes that three intermediate results be attained under PROARCA: (a) improved consolidation of the Central American Protected Areas System; (b) increased local empowerment for stewardship of environment and natural resources in targeted areas; and (c) Central American environmental policy frameworks harmonized and strengthened.

These are to be facilitated respectively under the following PROARCA components, managed under a series of contracts and agreements with the following partners:

- **Central American Protected Areas System (CAPAS)**, managed under an institutional contract by the consortium of International Resources Group (lead) and The Nature Conservancy (TNC);
- **Coastal Zone Management (Costas)**, managed under a cooperative agreement by the consortium of TNC (lead), Worldwide Fund for Nature (WWF) and the University of Rhode Island/Coastal Resources Center (URI-CRC); and
- **Environmental Protection and Legislation**, implemented under three subcomponents as indicated below:
  - *Environmental Risk Assessment and Prioritization*, which was completed by Chemonics International under a buy-in with the centrally-funded PRIDE Project;
  - *Local Environmental Policy and Program Initiative (LEPPI)*, a community action planning effort managed under a cooperative agreement with the Cooperative Housing Foundation with technical assistance provided by U.S. EPA;
  - *Upward Environmental Legislative Harmonization and Enforcement*, managed under a Handbook 3 Agreement by CCAD under two initiatives: the Legislation Program (PROLEGIS) with technical assistance from U.S. EPA and the Biodiversity Protection Program (PROBIO); and
  - *Pollution Prevention*, being managed under a PASA with the U.S. Environmental Protection Agency, and providing on-demand services through the LEPPI and PROLEGIS subcomponents.

PROARCA also provides additional resources under the Handbook 3 Agreement to strengthen CCAD and its Executive Secretariat

### 1.1 PROARCA Achievements

A broad number of activities have been carried under PROARCA. It is not the purpose of this evaluation to list all the activities, however, it is pertinent to highlight important achievements from various dimensions and levels. Among the most important project achievements at the highest level, as a result of the efforts of all the components, one can cite; CCAD has been strengthened and is recognized by authorities from countries in the region as responsible for organizing regional environmental protection and sustainable resources management. Numerous non-governmental organizations (NGOs), private voluntary organizations (PVOs), and governmental organizations have been technically and organizationally strengthened to confront environmental issues at a national level with a regional vision. PROARCA's support has contributed to reducing the existing gap between managing terrestrial and coastal marine natural resources, a condition that had been unnoticed in the region and requires highly technical and organizational skills with evident regional impact. PROARCA has put in action a series of project implementation processes (e.g., small grants, coalitions) for the implementation of projects that should yield important results for the region and for the achievement of USAID's regional strategic objective. A

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summary of these general achievements, according to the Evaluation Team criteria, follows for each major component.

### **1.1.1 CAPAS Achievements**

CAPAS provides multifaceted technical assistance across a broad array of topics related to conservation and sustainable resource use. It has produced high-quality technical studies and training to 1,500 professionals, contributing to: improved resource conservation strategies and coalitions, and a larger and more capable group of managers associated with protected areas management; broader, more technical approaches for conservation of the region's threatened and endangered species; improved marketing strategies and approaches for environmentally-friendly productive activities, especially forest management, organic coffee and environmentally-sound tourism; and support to carbon sequestration initiatives to control climate change. CAPAS manages a regional web page and disseminates numerous reports and information produced under the project. Many of these documents are used as technical manuals and best-practice guides.

CAPAS' widely inclusive small-grants and genius-grants programs offer financial resources traditionally not available to NGOs and individual scientists, thus promoting local research and management initiatives for protected areas, natural resources conservation and environmental protection. CAPAS has cooperated with CCAD in biodiversity protection including CITES and climate change control initiatives, and in policy research on transboundary resource conservation. Under CAPAS, a protected areas monitoring system was developed that is gaining wide popularity, and is currently considered for official adoption at national levels in several countries.

### **1.1.2 Costas Achievements**

The Costas approach of building coalitions as a basis for participation of stakeholders, although still incipient, is yielding positive results in its four sites. This brings together stakeholders of varying interests, government, non-government and community, in order to find common ground for conserving coastal resources. The establishment and support of Trinational Alliances in the Gulf of Honduras and Gulf of Fonseca, although fledgling, are seen as promising coalitions for meeting transboundary natural resource management challenges.

The project has been pivotal in facilitating the declaration of new marine-coastal protected areas, including reserves for fisheries management and strengthening management in those already declared. Among other initiatives promoted through its counterpart organizations are ecotourism development, marine port contingency planning, support of community vigilance committees for environmental protection and conservation of lobster fisheries through reserve management with community organizations. Costas has cooperated with CCAD in development of the Meso-American Barrier Reef Initiative and in aspects of policy analysis for fisheries and coastal resources use.

### **1.1.3 Environmental Protection and Legislation Achievements**

CCAD's PROLEGIS and PROBIO Programs represent the principal programmatic outreach activities of SE-CCAD. With EPA assistance, CCAD/PROLEGIS contributed to the process of elaboration and promulgation of environmental framework laws in five countries. This activity has been followed up with a series of training events and technical information dissemination to key mid-level professionals in all seven countries, including: training in environmental law enforcement; training and distribution of manuals in principles of environmental impact assessment, including preparation of Central American professionals to carry out training courses without EPA assistance; training and information dissemination to government and private industry in responsible pesticide importation, management and disposal; and to industry and government officials in the advantages of clean technology. These activities have led to the establishment of networks of professionals with connections to EPA, to continue information and technical assistance exchanges. Under PROBIO, CCAD has advanced the regional agenda in biodiversity protection. PROBIO has collaborated with CAPAS and Costas, as well as with other international agencies in efforts to instrument international conventions to which most Central American countries are signatory, including CITES, Ramsar, Climate Change and MARPOL. PROBIO has promoted establishment and strengthening of regional biodiversity conservation networks with CCAD's constituency.



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Under LEPPI, CHF, with EPA assistance, has facilitated the prioritization, design and pilot projects for environmental sanitation in selected municipalities through a highly participatory process. These efforts in solid waste management and sewage treatment are bringing environmental health solutions to smaller communities. The subcomponent assisted in the creation of steering committees of municipal employees and community members to facilitate all aspects of project design and development. LEPPI is also assisting in the elaboration of municipal codes to provide a legal basis establishing community and municipal responsibilities in managing the projects, including payments for sanitary services. Several of the projects will be analyzed for "packaging" as pilots replicable in other communities in the region.

## **1.2 Opportunities for Improvement and Recommendations Relevant to PROARCA II**

While PROARCA has made important advances in its first phase, there are a number of opportunities to enhance the effectiveness and impact of activities applicable to Phase II, cited below.

### **1.2.1 Regionality and Integration of Project Activities**

USAID/G-CAP and its partners have different conceptions of regionality that complicate strategic approaches. Activities within and among different components are implemented thematically and/or geographically in isolation of each other. Costas is working in four mostly transboundary sites with established geographical boundaries. However, CAPAS, CCAD/PROLEGIS and CCAD/PROBIO are working ubiquitously throughout the region on a variety of technical themes. LEPPI is working with 18 municipalities, but only five of these are in proximity to Costas sites and the others are not programmatically tied to other components. Further, the components are not implemented under a unified strategic plan, nor is there an effort to integrate annual planning, monitoring and evaluation of activities. Lack of integration has resulted in reduced implementation efficiencies and effectiveness, with some duplication of efforts and loss of opportunities for synergy.

Consequently, the Evaluation Team recommends that USAID/G-CAP and CCAD adopt a concept of regionality that promotes the thematic and geographic concentration of project activities in carefully selected transboundary subregions. These should be selected based on rigorous analysis of environmental, socio-cultural and economic opportunities and vulnerabilities in the region. The Project should capitalize on the strengths of a regional project seeking to add value to ongoing or new initiatives at the national and local levels with relevance to these subregions, including those activities supported by USAID bilaterals and other donor agencies. Integration can only come from a concerted effort on the part of USAID/G-CAP and CCAD management to facilitate strategic planning, and annual planning and evaluation among their institutions and within each and all project components, engendering the same of Component Implementers. Thus, frequent planning and coordination meetings, open communication and information exchanges, and coordination and collaborative participation in the implementation of activities should be encouraged. This integration should lead to more synergy among Implementers and activities, greater implementation and administrative efficiencies, an improved cost/benefit ratio and increased impact across technical themes in geographically-focused areas.

### **1.2.2 Human Resources Development, and Organizational and Financial Sustainability of Counterpart Organizations**

An important part of PROARCA resources is being directed to training in technical areas and in improving resource management capabilities at selected sites. However, limited emphasis has been placed on true organizational development. Costas, CAPAS, and LEPPI have not yet developed strategies aimed at ensuring organizational and financial sustainability of its counterparts. This leaves organizations at risk of deserting their activities as soon as PROARCA assistance is terminated -- many have become dependent on such assistance provided "free-of-charge" by PROARCA. Also, the training events are not linked to programmatic activities managed by PROARCA, especially under CAPAS and PROLEGIS. Unless there is a linking of training to such activities, and this is reinforced with follow-up in-service training, the value of such efforts will be lost.

PROARCA should have a strategic focus on organizational development, especially for NGOs and CBOs, that will engender self-sufficiency. Consequently, Component Implementers should include the following themes in their training regimens for counterpart organizations: (a) strategic planning by objectives, and annual planning, monitoring and evaluation of activities and their impact; (b) strengthening and specialization of boards of

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directors; (c) effective organizational, human resource and team management; (d) recruitment and maintenance of volunteers; fundraising from various sources, including project preparation and financial proposals; and (e) public relations, conflict resolution and communications. Financial sustainability of counterpart organizations and their activities will require innovative strategies for obtaining resources from a series of, as yet, untapped sources, as is described in the following section.

### **1.2.3 National Mechanisms for Financing Project Activities and Co-financing with other Agencies within the Region**

PROARCA has not focused enough on researching the technical, social and economic advantages of incorporating costs of environmental services into local, national and regional accounts. While CAPAS and CCAD/PROBIO have been active in advancing carbon sequestration initiatives to take advantage of such credits on the international market, similar local and national mechanisms have gone without research. LEPPI is initiating efforts, albeit late in the project cycle, to incorporate self-financing mechanisms into environmental sanitation projects through payment of collection and disposal services. While PROARCA Component Implementers have fostered some collaboration with projects and programs financed by international development and conservation organizations at both regional and national levels, these have been infrequent, non-programmatic and short lived.

Attention should be focused on development of mechanisms to finance, or co-finance, project activities based on charging the costs of environmental services provided by natural resources under management within the PROARCA II subregions. Such mechanisms can include: (a) a portion of fees paid for waters consumed for domestic, industrial and agricultural purposes and hydroelectricity to be directed to watershed management; (b) permits/charges for discharge of untreated domestic and industrial waste water; (c) sale of special permits for tourism operations, entrances to parks and archaeological sites; (d) sale of green stamps and eco-certifications for productive activities; (e) a portion of airport taxes paid by tourists to go to conservation, taxes on gasoline, wood exports, etc. and (f) charges on utility and communication rights-of-ways that cross protected areas. Similarly, many national environmental funds that are underutilized or stagnated in finance ministries can be tapped. Many of these will require substantive changes in current rules of government so that resources become available to organizations at project sites, thus necessitating assistance under CCAD policy and legislation initiatives.

As there are numerous local, national and regional conservation initiatives being funded by the USAID bilateral missions, World Bank, IDB, and many others, PROARCA should actively pursue co-financing and co-management of activities of similar themes in coinciding geographic areas. Limited funds available under PROARCA can be leveraged to a scale wherein more comprehensive work can be carried out with a larger number of counterparts, including aspects of training, monitoring and evaluation, integrated information systems and GIS. This diversification will also reduce the financial risks to cooperating organizations. The joint World Bank/IDB Regional Unit for Technical Assistance (RUTA) is preparing an inventory of all national, regional and international environmental and natural resources projects currently active or proposed in the region. This would be a good starting point for facilitating strategic alliances.

### **1.2.4 Monitoring and Evaluation Systems**

Although explicit in the original PROARCA design, little biophysical data has been collected and analyzed during implementation. This lack of hard data restricts the ability of Component Implementers, counterparts and USAID to assess the impact of project interventions and progress. Costas is using its *Monitoring and Evaluation Scorecard* to track a series of project management processes, but this system is not linked to the collection of biophysical data. Other Component Implementers are taking few data that can be linked to indicators of environmental impact from project activities. The lack of such data can affect sustainability of interventions as impacts are unknown (or unrealized). The failure to collect biophysical data also is in conflict with PROARCA's Environmental Threshold Decision and Conditional Negative Determination of Impact that requires that promotion of productive activities should require separate but succinct environmental assessments based on biophysical data.

The Evaluation Team strongly suggests that PROARCA initiate the establishment of appropriate baselines and implement monitoring of specific biophysical indicators related to respective component activities. Data from these monitoring programs should be integrated into a single PROARCA management information system

(including GIS) for all components, continually updated and periodic reports of data tendencies made available to all interested parties. Parameters that could be considered for monitoring include: water quality (Costas, LEPPi); fisheries landings by species, place of capture, weight and equipment used (Costas); composition, population of threatened and key indicator species (CAPAS, Costas, PROBIO); vegetative cover, intactness and composition through monitoring by remote sensors and ground truthing (CAPAS, Costas, PROBIO); incidence of incursions and illicit extraction of resources, traffic of illegal species, and number of judicial processes for these activities (CAPAS, Costas, PROLEGIS); number of traditional resources users vocationally converted to environmentally-sound practices (CAPAS, Costas); and number of projects sustainably financed with local resources.

The Evaluation Team understands the complexity and cost of monitoring and recommends that monitoring go beyond the measurement of parameters, *per se*. It is essential that the importance of a monitoring system is promoted within the decision-making circles of the countries in the region as the best instrument for decision making and the management of regional environmental capital. In this sense, PROARCA should promote the necessary case studies to demonstrate the value of using databases to generate information for decision-making. Additionally, it should not fall into the tendency to design a monitoring system of academic, scientific research, but rather to design a practical and functional system that can be applied by the resource users and managers with the intent that the users can collect the data and do preliminary analysis.

### **1.2.5 Relationship between USAID/G-CAP and CCAD, and Current Status of CONCAUSA**

PROARCA's original design treated CCAD as less than a full partner, a situation that is now causing problems. The Executive Secretariat has only one member in the Project Implementation Unit, which is subordinate to the all-USAID Steering Committee. Currently, SE-CCAD is not participating in project management at any level other than execution of PROLEGIS and PROBIO programs. Different components have made efforts to strengthen ties with CCAD but with little success. CCAD is also in the process of integrating with the Secretariat for Integration of Central America/SICA, and it is not yet clear what will be the new technical and political paradigms for CCAD. Additionally, the CCAD base has moved to El Salvador and has a very small staff. This complicates efforts to define the relationship and role of CCAD under PROARCA II. Also, it is unclear if CONCAUSA is still to be the political and technical basis for implementation of the second phase of PROARCA. While some important progress in relation to obligations of both the U.S. and Central American Governments has been achieved, there are still numerous issue areas that have received only limited attention.

If CCAD is to be USAID's principal regional counterpart for PROARCA II implementation, then efforts should be made to make it an equal partner *with tasks and responsibilities not subject to assistance*. CCAD should participate as counterpart at the highest project management and supervision level on the steering committee and participate in approval of the design, strategic plan, annual work plans and evaluations. At the operational level, CCAD should participate in regional policy initiatives oriented to achievement of concrete solutions based on work at PROARCA II sites. USAID/G-CAP and SE-CCAD should investigate with other donors *core funding* options for CCAD. This would allow CCAD to concentrate on its role as advocate for regional environmental protection and sustainable use of resources as stipulated in the ALIDES and CONCAUSA accords, without having to seek project funding opportunities that could lead to confusion of priorities and dilution of CCAD's overall policy focus. Finally, USAID/G-CAP, in consultation with the State Department, CCAD, and environmental ministers, should revisit the CONCAUSA accord, analyze progress made to date, and decide whether the accord should be updated to reflect the last six years of experience or should be replaced with a new accord and directives. Once decided, the updated or new instrument should be considered in PROARCA II's design.

REBECCA, THIS SECTION ABOVE 1.2.5 NEEDS TO BE REWRITTEN TO ENSURE THAT IT DOESN'T HARM OUR ACTIVITY AND LEAVE THE WRONG IMPRESSION.FOR; EXAMPLE, "a situation that is now causing problems" AND "Currently , SE-CCAD is not participating in project management at any level other than execution of PROLEGIS and PROBIO programs." BOTH OF THESE STATEMENTS CAN EASILY MISLEAD SOMEONE THAT DOESN'T KNOW THE DAY TO DAY WORKINGS OF USAID/G-CAP AND CCAD. PLEASE REWRITE THE FIRST PARAGRAPH ,SO THAT READERS DON'T THINK THE RELATIONSHIP BETWEEN US AND CCAD IS NOT WORKING, BECAUSE THAT IS NOT THE CASE, IT

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CAN WORK BETTER, BUT THAT IS TRUE OF MOST THINGS. I HAVE NO PROBLEM WITH SECOND PARAGRAPH

I THINK THE MAIN POINT IS THAT IN THE NEXT PHASE A CLEAR UNDERSTANDING OF ROLES AND REONSIBILITIES OF THE RELATIONSHIP BETWEEN USAID/G-CAP AND CCAD SHOULD BE DEVELOPED IN THE DESIGN STAGE,WHICH SHOULD HAVE BEEN BETTER DONE IN THE DESIGN OF PROARCA. The rest of the ex summary looks fine except for what I mention in the e-mail. Phil

### **1.3 Recommendations with Relevance to the Design Phase of PROARCA II**

#### **1.3.1 Design Criteria for PROARCA II**

The following are suggested as design criteria for PROARCA II. These are intended as a design proposal to be analyzed along with other alternatives that USAID and CCAD may consider.

- a. PROARCA II should concentrate all activities both thematically and geographically within four to six *transboundary subregions* rigorously selected based on environmental, social, cultural and economic criteria (further developed in the body of the report). The current Costas Gulf of Honduras, Gulf of Fonseca and Gandoca—Bocas del Toro should be included among these subregions. Subregions should include both coastal zones and their immediate watersheds.
- b. The activities currently implemented under CAPAS, LEPMI, PROLEGIS, and PROBIO should be reoriented geographically and integrally to these subregions and reconfigured based on protected areas and buffer zone management, biodiversity conservation, environmental sanitation, and environmental legislation and enforcement priorities of these subregions, in order to capitalize on strategic, technical, operational, administrative and economic (cost/benefit) efficiencies. It is evident that this does not imply that actions outside the region shouldn't be done, especially in the areas of policy and legislation. What should be defined is a larger portion of activities focused on the selected areas and/or subregions.
- c. The participatory models advanced at current Costas sites, involving inter-organizational coalitions should be promoted in all subregions, incorporating appropriate lessons learned under CAPAS and LEPMI activities. All training activities should be oriented to personnel of counterpart organizations actively participating in one or more PROARCA activities, and follow-up in-service training should be used to reinforce and add value so as to truly develop the human resource potential in these areas. Greater emphasis should be placed on promotion of environmentally-sound productive activities using best practices, especially in watersheds and buffer zones around protected areas, including coastal zones.
- d. CCAD's PROLEGIS and PROBIO activities should be reoriented geographically and thematically to achieve results by employing a more efficient approach by applying efforts in living-laboratory conditions within subregions. The legislative and enforcement issues in these subregions should be handled creatively with local, national and regional input to create precedents with universal application throughout the region. These subregions should be used as a proving ground for testing operational strategies and instruments with the development of specific policy and legislation cases that respond to concrete situations in the selected areas, such as: (a) land-use planning and zoning; (b) environmental impact assessment and auditing; (c) improved pesticide management; (d) promotion of clean technology; and (e) applying stipulations and protocols found in regional and international conventions and accords. The solution of these cases can establish legal and policy precedents that later could be applied in other

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areas that are ecologically or socio-economically similar. An additional benefit of this recommendation is the contribution to the decentralization of the legal aspects and the empowerment of communities.

- e. PROARCA II should be implemented under two or three contracting modalities to increase operating efficiencies and reduce administrative costs (one contract or agreement per modality). This should include at least one institutional contracting mechanism to facilitate rapid access to high-quality technical assistance and one cooperative agreement due to its comparative programmatic advantages and linkages to other ongoing sibling programs implemented by the same NGOs. If a PASA-type mechanism is used, the servicing agency should assign an appropriately-qualified professional full time to the region.
- f. During PROARCA II, component implementers should immediately establish their social, economic and technical (biophysical) baseline on which they will monitor project progress and impacts. A single PROARCA II management information system should be developed for all baseline and monitoring information. PROARCA II should develop a web-based *metadata* site on the Internet, managed in coordination with CCAD, with hyperlinks to other web sites. PROARCA II should assume its role as a clearinghouse of scientific information and practical guides on environmental protection and sustainable natural resources use. These should include reports, data, manuals and best-practices guides produced under PROARCA II components, as well as those produced by related projects.
- g. Management and supervision of PROARCA II by USAID/G-CAP should be continuous and proactive, with an eye to thematic and geographic integration of all component activities. USAID/G-CAP's current "round-up" meetings should be used for participatory and integrated planning, evaluation and coordination of activities among all component implementers, CCAD and bilateral missions. Other donor agencies can be invited as guests as appropriate. USAID/G-CAP and CCAD should not micro-manage project activities, rather act as advocates of regional and institutional policies and forces of integration.
- h. It will be necessary in designing PROARCA II to clearly define the relationship and participation of the project with the governments of the various countries. Additionally, an investigation should be made of agencies, other than environment ministries, that have authority or mandates over resources to be protected. During this process, it is imperative to define the coordination mechanisms with NGOs, governments, and regional organizations.

#### **1.4 Observations and Recommendations Concerning the Transition from PROARCA to PROARCA II**

The Evaluation Team detected that the process required for designing the follow-on project will require approximately one year, when calculating in required internal approvals and budget appropriations. This implies that PROARCA will end approximately six to eight months before the second phase would be initiated. Should USAID/G-CAP be of mind to retain any or all of the current Component Implementers, then some mechanism will need to be put into motion as soon as possible to avoid a lapse in field activities.

It should be pointed out that field activities at the four Costas sites will most probably be curtailed or adversely impacted should the project cease operations there, albeit for six to eight months. Management processes and technical activities initiated with numerous partners are still incipient and would probably be interrupted with the risk of losing impetus and resulting in difficulties to "restart" activities. The Evaluation Team doubts that NGO partners would retain the Regional Site Technical Advisers, as they have not initiated any fundraising for such a contingency. Similarly, if no funds are available to retain CAPAS or LEPPi Component Implementers and CCAD, PROLEGIS and PROBIO staff, then activities under these components will be terminated. Financing for CCAD meetings and communications will also be subject to hiatus, unless funds are secured from other donors.

Depending on USAID/G-CAP's current plans for PROARCA II, and if indeed there is an intention to retain one or more of the current Component Implementers, then it may be necessary to investigate some type of bridge financing or pass-through mechanism, wherein a minimum of activities can be maintained and the costs of demobilizing and re-mobilizing be avoided. On the other hand, without this financing or should USAID/G-CAP

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decide to change the orientation and/or component implementers, then it should be understood that continuity in current activities and processes will be broken, together with a loss of contacts and counterparts.

## **2.0 Background and Context**

The Central American Regional Environmental (PROARCA) was approved in July 1995, taking into account the experience of the Regional Natural Resources Management Project (RENARM). The project was designed to have the Central American Commission on Environment and Development (CCAD) as the counterpart institution and main partner in its execution. The Alliance for Sustainable Development (ALIDES) is used as a framework, in response to the Joint Central American-USA Declaration, which was signed in December 1994 by President Clinton and the Presidents of Central America.

In order to fulfill the objectives, \$ 25 million was committed to the implementation of a project that has three principal components:

- Central American Protected Area System (CAPAS), with the objective of consolidating the system and attaining a gradual ecological rehabilitation of the surrounding areas.
- Coastal Zone Management (Costas). The component was designed to promote the integrated management of marine-coastal areas. These are defined as of high economic and ecological value that at the same time are subject to permanent exploitation by the inhabitants of the zone who use these resources for their livelihood.
- Environmental Protection and Legislation. A component which seeks to harmonize and strengthen the legal frameworks of the countries and the region in environmental aspects (LEPPI and EPA).

The programmed actions are in response to Strategic Objective 2 of the Regional Program of the United States Agency for International Development in Central America (USAID/G-CAP) for “Increased effectiveness in regional management of key natural resources”.

PROARCA has a strategy of strengthening Non-Governmental Organizations (NGOs) and community grassroots organizations, and of supporting government offices in the management of natural resources in four specific geographic areas. The Gulf of Honduras, which includes areas of Belize, Guatemala and Honduras; The Gulf of Fonseca which contains areas of El Salvador, Honduras and Nicaragua; La Mosquitia with areas in Honduras and Nicaragua; and Gandoca/Bocas del Toro with areas in Costa Rica and Panama. Other areas also are included where the Bilateral Missions require regional cooperation.

The project was designed within a context of great regional need for the protection and management of the environment, biodiversity and natural resources. This situation continues at the present time and has been emphasized by the occurrence of natural phenomena of extraordinary proportions, as was the case with Hurricane and Tropical Storm MITCH. Events such as MITCH have shown the vulnerability and fragility of the region and have served to demonstrate the interdependence existing between the countries of the region, not only in environmental matters but also in other aspects that are closely related to environmental quality.

Regional integration is a subject that the countries of the region are dealing with on different levels and in different areas. Commerce and the environment are the areas in which the greatest progress to date may be observed. In order to attain full regional integration, the Presidents of the countries have created the System of Central American Integration.

### **2.1 Central American Commission on Environment and Development (CCAD)**

This regional example was created in 1990 to promote the regional incorporation of environmental matters at political decision-making levels and to implement policies, plans and projects that emanate from the Commission. The Commission is comprised of the Central American Ministers of Environment.

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Presently, the CCAD is in a process of transition owing to the need to rationalize and delimit areas of action for the new Directorate General of the Environment (DGMA), created within the System of Central American Integration (SICA). The present situation has shown that the Directorate General absorbs the functions of the Executive Secretariat of CCAD while at the same time it has acquired a number of its own responsibilities independent of CCAD. The DGMA is presently defining its strategic plan and the priority aspects that would orient its activities in the regional sphere. The CCAD retains its legal personality and status and seems to have acquired the rank of Board of Directors of the DGMA. The DGMA, however, finds itself in a situation that lacks a legal framework recognized by all the countries in which the CCAD has a mandate.

## **2.2 System of Central American Integration (SICA)**

Since February 1993, the SICA has been the crux of the present process of integration of the Central American Republics. The system was created as an instrument for obtaining integration in the economic, social, cultural, environmental and political fields. Its most hierarchical organ is comprised of the Presidents of the member countries who delegate their powers to the Ministers of Foreign Relations. The system has a Secretary General who reports to this Council of Ministers and to the Presidents. All the countries of the region, however, have not ratified the SICA, and Belize and Panama are incorporated in it as observers.

In order to comply with its mission and objectives, SICA has established four specialized technical secretariats, one of which is the Executive Secretariat of the Central American Commission on Environment and Development (SE-CCAD) and which has created the Directorate General of the Environment (DGMA), an entity which little by little is absorbing the executive functions of the Central American Commission on Environment and Development (CCAD).

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## **2.3 Regional Environmental and Natural Resources Management Project (RENARM)**

PROARCA is considered to be the second stage of the RENARM project which was a project designed under very special conditions in Central America, with a commitment of 10 years but with financing stipulated for 6 years. It had a wide range of activities and multiple implementers, making it an extremely complex project. The main recommendations for a second stage were as follows:

- To adopt a single strategy with the objective of biodiversity conservation in critical ecological systems and to aim efforts at reducing the possible and evident threats to the sites selected;
- To structure activities by geographic areas; and
- To invite different interest groups to form confederations with the purpose of working together in identifying and solving problems of common interest.

Using these criteria, the concentration of programs should be sought as rapidly as possible in an effort to: (a) concentrate efforts to define the policies which contribute to mitigating the most important aspects affecting biodiversity; (b) concentrate on watershed and natural forest management through efforts in agroforestry and hillside agriculture in multiple-use and buffer zones; (c) assign responsibilities for monitoring to specified partners and defined areas; (d) assure that any type of research carried out is related to problems whose resolution has a direct impact on biodiversity conservation and sustainable agriculture. The evaluation of RENARM shows us that although it was a very dispersed program, the quality of its actions was impressive especially when activities were carried out which followed the traditional functions of the implementers.

## **3.0 Description of the PROARCA Project**

PROARCA is executed by three major components which are described below. However, it also is worth mentioning that the Project includes financing, under an AID Handbook 3 Agreement, for the strengthening of the CCAD so that it may play its role of coordination and facilitation, between the national level efforts of the countries signatory to the ALIDES and CONCAUSA agreements, and environmental protection and sustainable use of natural resources in the Central American Region. The financing is used to provide an important part of the operational costs of SE-CCAD, both for staff salaries as well as for equipment and material used in daily work, and in facilitating meetings and communications between members of the forum of National Ministers of the Environment, and the technical liaisons and advisors of CCAD.

### **3.1 Central American Protected Areas System (CAPAS)**

CAPAS is managed by International Resources Group (IRG) through a results-based contract. There is also a subcontract with The Nature Conservancy (TNC) to work in a coordinated manner with IRG for CAPAS implementation.

According to the contract of July 10, 1996, CAPAS/IRG must center its efforts on four main areas:

- Providing short and long-term technical assistance;
- Administering the contracts it enters into;
- Administering and managing the small grants to NGOs and Central American institutions; and
- Providing statistical data to USAID/G-CAP concerning client needs, satisfaction and performance, in order to evaluate progress by means of the results indicated above.

Furthermore, CAPAS should provide the following four products to USAID/G-CAP and its partners in the PROARCA project: (a) analytical studies; (b) logistical support; (c) “progress monitoring” toward the attainment of the strategic objective of USAID/G-CAP; and (d) strengthening of project effectiveness and its impact under



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the three components of PROARCA. In general, the USAID/G-CAP and IRG contract for CAPAS is a results-based contract, as distinct from the other components of PROARCA which are based on cooperative agreements. The annual requirements for implementation are contained in the annual work plan, which serve as a basis for the annual progress evaluation, along with the contract standards. Nevertheless, the real guide for the component work is the annual plan. Once approved, it structures the work over the coming year, providing the necessary flexibility for this type of contract.

### **3.1.1 Results Expected from CAPAS According to the Contract**

*Increase in biodiversity and habitat protection in key parks.* This result is developed in three parts: (a) the registration of information concerning national parks and other protected areas (APs) which exist in the region so that they may be monitored through a regional system (gap analysis, registration and information on the parks and other APs and their buffer zones) for development of a regional AP monitoring strategy; (b) approval and initiation of a program to increase its financial sustainability (the existence of financing plans for the parks and APs from sustainable sources); and (c) reduction of cross border conflicts arising over natural resources (identifying zones of conflict for the proposal of solutions, especially in the control of traffic in biodiversity, in coordination with SE-CCAD).

*Demonstration of economic viability of compatible uses in buffer zones.* Compatible uses should be analyzed according to these themes: natural forest management, ecotourism activities, the establishment of a minimal basis for policies of incentives and disincentives for appropriate activities. Such activities should be documented and disseminated by IRG. The small grants, the forest certification systems, the *best practices*, the ecotourism activities and the analysis of incentives for alternative uses should be endorsed by CCAD at the end of the second year of implementation.

*Increase of environmental awareness, and environmental consensus and commitments in the region.* The four key elements of this result are: (a) increase of public awareness; (b) a user-based approach; (c) transparency in making decision; and (d) strengthening of participatory processes throughout the Central American region. The geographically focused methods for achieving these bases should be designed by CAPAS, and incorporated into the small grants program, the employment of EIAs and other environmental evaluations, conflict mediation, user surveys and the drafting of a *plan service for users* which would serve as an input for the re-engineering activities which the Central American region was about to undertake.

*Transfer of capacities to the counterpart agencies.* This is essentially in two areas, the design of environmental policies and the administration of the APs and their programs and management plans, which CAPAS should evaluate for existing capacities and the design of a strategy for the transfer of skills and abilities, duly documented. The important element of this result is the formation of a critical mass of professionals who are trained and working in the key agencies.

### **3.1.2 The CAPAS Small Grants Program**

The essential objective of small grants (SG) is to improve notably the participation of communities and professional groups in the analysis and execution of plans and activities in protected areas and their buffer zones and in other activities which are critical for conservation, all in support of the results described above. The procedure to approve SGs is well detailed in the contract IRG-USAID/G-CAP. The decisions for their approval rest on the application of plans for competitiveness throughout the region, with a strong role played by USAID/G-CAP. Of the eleven steps needed to approve a SG, five correspond to USAID/G-CAP and five to CAPAS. CCAD is involved in the process, especially at the end to give approval. The committee for the selection and awarding of the SGs includes the USAID bilateral missions, the Official Contractor (IRG) and representatives of SE-CCAD. A letter of support from the Ministry of the Environment and/or Natural Resources also is required as a condition of approval. The final approval is by the CCAD (although its participation is not only limited to this, but that is how it has been interpreted in CAPAS and USAID/G-CAP).

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## 3.2 Costas

The following description of the Costas component is from the Terms of Reference for this evaluation. The Central American coasts contain abundant biological diversity. These areas have a very high ecological, economic and social value due to the habitats, unique species and the natural resources within these areas that are important sources of income for the livelihood of local communities and the support to the national economies. The Central American coastal and marine areas are particularly threatened by: water pollution, over-exploitation of fisheries resources, population growth, infrastructure development primarily for tourism, mangrove destruction and, in general, the lack of appropriate planning of coastal zone development.

The Coastal Zone Management Component, Costas, was established to promote integrated coastal management in Central America. The goal of Costas is to strengthen local capacity for the conservation and effective management of coastal and marine resources. The project focus on four transboundary priority sites selected for their ecological and economic importance: 1) Gulf of Honduras (Belize, Guatemala and Honduras); 2) Miskito Coast (Honduras and Nicaragua); 3) Gulf of Fonseca (Honduras, Nicaragua, El Salvador); and 4) Gandoca/Bocas del Toro (Costa Rica and Panama). A consortium of recognized international organizations in the environmental field: The Nature Conservancy (TNC), Worldwide Fund for Nature (WWF), and the University of Rhode Island Coastal Resources Center (CRC/URI) implement this component through a Cooperative Agreement with USAID. These organizations work to strengthen governance and policies related to coastal zone management and the designated protected areas. Simultaneously, Costas works with communities to demonstrate, adapt and disseminate effective models for protection of coastal resources. At the regional level, Costas' staff support the sites by promoting international collaboration for the management and protection of shared resources and by strengthening national policy implementation. The regional priorities are based on local needs; commonalities identified across sites and opportunities for sharing lessons learned.

Costas' activities are implemented primarily through a grants program through which sub-grants are awarded to local NGOs and other concerned parties. Costas, like CAPAS, is required to coordinate with CCAD, USAID/G-CAP and USAID/Bilateral Missions in Guatemala, Honduras, El Salvador, Nicaragua and Panama. Important partners include environmental authorities (ministries and departments) in each country. Costas also works in partnership with other regional institutions/initiatives such as: the Central American Commission of Marine Authorities (COCATRAM) and the Mesoamerican Reef Initiative. Costas' technical assistance is provided by eight long-term staff, all Central Americans. The key positions for the purposes of this evaluation are: The Team Leader (specialist in Coastal Resources), the project Administrator, the Project Coordinator (specialist in Monitoring & Evaluation), the Policy Advisor, and four Regional Site Technical Assistants (RSTAs) based in the four transboundary priority sites. This team supports the achievement of four results, two at the regional level: 1) Regional and National dialogue and Collaboration for Integrated Coastal Zone Management Strengthened, and 2) Tools, Methods and information directed to strengthen regional capabilities, disseminated; and two at the site level: 3) Participatory Management of Resources for coastal-marine biodiversity protection/conservation, and 4) institutional arrangements and institutions strengthened.

## 3.3 Environmental Protection and Legislation Component

This component seeks to: harmonize and strengthen the national and regional environmental frameworks; strengthen national institutions in order to confront problems of pollution; and expand the awareness of government sector officials and the private sector concerning environmental quality and control standards contained in the international trade regulations. By implementing this component, three results are expected: (a) to have promoted the prevention of pollution and the adoption of clean technology, as much as possible, in exchange for solutions for the treatment of effluents; (b) effective civil society participation in the identification of problems and their solutions, the preparation of regulations, and in respect to their rights to have access to information on how environmental risks affect them; (c) the establishment of mechanisms and networks of professionals to facilitate the transfer of environmental protection technology; and (d) institutional development of environmental authorities in Central America. In order to attain these objectives, the component contains four sub-components that are described briefly below.

### **3.3.1 Analysis and Prioritization of Risks - PRIDE**

This sub-component consisted of a contract with the USAID/PRIDE Project for the elaboration of a comparative analysis of environmental risks at the regional level and the preparation of a regional environmental action plan. The analysis found that solid waste, pollution by wastewater, and pollution by pesticide represent the most important risks in the region. The Regional Environmental Action Plan was drawn up with broad participation of the national and local governments, NGOs, scientific institutions, the private sector, and community organizations. This plan formed the basis for obtaining technical services of the United States Environmental Protection Agency (EPA) under a Program Assistance Service Agreement (PASA) with USAID/G-CAP. The sub-component was completed in 1997.

### **3.3.2 Initiative for Development of Local Environmental Policies and Programs - LEPMI**

The sub-component is presently executed under a cooperative agreement with the Cooperative Housing Foundation (CHF), with support of the EPA under the previously cited PASA, in projects of environmental sanitation in eighteen municipalities of six countries in the region. The methodology used under this sub-component includes the following stages: (a) identification, with the direct participation of the community, of priority environmental problems which affect the health of the inhabitants; (b) election by the community of "action committees", with participation of representatives from the governmental sector and civil society, for management of the process of developing projects for environmental sanitation; (c) participatory creation of a "community environmental profile" as a basis for the design and monitoring of progress in the development of sanitation projects; (d) identification and prioritization of the most effective measures for resolving the environmental pollution problems pointed out in the profiles mentioned above; (e) establishment of a strategy, action plan and monitoring system for dealing with the problems in each of the municipalities receiving attention; and (f) carrying out design feasibility studies and the implementation of pilot projects.

### **3.3.3 Harmonization and Application of Environmental Legislation and Program of Biodiversity**

This sub-component is executed by the Executive Secretariat of the CCAD (SE-CCAD) under two sub-activities, as described below:

*Program for the Harmonization and Application of Legislation - PROLEGIS*, which seeks the establishment and/or strengthening of the national environmental frameworks by means of technical assistance and training for legislators and judicial functionaries (deputies, prosecutors, state attorneys, attorneys), officials of the responsible ministries and representatives of private enterprise, in matters relevant to the adoption and application of laws and regulatory frameworks for environmental protection and rational use of natural resources. The establishment and operation of regional networks of professionals from these same organizations is also promoted to facilitate the exchange of experiences, information and assistance. The sub-component is carried out with technical support of the EPA (under its PASA), and should be coordinated, according to its design, with activities executed under the other two components of CAPAS and Costas.

*Biodiversity Program - PROBIO*<sup>1</sup>, is dedicated to the promotion of the ratification and compliance by national governments of the regional and international agreements and conventions for the protection of biodiversity, such as: The Central American Convention on Biodiversity, CITES, Ramsar, Climate Change, MARPOL, and others. Also the Program promotes the establishment of networks of professionals in establishing operational strategies and materials for these agreements and conventions, regional information systems, and uniform regional positions concerning access to genetic materials.

### **3.3.4 Pollution Prevention**

This sub-component is coordinated through the SE-CCAD as an integral part of PROLEGIS and with the CHF in the execution of the LEPMI sub-component. Under the component, the EPA has provided assistance and training

<sup>1</sup> The initials "PROBIO" are a coinage of the Evaluation Team as an abbreviation of the Programa de Biodiversidad which is managed by the Executive Secretariat of CCAD.

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under the headings of: (a) drafting and application of environmental legislation and regulations (see PROLEGIS, above) and evaluation of environmental impact; (b) specific assistance to governments and to private enterprise in clean production; (c) design and execution of projects for environmental sanitation in selected municipalities (see LEPPi, above); and (d) the establishment of electronic networks for technical information on pollution control, which are accessible to professionals from government institutions, private enterprise and specialized centers of the region.

### **3.4 Management and Administration of the Project**

The Project document establishes a structure with two levels of authority for its management and administration. The first is the Steering Committee made up of members of the USAID/G-CAP, the environmental officers of all the bilateral missions in the region and officers of USAID/G-CAP related to aspects of the project in the region. The Committee is responsible for the decisions of the project concerning its management and orientation, and is headed by the Officer for Strategic Objective No. 2 of the USAID/G-CAP.

The second level of supervision and coordination constitutes the Project Management Unit which is responsible for the coordination of activities among components and among implementing agencies. The Unit is comprised of the team leader of the institutional contractor (CAPAS), the authorized representatives of the Consortium of NGOs (Costas) and LEPPi (CHF), in themselves the implementing agencies under the three components of the Project, and a high-ranking representative of CCAD, as well as any other representative of the USAID/G-CAP which may be considered appropriate for the subject under discussion. The Unit is, by design, to be chaired by the Project Officer for PROARCA, but now it is chaired by the USAID Officer for Strategic Objective No. 2.

At the present time the Project is being implemented under the official responsible for Strategic Objective No. 2 of the USAID/G-CAP. The Project Officer is supported by three officers, one for each component of the project. There is a private consultant who acts as advisor and technical-administrative liaison between the CCAD and USAID/G-CAP. The components are being implemented under different administrative arrangements.

The CAPAS component is implemented by a private company (IRG) under a results contract. This contract includes a sub-contract with The Nature Conservancy—TNC in order to work in a coordinated manner in the implementation of the component.

The Costas component is being implemented by a cooperative agreement between USAID/G-CAP and the Consortium led by TNC, Worldwide Fund for Nature - WWF as a sub-contractor of TNC, and the University of Rhode Island/Coastal Resources Center -CRC/URI as a sub-contractor of WWF.

The Environmental Protection and Legislation Component is being carried out under different arrangements according to the activity. The activity under the sub-component of Analysis and Prioritization of Risks was implemented two years ago through a “buy-in” with “PRIDE”, a global project which was implemented by Chemonics International. The sub-component of the Initiative for the Development of Local Environmental Policies and Programs - LEPPi is carried out through a cooperative agreement with the Cooperative Housing Foundation -CHF. The Harmonization and Application of Environmental Legislation sub-component is implemented under a USAID Handbook 3 Agreement with the CCAD. The activities under the Pollution Prevention sub-component are attended to through a PASA signed between USAID and the EPA, under which advisory services and technical assistance are provided through the CCAD for this sub-component and that of Harmonization and Application of Environmental Legislation, and to CHF in its work in environmental sanitation under the LEPPi sub-component.

### **4.0 Evaluation Methodology**

The evaluation focus is intended to shape a vision of looking toward the future, with the aim of obtaining from the exercise an overview of those aspects which have a regional scope and whose impact may make possible greater diffusion between the countries of the region. This focus was discussed and agreed upon between the ARD Evaluation Team and the USAID Mission Director in Guatemala, the Team Leader for the Strategic Objective (SO2), the Evaluation Coordinator, the supervisors of the respective Project components for USAID/G-CAP, and

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the agencies responsible for the implementation of CAPAS (IRG), Costas (Consortium of TNC/WWF/URI-CRC) and LEPPi(CHF) components. The Work Plan presented in APPENDIX 1 includes a detailed description of the methodology followed by the Evaluation Team. The Evaluation Team placed emphasis on analyzing Project aspects and components, according to the criteria described below.

#### 4.1 Strategic Focus of the Evaluation

An analysis was made of the indicators used by USAID and the implementing agencies to monitor and evaluate the progress of the activities in comparison with Regional Strategic Objective No. 2 of USAID/G-CAP, the purpose and goals described in the PROARCA Project Document, and the means utilized by the implementing agencies to measure the progress and impacts of activities under different components. The Evaluating Team differentiated in its analysis between those actions which are *achievements* and those which more properly are *processes* which will lead to the achievement of an impact at the regional, cross-border, national and/or local level, recognizing that the various components have different methodologies for focusing and initiating actions.

Attention was given in the evaluation to incorporate the implementation strategic focus which had been used under the various components, identifying and analyzing the conditions which have influenced the attainment of the objectives pursued under the Project or, in the case of processes, to orient activities in that direction. Also, actions were analyzed and singled out which were not implemented owing to lack of opportunity or decisions in the implementation process. In addition, the various social and institutional groups with which the components have had activities and impact were identified and characterized.

Methods and techniques that have produced positive results were distinguished from approaches or strategies that had not managed to generate the desired impact, judging by their scientific, social and political value. Their acceptance and/or adoption by the counterparts, participants, beneficiaries and/or other stakeholders was also evaluated, as well as the degree and nature of participation in the implementation of activities by stakeholders at all levels, including USAID (G-CAP and bilaterals), CCAD, cross-border organizations, national and local governments, NGOs, private enterprise and community and natural resource user groups. The Evaluation Team analyzed the advantages and disadvantages of the different models of administration and management under various contractual mechanisms, with the purpose of determining the cost-benefit ratios, value added and efficiency in the use of financial resources in a comparison between the results sought and the actual achievements. Because organizational and financial sustainability is, for the Evaluation Team, a linchpin in the success of a project of this nature, special emphasis was given to analyzing the strategies and activities under each component related to technology transfer and the capability of all the counterpart agencies to continue actions for environmental protection and conservation which are promoted by the Project. On the other hand, the Evaluation Team made an effort to collect the lessons learned from the various components, with the purpose of recommending the continuation or expansion of those which, in the Team's judgment, appear to be promising, and to reduce the emphasis or support for those which, in the analysis, are found to have little promise or to be poorly oriented.

#### 4.2 Evaluation Methodologies

The Evaluation Team employed a number of methodological instruments to gather and analyze the information for Project evaluation, including: orientation meetings with USAID, CCAD and the implementing agencies of the respective components; visits to a representative selection of sites where activities of the three components are being carried out and interviews with groups of counterparts in the implementation of the activities or their beneficiaries/users. The Evaluation Team analyzed the progress of each component (CAPAS, Costas, LEPPi/PROLEGIS/EPA) with respect to attainment of Project objectives, considering what has been proposed in: the Project Paper; Strategic Objective No. 2 of USAID/G-CAP under which the results package is being implemented; the cooperation agreements and/or contracts established between the responsible parties of the components; and the plans approved annually by the officials of USAID/G-CAP. Using this as a base, the Evaluation Team utilized the mechanisms and tools listed below:

- Initial orientation meetings with the responsible principals for the Project in Guatemala and El Salvador (USAID/G-CAP and CCAD);

- Visits to work sites and capital cities and interviews with the stakeholders, using Guides for Interviews (see APPENDIX 2 - Interview Guides, APPENDIX 3 - Field Notes and APPENDIX 4 - Contacts);
- Review of the bibliography produced by each component (see APPENDIX 5 - Documents Consulted); and
- Integration of information collected and synthesized from the field visits and interviews, and presentation of the results at the Feedback Workshop of the Counterpart Groups (see APPENDIX 6 - Workshop Minutes).

## 5.0 PROARCA Project: General Findings and Conclusions

The Evaluation Team has made the following general findings and conclusions concerning the achievements of the Project in relation to the key elements of regionality, participation, internal integration of its components, organizational and financial sustainability, the contribution to CONCAUSA objectives, and administrative-managerial aspects of Project implementation. The general findings and conclusions are complemented by the specific findings and conclusions by component, which are presented in later sections.

### 5.1 Context of PROARCA Within the Definition of Regionality

In the PROARCA Project various concepts and definitions of *regionality* are being conjugated. The Evaluation Team found no shared vision of the definition in USAID (G-CAP and bilateral missions), SE-CCAD, nor among the implementing agencies of the respective components. This situation has complicated the strategic questions under which the Project is implemented, and has contributed to an isolated implementation of many of the activities both internally as well as among components. The concepts of regionality are being used within three major categories, as described below:

- *Thematic Regionality.* The concept of thematic regionality is oriented to general structural aspects which affect environmental protection and the conservation and sustainable use of natural resources at every level, that is local, national, regional, and international. It considers an implementation strategy based on themes which, according to the judgment of the implementor, have applicability across the region. The predominant themes promoted under this concept, although they are all related to the fundamental ideas of environmental protection and biodiversity, are of a political, economic, and technical-scientific nature.
- *Geographic Regionality.* This concept is oriented to specific geographic areas where a number of characteristics of environmental and ecological value are found and which, according to the objectives of a project or activity, merit being conserved and/or managed under regimes of sustainability. It considers a strategy in which only the interventions that are considered valid for attaining the objectives are applied within determined geographic borders.
- *Cross-border Regionality.* This concept requires that a project must have more than one country within a geographic area selected to receive support. The concept begins with the idea that in the border areas there are great gaps in the application of environmental protection regulations, because official presence and control is limited by the governments along the length of the border, even when these zones (being also understood as ecoregions) might possess environmental and economic features of importance and/or biodiversity of regional or even international importance.

In the majority of cases, CAPAS has implemented activities under the concept of thematic regionality, implementing studies, training, plans, and reference guides to strengthen the counterpart organizations in their work of environmental protection and conservation. Ordinarily the same technology or support package is employed for distribution at the regional level. Within the activities implemented under CAPAS are found, among others, the subjects of: gaps in the environmental legal frameworks and regimes for natural resources used within the region; mechanisms for the monitoring of efficiency levels in protected areas management; preparation of management and financial plans for protected areas, including private reserves; and the environmentally friendly

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marketing of coffee, ecotourism and forest exploitation. A number of the subjects also consider the concept of cross-border regionality, such as the protection of threatened species (turtles, CITES).

The Costas component is being implemented under the concept of geographic regionality; four geographic areas of importance for coastal-marine biodiversity values. Two of the sites, Gulf of Honduras and Gulf of Fonseca, also employ the concept of cross-border regionality, the two areas being shared by three countries. A number of themes have been concentrated in these sites, among others: the establishment of multi-organizational coalitions, development of organizations (primarily NGOs), protected area management, ecotourism development, fisheries management and port contingencies.

There is a mix of regionality concepts managed by the Implementing agencies under the sub-components that comprise the Environmental Protection and Legislation component. Four strategically selected municipalities are receiving attention under the LEPMI sub-component in environmental sanitation projects in three of the areas served by Costas, under the geographic regionality concept, while the remaining sites reflect priorities of the USAID missions. The majority of the activities managed under the sub-components directed by SE-CCAD, PROLEGIS/EPA and PROBIO, are being executed under the concept of thematic regionality, in which their work has been concentrated on studies, training and technical assistance, the establishment of networks of international professionals, etc. in order to strengthen the counterpart organizations in their work of environmental protection and conservation, such as: assistance for the establishment and/or reformulation of general legal - regulatory frameworks of environmental protection, including aspects of environmental impact assessment, safe handling of pesticides, and the adoption of international conventions. Some of these activities relate to the cross-border regionality concept, such as in the cases of the application of the CITES, MARPOL and Ramsar protocols under PROBIO.

The Evaluation Team found various opinions among the representatives of USAID/G-CAP and the bilateral missions. In USAID/G-CAP, the opinions of project officials on concepts of regionality depend a lot on which component has the responsibility, more or less reflecting the regionality concept under which the component is being implemented (see above). At the bilateral mission level, there is a variety of regionality concepts which vary from thematic to geographic; but they always reflect, as might be expected, a certain sensitivity to and protection of their bilateral strategic objectives. In a number of cases it offered the bilateral missions were concerned with obtaining greater financial resources to compliment the bilaterally financed activities and that any regional project should contribute to this effort. We also found opinions in the USAID bilateral missions that some activities were seen in the bilateral range and not regionally (especially concerning the LEPMI activities), while at the same time they accepted funding under this sub-component.

Because activities tied to one or more themes may be applicable throughout the region, there are different political, socioeconomic, cultural and environmental conditions and capacities which tend to complicate these efforts, both in terms of efficiency and cost/benefit values. The Evaluation Team believes that it would be difficult for a project such as PROARCA to reach the critical mass needed to transform the present attitudes, policies, capabilities and actions in all countries of the region about so many themes in so brief a time and in such changeable situations. This also was a conclusion of the RENARM Project evaluation and it is listed among the lessons learned from this PROARCA precursor project. It is undeniable that the Project is making a significant contribution, but significant changes will never be achieved if the governments do not change their attitudes and financial priorities in favor of the environment.

We determined during interviews and field visits that the SE-CCAD has not yet been able to consolidate a regional view concerning environmental matters in its managing units. The national institutions continue to focus on national activities and politics without perceiving or adopting a perspective of the benefits to be gained from having a regional focus. We identified this same behavior during our visits to the bilateral missions in the various countries, where we found that USAID/G-CAP also has not managed to consolidate a regional agenda in environmental matters. Furthermore, while implementation of activities of a single project may be defended under one or another regionality concept, it is difficult to carry out a project with three components, each one with a different idea of regionality. The Evaluation Team's conclusions are that these differences in concept have contributed to a thematic and geographic dispersion of Project efforts.

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## 5.2 Integration of Project Components

The Evaluation Team found that, similar to the conclusions of the RENARM Project evaluators, PROARCA components and activities are thematically and geographically dispersed. While the work quality under all the components has been high, this dispersion has caused a relative reduction in administrative-managerial efficiency of implementation at the greater Project level, the duplication of some activities to achieve similar goals, a reduction or potential loss in efficiencies and economies of scale, and in some cases, limited impact levels. The Evaluation Team did not find that there is a shared vision for the implementation of the Project components among USAID, CCAD (neither in the Executive Secretariat nor in the Ministries) and the implementing agencies (TNC/WWF/URI, IRG, CHF, and EPA).

PROARCA is a complex project, from its design through its implementation. The design assigned the implementation of each project component to five distinct implementing agencies, one of them a consortium of three organizations (TNC/WWF/URI, IRG, CHF, CCAD and EPA). While it may have been considered implicit, the Project Paper did not emphasize the need for thematic and geographic integration of the Project components. Certain cross-cutting activities were contemplated, for example that there would be monitoring of all the activities of the overall Project under the CAPAS component, but these activities were never undertaken. While half the environmental sanitation projects supported by LEPPi were placed in Costas priority areas, the other half were situated according to the judgment of bilateral missions without any connection to the regional project.

The Evaluation Team found that the implementing agencies have not worked integrally to prepare their strategic plans or their annual programs. While there have been joint meetings between USAID/G-CAP and bilateral missions and the implementing agencies for the respective components to present the summaries of the past six months or year and the plans for the six months or year to come (the so-called “Round-up”), these have been done after the planning stage had been completed and they are useful mainly for information. Once they have been made, the plans of each component also are exchanged among the implementing agencies. In some cases, the tasks of financing and/or implementation of some activities of mutual interest and priority have been shared and, while successful experiences have been shared, these few cases have been exceptions.

At the Steering Committee level of USAID/G-CAP, integration efforts appear limited. There may be several reasons for this lack of integration: the lack of an integrated institutional vision concerning regionality (see above); the Project design itself; the administrative-managerial complexity of having five implementers and different contractual arrangements (cooperative agreements, results contract and a PASA) and the great amount of paperwork required for their processing; the thematic and geographic dispersion of activities; and/or also owing to personnel changes in nearly all involved institutions during the past 15 months. It is nevertheless important to point out that there has *not* been sufficient emphasis by USAID/G-CAP as the financing agency in promoting, if not demanding, greater integration between the components, and even internally within the respective components themselves. Nor have there been great efforts by the implementing agencies to undertake strategic and operational coordination, although the Evaluation Team believes that the advantages in doing so are obvious and valid.

## 5.3 Project Management and Administration

The PROARCA design established that the components would be implemented by five implementing agencies, under a variety of contractual arrangements, as indicated below. This strategy had a lot to do with USAID’s intention to assign coordination and implementation of each component according to the specialties of the organizations eventually to be selected (for example, NGOs for protected areas, EPA for pollution control). In any case, the number of contractors and the variety of contractual arrangements has complicated an inherently complicated project even more, requiring great efforts on the part of USAID/G-CAP administrative personnel in administrative supervisory activities and contributing to the bureaucratization of Project management.

Every contractual arrangement has its advantages and disadvantages. There is no intention here to judge if one or the other arrangement may be better, but only to show that an attempt should be made to choose the combination of specialized implementing agencies according to the advisory and technical assistance services required. What is important, as a lesson learned from PROARCA, is to minimize the number and variety of arrangements, because the administration of so many agreements, contracts and sub-contracts adds to the bureaucratic cost, both



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for the time required by the implementing agencies and for USAID to “push papers”, as well as in the administrative costs themselves, thus reducing concomitantly the resources available for the real activities of providing counterpart and beneficiary support.

On the other hand, as is shown below in the sections concerning the conclusions of the three PROARCA components, the implementing agencies of the PROARCA components have been able to direct a great number of activities tied to biodiversity conservation and environmental protection at the Central American level. Nevertheless, these same activities are dispersed and very uncoordinated and or disconnected among themselves due to lack of thematic and geographic integrated strategic planning, between their implementing agencies. The original PROARCA design, which in itself is a complex project with several components and sub-components did not adequately emphasize strategic planning and annual programming among the implementing agencies. Nor has USAID/G-CAP insisted on facilitating that integration over the Project life, a situation which is exacerbated by insufficient application of USAID/G-CAP and SE-CCAD technical quality controls to the various Project components, which has generated dispersion and technical disconnection in implementation. An imbalance in the support given by SE-CCAD to the different Project components was also noted, since the time and effort dedicated to the PROLEGIS and PROBIO sub-components is well known, while relations with other Project components (CAPAS, Costas) who are of more importance to PROARCA, is left free or attended to in a marginal way. This situation has contributed to a nearly separate implementation by the three main PROARCA components, and among the sub-components of the Environmental Protection and Legislation component. Important opportunities exist for improvement of techno-managerial and administrative efficiencies in Project implementation, and to gain greater impact in the promoted activities.

A similar situation occurs between the Project and other development agencies working on similar projects in the region. The counterpart agencies have limited absorptive capacity to manage the responsibilities and financial resources which are being delegated to them under numerous assistance projects. With the eagerness to respond to the demands of so many clients under numerous projects, the counterpart agency representatives (principally the NGOs and government agencies) spend a great deal of their time in workshops, many of them thematically repetitious, and in responding to a range of responsibilities for processing plans and progress reports and accounting reports required of them by the financial agencies. The Evaluation Team also found numerous instances where the same product (gap studies, collections of laws and regulations, manuals, contributions to protected area conservation) were repeated, that is duplicated - in itself a waste of financial resources. While the PROARCA components' implementing agencies have made some collaborations in the countries with other development agencies in order to avoid these problems (especially SE-CCAD under PROLEGIS and PROBIO, and CAPAS in some isolated cases), they are not sufficient to counteract the instances of inefficiency mentioned above.

A project's success and achievements are closely related to the support and close ties which the directing team has with the different components' implementing units. That relation and habits of interaction are developed through implementation and they lend character and mystique to the management and administration unit. In the case of PROARCA, in the past year there have been a number of changes in the central management structures both in the USAID/G-CAP donor agency as well as in the principal partner SE-CCAD, so that these relations have been altered. These changes have been the product of normal rotations within the Agency and the cyclical changes of governments within the region. Although both changes have been foreseen they have subtly affected relations between components and partners. All parties involved are making the necessary efforts to readapt their modes of operation to the new situation, but such effort takes time and energy. These adjustments take time, and in the PROARCA case one may predict that the obstacles will be overcome.

#### **5.4 Distribution of CAPAS and Costas Financial Resources**

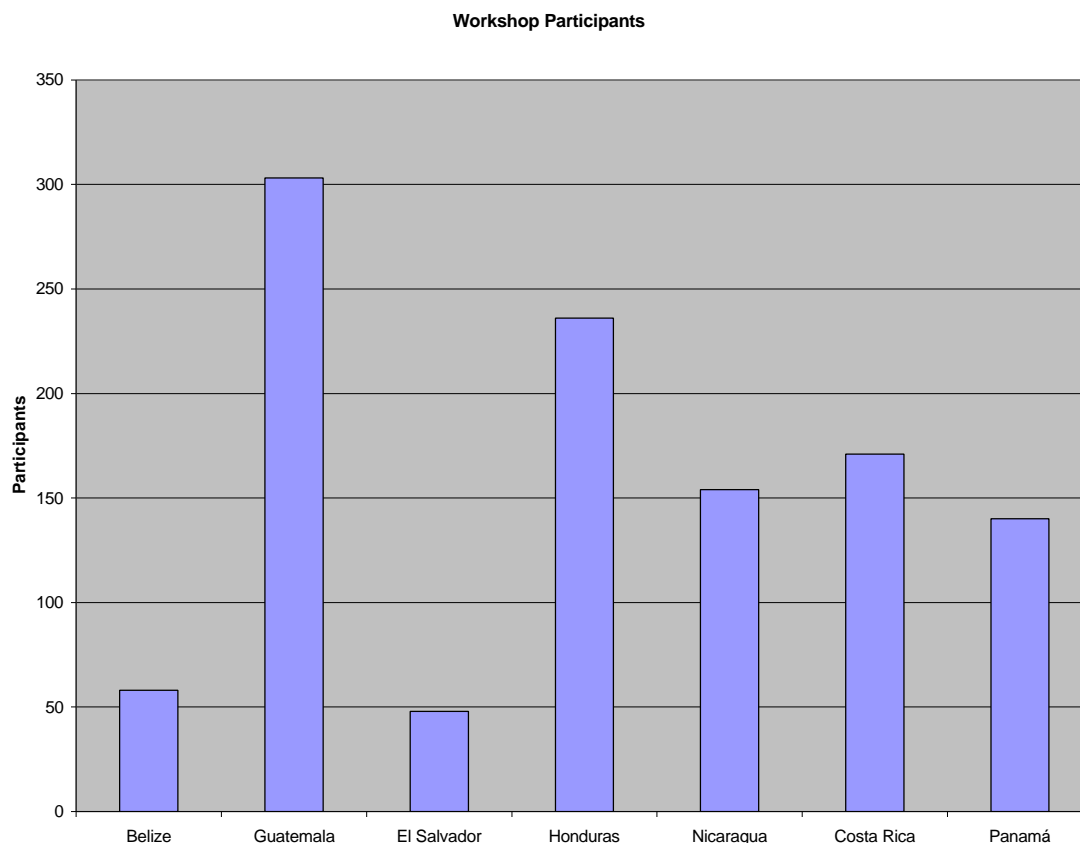
In this section, a brief quantitative analysis is made of the use of financial resources under the CAPAS and Costas components, to try to answer some comments about equal distribution, or not, of the PROARCA resources by country.

Forty percent of the PROARCA funds are assigned to the CAPAS component. CAPAS also has the majority of technical personnel with varied expertise and according to CAPAS' themes. In the detail of expenditures (in

percentage terms) made by CAPAS during July, 1998 to June, 1999, it is seen that 43% of the expenditures were in technical assistance: administrative expenditures represented 24%, with a breakdown of 15% in Guatemala and 9% in the main office, 15% in the small grants program; 14% for conducting workshops; and 4% in communication.

In the CAPAS case it was not possible to obtain a distribution of expenditures by country because they do not keep their expenditure accounting by country; but the number of participants in courses and workshops given by CAPAS in different subjects by country was obtained. The information corresponds to the period October, 1998 to September, 1999 with a total of 1,486 participants, distributed as shown in Figure 1 below:

**Figure 1: Participants in Courses and Workshops**

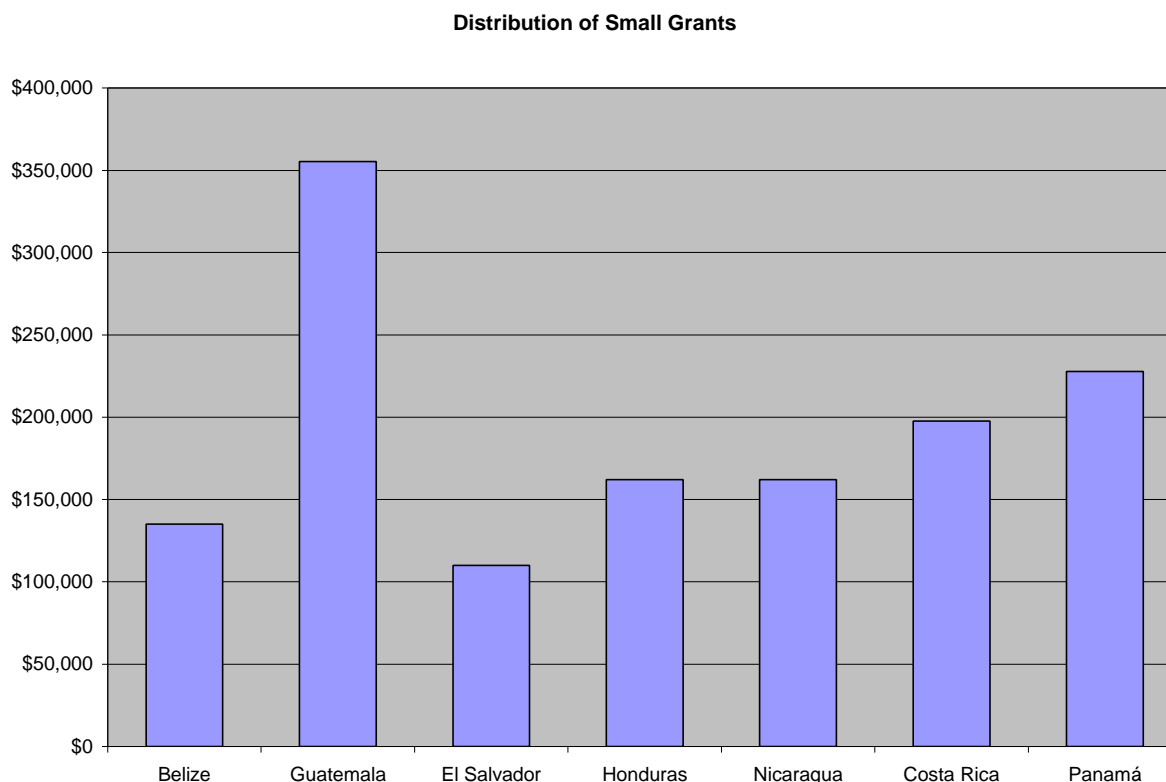


El Salvador is the country which has participated the least, due to its geographic location it did not enter into participation in the CAPAS component during the early years of execution until the coffee plantations of the country were included as an extension of the Mesoamerican Biological Corridor. Belize also had less participation which, according to the explanations received, has a low population density and less pressure on natural resources, as well as language limitations because of the language used in the courses, primarily Spanish. There is a disproportionate number of participants in the Guatemalan courses and workshops, which is explained by it being the Project headquarters. Having made the preceding observations, the remaining countries show a rather level tendency.

The same tendencies may be observed with the distribution of the small grants. What is really very noteworthy is the differential of those distributed in Guatemala in relation to the other countries of the area. This situation will have to be explained by the CAPAS implementing agency, since the Evaluation Team could not determine the reasons. *From another viewpoint, it should be noted the equitable distribution of small grants does not necessarily meet the regionality criterion that is envisioned for a future project.* An equitable distribution of financial resources does not guarantee that a regional impact is being made. Consideration should be given to the

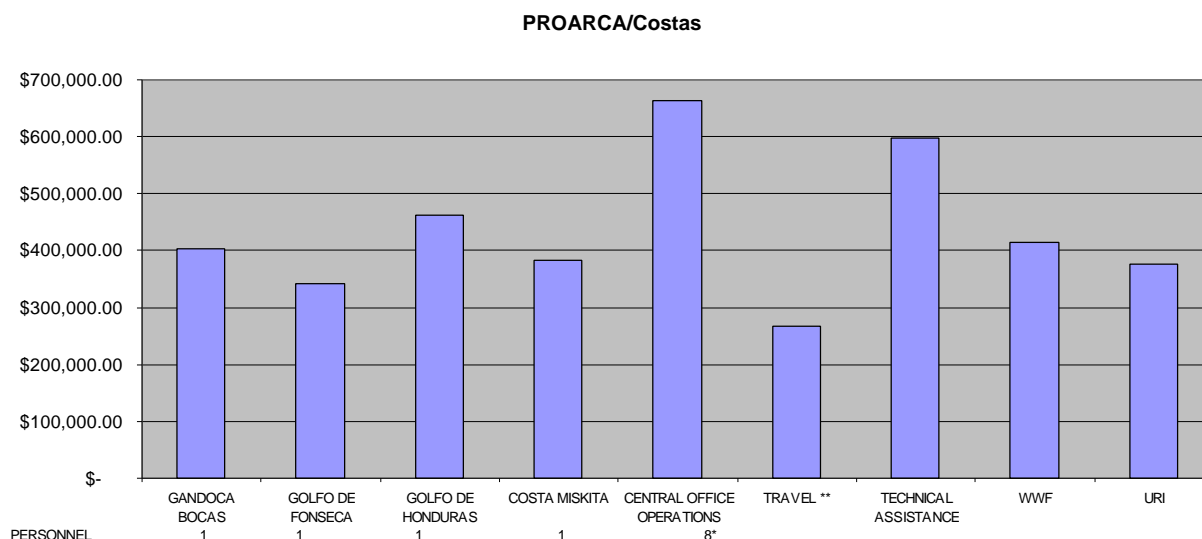
differences in scale among the countries, the various levels of development in the number and quality of NGOs and PVOs, differences in population, the total area within protected areas but, above all, it should be considered whether there has been a regional impact. However, this criterion is very rooted in the countries because of different kinds of pressures, whether these be political, economic, lobbies, etc. Graph 2 below shows the amounts, by country, of small grants distributions during project life.

**Figure 2: CAPAS Component Small Grants Distributed by Country**



The Costas component provided a list of investments by work site and major entries, which are given in Graph 3. This histogram shows the resource distribution is concentrated in the items for central office operations, travel, technical assistance, WWF and URI, of which an important percentage is attributed to technical assistance at the four field sites. The distribution of expenses at the field sites level is well balanced. Also note that all sites supported by the Costas component are cross-border except for Costa Miskita whose principal activity is carried out in Nicaragua because of reasons provided by the implementing agency concerning difficult communication with the Honduran Mosquitia.

**Figure 3: Distribution of Expenditures by Site Under Costas**



\* ADMINISTRATIVE AND SUPPORT PERSONNEL

\*\* INCLUDES REGIONAL OPERATIONAL TRAVEL COSTS OF ALL THE PARTICIPANTS FOR THE REGIONAL AND SITE WORKSHOPS

## 5.5 Participation of Civil Society and Development of Human Resources

The Project has enjoyed significant success with participation in the various components at all levels of society in the Central American Region. High levels of participation have been obtained from authorities, technicians, specialists, NGOs, private sector, and grassroots organizations for different actions and in all the countries. Participation has not been limited to the four Costas management sites, which has generated a high level of recognition by various groups of interested parties about the work of the Project. Through management of the Project opportunity has been provided to different sectors to have a greater role in environmental affairs, with the aim of planning the management of their resources as well as establishing common agendas to protect species and resources of regional, national and local interest.

Civil society participation for every component has been full and ongoing. The gap studies and mini-cases, environmental and site profiles, and the use of coordination workshops to identify the problems in natural resource use and biodiversity protection have taken resource user opinions as a basis for designing support and technical assistance strategies and activities. Costas and CAPAS small grants programs have facilitated resource transfer directly to NGOs for carrying out activities tied to these components' objectives. At the same time resources administered by LEPMI were delivered to municipalities which otherwise would not have had the advantage of sanitation projects benefiting the entire population. Training workshops and courses have reached counterparts and beneficiaries of government institutions, NGOs and natural resource and biodiversity producer/user groups, all openly and without bias; this in itself has democratized technical assistance and knowledge transfer.

There remains room for improvement, however, since the results of some attempts at coordination (gaps, mini-cases and environmental action plans), while valid and of good quality, were not given sufficient emphasis in programming of later support activities. Also, many of the training events are not tied to programming activities within the same component that gave the courses; so they were not followed by "in service" reinforcement, and training impact remained limited.

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## 5.6 Counterpart Organizational and Financial Sustainability

Many resources and efforts under PROARCA are aimed at training in technical subjects. Technical knowledge transfer is an integral part of counterpart strengthening, whether they are NGO officials, government institutions or groups of natural resource producers and users. There have been some instances of advising and training in planning aspects (especially protected areas), accounting administration (for sub-donors under the small grants programs) and in such areas as how to undertake a business marketing program (ecotourism and environmentally friendly coffee). Another important step in facilitating the work of the municipalities in providing services to their citizens, is the establishment of environmental sanitation project management committees in the municipalities covered by LEPMI. Without criticizing these efforts, greater attention is still needed in the science of counterpart *organizational development*, especially the NGOs and groups or associations of natural resource producers/users, to make them solid and financially solvent.

Nearly all NGOs and natural resource producer/user associations are weak in the basic managerial skills within their own organizations. NGOs generally do not have a membership larger than their own officials, or if they have a membership it is based on a small membership fee; usually these members do not have a relationship with NGO activities. Except for some NGOs, there is little or no use of volunteers even when volunteering is a basic element separating an NGO from a service provider or specialized center. The existence and adequate functioning of a board of directors is another organizational development aspect of the NGO and association. The boards of directors of many NGOs and associations are weak, inactive in the “political” activities of the organization or are exercising management and administrative functions within the operation of their organization that may be considered a conflict of interest.

PROARCA has played a limited role in financial sustainability. As is always the case with direct contributions, there is the risk of creating dependency on projects such as PROARCA for sustainability of organizational activities. This is the case in the CAPAS, and especially Costas, small grants programs or in off-site administration of financial resources for design and implementation of LEPMI environmental sanitation projects. This risk is even greater if the resources are used to finance positions (part- or full-time, salaried or on a consultancy basis) for NGO or association officials. Although the Evaluation Team observed that Costas, CAPAS and LEPMI counterpart organizations are very weak in these matters (except for some very special cases such as FUNDAECO), it did not see any training advisors, courses or workshops aimed at fundraising, preparation of financing proposals, or in development of strategies and mechanisms for diversifying and augmenting their financing sources. For example, in preparing financial plans for certain protected areas (Río Platano, Cerro San Gil), a projection of financial needs according to the management plan was made showing present financing sources, but presenting neither a strategy nor alternatives for raising the missing funds which the plan itself indicated would be needed in the future. If the organizations do not have the strategy or the capability of generating their own resources, then the activities which had been supported by PROARCA resources will end the day Project financing is terminated.

During the counterpart and beneficiary organizations evaluation, there were many comments concerning the need for support from productive activities which would generate income. Nonetheless, except for CAPAS’ tourism and environmentally friendly coffee activities and the ecotourism activity supported by Costas in Belize, there seemed to be little emphasis in the majority of activities implemented under the components on promoting production and merchandising aspects linked with the environmental area - this would be to obtain economic benefits which would guarantee sustainability of processes and social welfare.

## 5.7 Information for Project Monitoring and Evaluation

The Evaluation Team found that Costas, through the *M and E Scorecard*, is monitoring progress in *processes* of activities management using a number of parameters, such as: legal status of protected areas; co-management; community and stakeholder participation; personnel and institutional strengthening and training; strategic and annual planning; and even including drawing up and implementing monitoring plans to evaluate indicators of human activity that contributes to natural resource degradation and the impact of efforts to combat them. CAPAS is promoting a similar system for monitoring progress in protected area management activities. Beyond quantifying progress toward activity goals (number of meetings, training events, reports, etc.), neither the

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Environmental Protection and Legislation component nor LEPPi, EPA or CCAD was seen to make use of process monitoring systems or of impact indicators related to their activities.

Uniform quantitative base line definition and monitoring and information management systems are lacking in all components to measure progress toward Project objectives, in social aspects as well as in Project components' biological resource base. We must mention also that BSP designed a monitoring system for Costas which was never implemented; that EPA offered to develop water quality monitoring programs in the Gulfs of Fonseca and Honduras which was not accepted by Costas; and that CAPAS did not succeed in mounting a system for monitoring the vegetation cover in selected protected areas, although there was a study carried out in vegetation-ecological associations to show protected area distribution gaps in comparison with representative biodiversity associations in the region.

The quality and quantity of information being collected by the implementing agencies is in response to the requirements in their contracts and agreements, used by USAID/G-CAP for making the performance evaluation for each one. These analytical parameters also satisfy the Results Framework (R-4) which USAID uses to evaluate progress on the Regional Mission Strategic Objectives. The analytical parameters used at present to evaluate work progress under each component as well as to evaluate R-4 progress, are *not* sufficient to evaluate Project activity *impact*. In the Regional Strategic Objective, "Effective Regional Management of Key Natural Resources", indicators of compliance are given: "1) Deforestation tendencies in selected protected areas; 2) Reduction in degradation of selected coastal areas and water resources." According to the Project Paper, the means to verify Project core goal achievement (the compliance indicators) are: "1. Remote sensor monitoring through an institutional contract; and 2. Water quality monitoring through an institutional contract". The Evaluation Team found no Project level activity related to monitoring protected area vegetation coverage, nor to natural resources (flora, fauna) or water quality monitoring relating to coastal areas.

At the overall Project level, there is an absence of the basic scientific data needed to evaluate impact on natural resources of activities carried out under each component. We heard comments that biophysical parameter monitoring and research was very expensive and of limited use, and that there were not sufficient resources to fund such activities. The Evaluation Team disagrees with these opinions, believing that parameters that are technically and financially relatively accessible do indeed exist, and that they merit consideration. The Project finds itself in a dilemma: it is *not* possible to evaluate progress toward the Strategic Objective because there is no base line against which to monitor the indicators and activities. Further, because both CAPAS and Costas are promoting productive activities (environmentally friendly) in environmentally fragile areas, according to the requirements set forth in the Conditional Negative Determination, approved by PROARCA under the Environmental Threshold Decision, the initiatives which contain any productive activity should have a special study of the potentially negative impacts and measures to prevent them. These studies, as a *quid pro quo*, require the collection of biophysical data as a basis for monitoring to determine the environmental feasibility of the activities to be promoted.

## **5.8 The USAID - CCAD Relationship and the Present State of CONCAUSA**

The Project's ongoing support of CCAD has permitted this institution to be consolidated and to form one of the pillars of the Regional Integration System/SICA. After several years of operation, SE-CCAD is in the process of redefining its strategic and institutional plan under a new organizational structure whose objective is to guarantee the permanence of operation in regional environmental subjects. USAID/G-CAP and SE-CCAD have managed to keep the environmental theme on the regional agenda and the possibility of keeping the forum of Environmental Ministers in force and open to environmental action. That has been in large part with the financing of the RENARM and PROARCA Projects. With the support of USAID/G-CAP through PROARCA, the SE-CCAD has arranged the association of interest groups in the environmental area as well as having participated in important strategic alliances which are about to produce results at the regional level, such as the Mesoamerican Biological Corridor, CITES, Mesoamerican Reef System, Protection of Biodiversity, and Climate Change among others. The environmental theme has managed to position itself in the region as one of the pillars of Central American integration; as an example, one of the four Directorates General of the SICA is the Directorate General of Environment (DGMA).

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The original PROARCA design established the USAID - CCAD relationship at two levels:

- First, the CCAD is the *regional counterpart* of USAID/G-CAP for overall Project implementation and receives resources to finance operation of the Executive Secretariat and its offices, and provides the required logistical support for the meetings and communications between CCAD members, its technical councils and liaisons; and
- Through its Executive Secretariat, the CCAD is the implementing agency responsible for the specific activities implemented under the Harmonization and Application of Environmental Legislation (PROLEGIS) and Protection of Biodiversity (PROBIO) sub-components, and it participates as an EPA partner in activities under the Pollution Prevention sub-component - all under the main Environmental Protection and Legislation component.

The Project paper established two levels of managerial supervision for the PROARCA Project: the Steering Committee participated in by USAID/G-CAP and representatives of USAID bilateral missions in the region; and the Project Management Unit-PCU, subordinate to the Steering Committee, comprised of the USAID/G-CAP Regional Strategic Objective Officer as President; the heads of the three implementing agencies responsible for coordination of component implementation (IRG/TNC, TNC/WWF/URI, CHF); and a senior representative of CCAD. The three Project officials from USAID/G-CAP responsible for the PROARCA components are incorporated into the Project Management Unit virtually from Project initiation

From the outset it may be seen that the level of the USAID/CCAD relationship is one of operational coordination in the Project Management Unit, and not at the directive level (Steering Committee). This limits the CCAD role to implementer, reducing its profile as a counterpart. At Project initiation the CCAD participation only at the Project Management Unit level was not a limiting factor, in large part because of the pre-existing working relationship with USAID in the implementation of RENARM. Also, the work of the Technical-Administrative Advisor, in the role of liaison, has served as intermediary between USAID and CCAD in planning, evaluation, administration and communication. But after the principal offices of CCAD were transferred and the process of integration with the SICA was initiated certain inconveniences presented themselves. In the same way, CCAD was participating in the yearly performance evaluation of all the Project implementers and in coordination meetings with the Project Management Unit, with a certain continuity up until the date which more or less coincided with the CCAD offices moving to El Salvador. From that time on, the CCAD nearly ceased participating in Project management and administration. This is due in part to the transfer of CCAD offices to El Salvador, but it also should be noted that there had been important personnel rotation between almost all the principal actors in the involved organizations, which probably had something to do with the distancing of the CCAD and USAID.<sup>2</sup>

In the majority of cases, the counterpart organizations and persons interviewed identified the SE-CCAD as a political entity. It is assigned the role of harmonization at the political levels with a number of coordination functions of regional scope. Whenever the evaluators had access, they were told clearly that such an organization should not invade the field of project implementation.

The Evaluation Team found that CCAD participation in major Project strategic and annual planning actions, aside from planning and evaluation of activities entrusted under the Environmental Protection and Legislation component, had been minimal. This situation has resulted in a certain CCAD distancing from some activities carried out under the other components, and lessening of recognition at the country level, that PROARCA (Costas, CAPAS, LEPMI), which as a Project has the USAID and CCAD co-participation as partners.

Also, the SE-CCAD is heavily dependent on PROARCA resources to finance activities directed towards environmental policies and legislation, biodiversity conservation and to finance the CCAD meetings. Up to now, with some exceptions, SE-CCAD has been unable to obtain the larger resources needed for its basic operations, and its member countries are not up to date with their contributions assigned under ALIDES (US\$20,000 per

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<sup>2</sup> In USAID/G-CAP, the Strategic Objectives Officer and the Project Officer responsible for the Costas component were changed; in CCAD, the Executive Director was changed; in Costas the Director of the TNC/WWF/URI Consortium was changed; and in LEPMI, CHF Directors were changed on several occasions.

year). This lack of long-term financing (*core funding*) and its present dependence on project resources (*soft money*), complicate SE-CCAD functions and PROLEGIS and PROBIO program implementation.

Concerning CONCAUSA, the Evaluation Team was able to determine that nearly all activities carried out under each component is related to the strategies, objectives and obligations entrusted to the Government of the United States of America in the CONCAUSA Agreement (although work is not being performed under all the stipulated rubrics). Prominent PROARCA contributions are:

- Consolidation of some national protected area systems relating to the Mesoamerican Biological Corridor, and incorporation of additional areas in hitherto underrepresented ecoregions, including marine-coastal areas;
- Training in technical subjects dealing with conservation and sustainable use of renewable natural resources, and biodiversity protection;
- Review and modernization of legal-regulatory frameworks for environmental protection and natural resource conservation, including progress in adoption and application of protocols of the international conventions for biodiversity protection (CITES, Ramsar, Climate Change, Biodiversity);
- Establishing professional networks in environmental legislation and application aspects, standards for safe handling of pesticides and Prior Consent Report anticipated for the importation of pesticides, and training in these matters; and
- Environmentally friendly productive activities promotion in protected area buffer zones and in fragile areas.

PROARCA has been deficient primarily in areas of generating and publishing scientific information on biodiversity, generation of base line information and undertaking systematic monitoring programs of parameters and indicators for evaluating natural resource conditions (especially deforestation rates in protected areas and land use), in facilitating indigenous group participation in conservation activities, and aspects of facilitating greater participation of other financial agencies in activities promoted by PROARCA.

- Along with the Central American Governments' obligations stipulated in the Agreement, there have been certain important advances, especially related to:
- Promulgation of framework legislation and regulations for environmental protection, including safe management of pesticides;
- Declaration of more protected areas, including wetlands and coastal-marine areas, and
- Ratification of the Central American Biodiversity Convention.

However, the governments have not met their obligations, in contributing financially to CCAD, nor have they advanced rapidly enough to sign and ratify some international environmental protection and biodiversity conservation conventions. National environmental conservation and protection budgets, other than projects financed by foreign grants, have not increased, leaving management of protected areas largely subject to north-south transfers. Nor has civil society fully participated in preparation of proposals for environmental legislation, nor has there been significant advance in promoting indigenous group participation in conservation and sustainable use of biodiversity.

Perhaps the most important aspect of CONCAUSA, is whether it still has validity as policy and directive both for the United States Government, with its interests represented by USAID/G-CAP and the bilateral missions, as well as for the CCAD and SICA/Directorate General of the Environment. In the interviews conducted with the officials of SE-CCAD (SICA/DGMA) and USAID/G-CAP, it could not be shown if CONCAUSA still represents both parties' interests.



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## 6.0 CAPAS Component: Findings and Conclusions

PROARCA/CAPAS has the objective of offering support to a framework of policies as well as technical and financial assistance for protected areas management and biodiversity conservation in Central America. Thus, the project strengthens the agenda of CCAD and its Executive Secretariat. Among the relevant achievements of the CAPAS component one may cite it having participated actively in environmental consciousness raising of individuals and institutions in the Central American region, especially in protected area management. This CAPAS achievement is shown by the creation of spaces for horizontal apprenticeship, aids and advances in technical knowledge on environmental subjects and a number of private groups (especially NGOs and consultants from some countries in the region) who have capitalized on those technical skills.

### 6.1 Achievements and Strengths

#### 6.1.1 Participation

The complexity of the component means that in order to carry out its activities, CAPAS personnel must undertake actions with at least four different kinds of actors who at times are antagonistic among themselves and highly competitive; the governments (Ministries of the Environment and authorities of protected areas), the SE-CCAD, NGOs, consultants and services providers and some communities and municipalities. It must be emphasized that with this diversity of actors the Component has achieved implementation of relevant actions in highly susceptible and changeable environments in every country of the region. There is a comparative advantage in that this range of actors has allowed it to disseminate successful experiences gained from apprenticeship processes at a time when the environmental subject needed to raise its profile in the region.

The working arrangement has generated valuable horizontal apprenticeship processes that have been carried out on two levels; through the training sub-component in response to the countries' demand and through the small grants sub-component. In both cases the intention is to develop solid opportunities for strengthening institutions and individuals.

The CAPAS team has achieved synergy and co-implementation with other PROARCA components, such as the case of Costas, and with other important regional actors such as the GEF, BM, AID, UICN, NASA and many NGOs, obtaining significant common contributions.

CAPAS has managed to establish an office for publication and creation of informative booklets. Through a consultant they examined communication needs in the other project components.

#### 6.1.2 Technical Aspects

Capas has a broad mandate and has been able to concentrate its actions on six environmental themes: protected areas, forests and climate change, natural resource policies, marketing favoring the environment, training and the small grants program which has facilitated the strengthening and impacts at different levels and in all the regional countries.

Following the design principles, CAPAS has made substantial progress in the production of generally high quality documents (which are produced according to national demand and to CAPAS' priority themes), and has also achieved an excellent level of instruction and training, development of new economic-environmental opportunities, participation in the design of regional policies and capabilities in the resolution of problems related to protected areas.

Some examples which are worth highlighting as CAPAS' strengths related to document production and economic-environmental opportunities are: (a) development of monitoring strategies for protected areas, which are being replicated in different countries; (b) the coffee and environment activities, which although they preceded PROARCA in the region, they have been given a new turn and a new vision in order to be compatible with markets for environmentally friendly products; (c) work carried out on themes of design of national policies and

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regional positions; (d) raising national capacities and generation of greater value added from the themes and sub-themes managed in CAPAS; (e) the production of the first standardized regional vegetation map; and (f) the attainment of various co-management agreements in protected areas among many other positive actions.

The small grants program (including the “genius grants”) is an innovative theme which is difficult to implement but which has had a direct and concrete impact on individuals and organizations. This innovative arrangement for support has been received by the Central American environmental community and has awakened a competitive spirit in the recipients of support as well as an understanding of the importance of having quality in activity implementation. The majority of the recipients also have adopted control and activity follow-up mechanisms as an additional benefit, both in technical activities as well as in financial-administrative aspects that quite definitely have strengthened the recipient organization.

The CAPAS implementation arrangement has permitted the strengthening and incorporation of themes and sub-themes that already are *maturing* in the Central American region’s countries. Among other aspects, this strategy has allowed the development of training workshops that generate positive externalities when they permit the exchange of information and experiences among their participants. The same situation applies in the case of activities related to pro-environmental marketing, where they have been managed to develop and apply a successful strategy, with *clients* clearly defined, in the public sector as well as in the private, with plans for its strengthening and with association strategies oriented to the attainment of concrete results.

The technical activities of CAPAS have been based on teams and the formation of a critical mass of experts in countries such as Costa Rica and Guatemala which has facilitated processes and the transfer of experiences to other countries of the region as well as the generation of regional positions related to international conventions such as CITES, Biodiversity and Climate Change.

### **6.1.3 Planning, Monitoring and Evaluation**

Due to the diversity of the CAPAS component, it can support the majority of regional agenda themes and has acted as a “think tank” for a number of activities in process in the region. Vision and meticulousness in selection of consolidated themes have also been important in obtaining its regional expansion. This has been valid more for the terrestrial protected areas, forests and biodiversity, although it has made important contributions for the implementation of processes in the coastal themes especially in the policy area.

The activities undertaken by CAPAS have been developed in a work scope that is varied and occasionally diffuse. It has had to choose between the political, especially when it is necessary to support SE-CCAD and the Environmental Ministers of the region, and the technical. The second aspect has been accomplished through well-positioned partners in the subject who helped to rapidly advance the implementation process. In most cases the strategy has been effective. Criteria and/or transversal axes which often are identified in CAPAS’ activities are: (a) diversification and flexibility in the activities; (b) decentralization in implementation; (c) consultations with interested parties; (d) emphasis on results and generation of synergy; and (e) coupling processes with training activities.

The selection of work areas is based on geographic aspects considering activities that would be bi- or tri-national at least; important themes for USAID/G-CAP and recognized in the actions by CCAD. They have also taken the administrative and organizational aspects into account, especially when they have provided support to the themes of commercialization under rubrics related to services and production. This kind of strategy has permitted the component to have activities in all the countries of the region and to generate interaction among them. These criteria, subtle on many occasions, have permitted the component to resist pressure to be the “petty cash” of the region in environmental matters. The Evaluation Team recognized the need and pressure on the part of countries and most organizations to obtain financial support.

CAPAS has managed to position itself appropriately as a facilitating and catalyzing component for processes and results, with the capacity and strategy to enter into iterative and often non-linear processes which it facilitates, promote self-help without taking possession and to withdraw opportunely, leaving the processes underway. This has served to gain CAPAS the credibility that the great majority of those interviewed have of the project.

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### **6.1.4 Management and Administration Aspects**

CAPAS administrative and managerial aspects, especially in the small grants sub-component, answers to and supports the donees' administrative-accounting systems in their planning processes, providing them the resources they require to carry out their activities, with the appropriate monitoring.

CAPAS has maintained a relationship with the CCAD Executive Secretariat (SE-CCAD) for the implementation of its activities, especially in the approval of its initial budget, the approval of annual work plans, in sub-theme activities managed by CAPAS and in prompt attention to requests from the SE-CCAD.

CAPAS at present has a modern, agile and simple administrative structure that answers clients' and technical team members' needs and donor requests.

## **6.2 Opportunities for Improvement**

### **6.2.1 Participation**

CAPAS has a tendency to dilute its activities owing to the pressure that the stakeholders exercise. Support for NGOs has gone to existing ones with a high profile in the national environmental arena (although in the last small grants process new NGOs were incorporated).

Ongoing workshops have not been provided to the Environmental Ministries on themes developed by CAPAS to guarantee project knowledge in the face of constant changes operating in the region in these agencies.

CAPAS could promote regional harmonization with an outline for organizational strengthening beyond its partners, especially for the *agents of change* (especially NGOs and consultants) which it should support. This strategic shortcoming limits the possibilities for harmonization of processes among the diverse parts of the region.

CAPAS has implemented activities in different places without coordination between locations. Developed activities are quick and localized, dispersing the chances for development of the "critical mass" of experts throughout the region. The "critical mass" is essential to obtain sustainable impact.

### **6.2.2 Technical Aspects**

At present, training and detailed plans emphasize budgets and their distribution, but there is little included about local capitalization mechanisms for the areas. Plans would be improved by more emphasis on identification and establishment of mechanisms for payment of environmental services. This lack was also noted in the subject of training.

CAPAS has a good communication strategy but the partners and beneficiaries have little access to the documents produced by CAPAS. Mechanisms for creating and publishing *case studies* of best practices and lessons learned are lacking, which may have limited consolidation of protected area management structures.

While CAPAS has produced a large number of documents, the quality is uneven. There is no CAPAS mechanism for quality control of the published documents so that they might be more homogenous and in line with the investment.

CAPAS has the capacity to develop a "critical mass" of experts in each country in the region. Since the capacity already exists in Costa Rica and Guatemala, CAPAS must focus its efforts on developing this "critical mass" in the other countries in order to promote regionality of impact. The *comparative disadvantages* between countries are especially notable with environmental authorities.

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In management of private reserves where the co-management mechanism is not encouraged, there is the risk that competition would be generated between areas and thus convert the matter into a national problem rather than a regional solution.

Although the processes for small grants have direct influences, they do not always energize regional, technical or environmental policy themes connected to those developed by CAPAS or other PROARCA components. Selection of such grants' recipients is made on the basis of national criteria.

There are opportunities to improve the concept of regionality. The concept of regionality that now exists is weak and under-emphasized. This lack may be observed in the relative isolation perceived in each theme managed by CAPAS, despite the weekly meetings which are held, as each party responsible for the themes have different concepts of regionality, according to their opportunities.

### **6.2.3 Planning, Monitoring and Evaluation**

Throughout the project the planning processes have been independent among components. Further, these planning processes have not been sufficiently iterative. In general information is gathered and the plans are drawn up in CAPAS, later requesting the respective approvals from the pertinent organs (USAID/G-CAP and SE-CCAD). Partner participation becomes more intense during implementation and this is a weakness to be corrected appropriately.

The CAPAS technical team has established mechanisms to have excellent communication. However, it was said during the interviews that it could be improved in the integration aspect if the planning process were more interactive. The working system of shared responsibilities produces the feeling of activity independence despite the weekly meetings which are held. This effect becomes sharper when it is seen that each activity area is managed under a different concept of regionality (thematic, geographic, cross-border). Because of the strong need to produce results, the technicians run the risk of falling into activism without considering the actions that are being undertaken in the other areas. Coordination in this sense is high but it is more in response to coincident opportunities than to a work strategy. This may be a design flaw.

Although there are monitoring plans, there is a lack of monitoring and evaluation implementation based on indicators and base lines using biophysical, social and institutional information.

### **6.2.4 Management and Administration Aspects**

There are opportunities for improving communication with SE-CCAD. In the past year CAPAS has taken limited advantage of the existing space for establishing synergy especially with SE-CCAD at three levels: (a) planning (development of common themes and agendas); (b) operationally; and (c) in information (symmetry in its use and management). It is pertinent to clarify that efforts have been made to improve coordination but unfortunately they have had little success.

Regional distribution and thematic emphasis of the small grants must be planned strategically. The small grants do not always serve regional matters. The Evaluation Team was informed on several occasions that the announcement process for the small grants had not been broad enough. The announcement process should be more clear and objective.

## **7.0 Costas Component: Findings and Conclusions**

According to the Evaluation Team's findings and conclusions, the following successes and strengths are noteworthy, which are then followed by a series of opportunities for improvement.

### **7.1 Successes and Strengths**

The Costas approach of building coalitions as a basis for participation of stakeholders, although still incipient, is yielding positive results in certain locations. The project has been pivotal in facilitating the declaration of new

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marine-coastal protected areas, including reserves for fisheries management, and strengthening management in those already declared, in the four sites. The establishment and support of Trinational Alliances in the Gulf of Honduras and Gulf of Fonseca, although fledgling, is seen as a promising approach for meeting participatory transboundary natural resources management challenges.

### **7.1.1 Participation**

Costas focus on coalition building and diversification of partnerships is successful in moving towards broader ownership and greater regionality of marine and coastal resources management. Costas has assisted in the creation and development of effective working relationships with transboundary partners (e.g., Alianza Trinacional para la Protección del Golfo de Honduras and the Alianza Trinacional para la Protección del Golfo de Fonseca) and communication both across borders and among diverse groups of stakeholders representing divergent interests and management responsibilities. The building of coalitions recognizes the roles of diverse partners and establishes mechanisms to utilize their contributions. Coalition building promotes wider ownership of activities and helps counter perceptions of external leadership/ ownership that may be fostered by working only through one or more bilateral partnerships. These are appropriate models of cooperation and coordination that are suitable for replication to other coastal and marine areas in the region.

Especially important is recognition and inclusion by Costas of fisheries management agencies and private sector interests as key players in marine resources management. An important example is the Gulf of Fonseca shrimp aquaculture working group which includes shrimp producers, conservationists, regulatory agencies and research institutions. The activities of this group complement other Costas initiatives in the Gulf of Fonseca region. While the objectives and approaches of these groups may sometimes not coincide with those be at odds with environmental agencies and organizations, their inclusion in coalitions and multi-national committees is a key factor in their success. Such coalitions ensure ownership of issues and solutions by stakeholders, provide an effective forum for exchanges of views and provide mechanisms for developing acceptable transboundary agreements. There is evidence the binational cooperation process utilized in the Gulf of Fonseca by Costas and PROGOLFO is being independently replicated without the support of either activity. Interviews suggest that recent cooperation between El Salvador and Guatemala to manage the binational Rio Paz Ramsar site has drawn on lessons from the Gulf of Fonseca.

There has been significant movement at the Costas sites to increase the number of partner organizations involved in implementing activities. This indicates that activities at Costas sites are moving beyond start-up activities and into a more substantial phase of progress in implementation. This diversification of NGO partners is an effective mechanism that should be continued and encouraged, as it reduces the risk of project failure do to an under-performing NGO partner. Examples of partner-induced setbacks include the failure of an NGO partner in Belize and administrative and management issues with a partner NGO in the Costa Miskita of Nicaragua. Diversification reduces risk, promotes progress towards project objectives and broadens both participation and the spread of benefits and lessons, promoting sustainability. In addition, a larger pool of NGOs competing for small grants improved the quality of staff effort, proposals, products and services. Recent diversification of partners in the Costa Miskita illustrates the benefits of a broad partner base. The original primary NGO partner, MIKUPIA, has been joined by the Moravian University (CIUN-BICU), the National University of Heredia (UNAH), MOPAWI and FADCANIC, expanding the range of activities undertaken and broadening the base of participation and ownership of the activity in the site communities.

Costas has been effective in promoting effective models for co-management of marine and coastal protected areas involving NGOs and, in most cases, relevant government agencies. Replication of processes at the national level in the region will significantly advance coastal conservation. In Honduras, SERNA provided technical support and political backing for the legal declaration of the Pacific spur of the Meso-american Biological Corridor, strengthening the original planning performed by ANDAH and CODDEFFAGOLF organizations in Honduras. In Bocas del Toro, NGOs and communities are working closely with national and municipal authorities to develop and implement a management plan for Bastimentos Marine Park.

Partner NGOs and Costas small grant recipients have received administrative and management training and have significantly improved their operational capabilities: TIDE in Belize (Gulf of Honduras) and CODEFAGOLF in

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the Gulf of Fonseca are good examples. Based on their improved capabilities and performance, the membership has TIDE evolving into a for-profit organization to better facilitate ecotourism activities in their area of influence for the benefit of community partners. Strengthened NGOs are more effective coalition partners, able to clarify their strategic objectives, establish their identity, maintain and expand their membership, improve operations abilities and effectively represent community interests in marine and coastal environmental management. Financially responsible and accountable NGO partners support the long-term sustainability of Costas activities. Costas' institutional focus has contributed to the sustainability of activities in target sites. These training activities are continuing and should be encouraged and expanded.

Costas has improved cooperation with CCAD on new coastal marine initiatives, such as the Sistema Arrecifal Mesoamericano (SAM) initiative, and is planning to explore cooperation in additional regional marine protection activities (e.g., port contingency planning). Costas has recently developed a productive relationship with CCAD working directly with SE-CCAD in the preparation of the marine-coastal component of the regional environmental strategy (PARCA). Costas also supported CCAD in developing relations with the international Ramsar convention. This is an area of Costas strength and a key regional issue for CCAD. CCAD is the appropriate counterpart for regional marine resources agreements such as Cartagena and MARPOL conventions. Costas has the expertise to assist CCAD in developing these regional issues, both through technical assistance, and high level education and awareness activities targeting the leadership of the member nations.

Costas has also been successful in bringing regional recognition to marine protected areas. Costas has also been successful in promoting regional recognition of the importance of Central American coastal-marine resources (e.g., marine turtles, mangroves) and "environmental security" (marine pollution, oil/hazardous material transport) issues. Costas has had limited but important collaborations with other donors and initiatives in these areas, activities that have important implications for the sustainability of these efforts. An excellent example is Costas' role in attracting the interest of the Inter-American Development Bank for regional expansion and funding of port contingency planning and marine pollution control. This contributes significantly to building greater regional collaboration in protection and management of marine and coastal resources.

Policy activities involving Costas, including the CAPAS funded gap analysis ("brechas") and case studies ("minicajos"), have generally been successful and well received. At the national level, these are seen as action oriented activities that strengthen national goals of management of coastal-marine resources and protected areas. For example, the Board of Directors of the Guatemalan National Forestry Institute (INAB) reviewed and accepted draft mangrove regulations prepared by Costas' partner IDEADS. INAB now has responsibility for obtaining official approval of the regulations. This Costas-CAPAS collaboration has improved the regional recognition of the PROARCA activity.

SE-CCAD has also used these gap analyses to prioritize and act on coastal and marine resource conservation. For example, a regional fisheries management workshop was organized under CCAD leadership and the fisheries departments of Guatemala, Honduras and Mexico, with Costas support, which served as a forum for reaching agreement on fisheries management priorities for the Gulf of Honduras and for the Banco Chinchorro in Mexican waters. Agreements on priority lobster management issues were reached at a CCAD sponsored and Costas supported binational workshop in the Costa Miskita

Many of Costas site activities have embraced and built on past activities of other donors, local partners and national government agencies. Costas has taken on implementation of existing plans (Costa Miskita, Gandoca-Manzanillo), has built on local initiatives (Bocas del Toro) and has sought out local partners with an independent record of success in marine resources or protected areas issues (e.g., CODEFAGOLF, PROMAR). Costas' ability to recognize and incorporate past activities and successes is contributing to component success, reinforces local ownership of activities, and avoids costly and time-consuming efforts of initiating new activities.

### **7.1.2 Technical Aspects**

Costas activities have recently begun diversifying to include more resources management initiatives, such as fisheries management in the Gulf of Honduras and Gulf of Fonseca, lagoon fisheries management and community forest management in Costa Miskita, rather than its traditional narrow focus on protected area management. This

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diversification is essential because it more accurately reflects the interests of the stakeholders involved in transboundary coalitions, many of which are directly involved in resources use or management, and because these activities directly affect the livelihood of many community members at COSTA sites.

Costas has effectively promoted the concept of coastal and marine reserves/limited access areas. Panama's Bocas del Toro lobster refuge is now central to the Maritime Authority's plans for regional lobster management for the province. Similarly, fishing restrictions proposed as part of the declaration (Pending) in the Port of Honduras Marine Reserve in Belize are central to the Belize Fisheries Department efforts to manage snapper stocks and protect breeding aggregations. As there are little biological or accurate fisheries landing data on which to base a traditional fisheries management plan for Central American Caribbean fish stocks, if demonstrably successful, these experiences can serve as a regional model for conservation and sustainable management of poorly understood fish stocks.

Costas has had notable success in having coastal areas in facilitating designation of new protected areas (in Belize, Honduras and Guatemala) and in linking coastal protected areas with biological corridors, pointing to successes in both co-management models and in regional recognition. The Costas strategy has been effective in increasing national and regional awareness of the importance of linking coastal protected areas to planned terrestrial biological corridors, including CCAD's design and planning efforts for the Meso-american Biological Corridor and the Honduran Pacific Biological Corridor.

Costas provides essentially the only fisheries forum (e.g., Voice of the Fisherman) in the region, and is increasingly involved in transboundary fisheries management issues (Gulf of Honduras, Gulf of Fonseca), gradually moving towards regional fisheries initiatives. The transboundary management models developed under Costas appear to be useful tools for regional fisheries management. However, the lack of either regional fisheries organizations or regional approaches to fisheries management impedes progress in this area.

### **7.1.3 Planning, Monitoring and Evaluation**

Social and institutional development is the main thrust of much of Costas site activities. This is an explicit recognition of the extent of human occupation and use of marine and coastal protected areas in Central America. This also recognizes the weakness of NGO, community and government institutions involved in managing resource use activities. Costas has successfully incorporated key social issues in the planning and increasing the relevance of, site activities and promoting local ownership. The current monitoring plan is proving successful in measuring changes in management processes and institutions. The plan is based on an approach developed and used successfully in terrestrial protected areas, including those in the USAID-TNC Parks in Peril activity, focuses primarily on processes, and uses subjective site management indices to monitor progress, including: (a) protected area management; (b) governance and local policy; (c) institutional strengthening; (d) regional policy; and (e) integrated coastal management capacity building. The current plan recognizes that impacts are implicitly inferred from improvements in processes, that management of coastal and marine protected areas is a social and institutional process, and that monitoring for biophysical impacts can be costly and difficult, especially within the short time frames involved.

Costas sites are home to some activities of other PRORACA components. For example, the Gandoca-Bocas del Toro site hosts both CAPAS activities around the protected areas and LEPPi activities in the municipalities. A similar series of activities is centered in the Gulf of Honduras, with LEPPi sites in La Unión, El Salvador and Choluteca, Honduras. These actions provide a model of inter-component coordination that can potentially magnify overall PROARCA impacts and efficiencies of scale.

### **7.1.4 Management and Administration**

The RSTA system is key to the success of Costas activities and is well-regarded by Costas partners. It is adaptive, site oriented, responsive to local needs and conditions and provides a vehicle for continuous technical support. RSTAs are regarded as "honest brokers" of coalition building and conflict resolution, and their continuous presence demonstrates a long-term commitment to the site, the partners and the process.

The Costas small grants program, which is in reality a mechanism to finance partners' participation in project activities, is flexible, adaptable and designed to take advantage of evolving opportunities. The Puerto Barrios port contingency planning initiative provides a clear example of the ability of Costas to recognize and support innovative approaches and coalitions, and to achieve significant successes with relatively small investments. The Costas grants program appears to be well designed to support longer-term, process-oriented activities and is well received by grantees involved in mid- to long-term activities designed to improve processes, such as fisheries management in the Gulf of Honduras and Gulf of Fonseca.

Project management has effectively assumed more authority for implementation of activities and focused parent organization (TNC, WWF) activities on strategic direction. As a result, Costas is more field-oriented, more responsive and adaptable to evolving conditions at the sites.

## **7.2 Opportunities for Improvement**

There are immediate and evolving opportunities for Costas to increase the effectiveness of its regional involvement in marine resources management issues. The following are considered areas where Costas should improve its strategic and operational thrusts.

### **7.2.1 Participation**

Until quite recently, there had been extensive reliance in Costas on but a few NGOs as partners, perhaps due in part to the lack of NGOs on site and the start-up nature of activities. But this narrow focus has risks as some of these partner organizations (for example in Belize and the Costa Miskita) have had internal organizational and implementation difficulties. This has both impeded progress towards Costas objectives at the affected sites and has unnecessarily involved Costas management in the internal affairs of the partner NGOs. There are also additional risks in working with one NGO or in providing support to one NGO over another, which may be perceived by some community members or "excluded" organizations, correctly or incorrectly, as favoritism. There is also a risk that community members may view partnerships as endorsements, *quid pro quo*, of the goals and objectives of partners. Existing local NGOs are likely to have organizational objectives unrelated to Costas site management objectives. For example, in the Costa Miskita, partner NGOs MIKUPIA and MOPAWI have their own social, political and economic objectives.

While Costas has made some efforts in involving government agencies in marine and coastal resources management coalitions, it works almost exclusively with NGO in protected areas. In many cases government agencies are informed and involved in the activities, such as in Bahía de Chismuyo, Honduras. On occasion, however, there has been little or no involvement of government agencies in the designation or management of the protected areas (e.g., CONAP for Cerro San Gil and Punta Manabique reserves in Guatemala). While working with NGOs strengthens co-management initiatives, government involvement increases agency knowledge. It is important to clarify that there is an inherent weakness in government agencies due to insufficient personnel and inadequate resources to mobilize that, in some cases, has limited their participation.

Many marine and coastal resources issues, such as fisheries, agriculture, water quality and land use planning, are the responsibility of government agencies outside of national environmental ministries. CCAD is only made up of ministers of the environment, but not ministries of agriculture and natural resources that may include these sectors. While CCAD is well placed for regional leadership in coastal and marine protected areas, biodiversity and environmental protection (port contingency planning), it may not be the only or most appropriate partner for integrated coastal zone and marine resources management. Also, while integrated coastal zone management is recognized as a regional issue by CCAD, outside of Belize there is little action on the national level.

Costas has, to date, been weak in the dissemination of results of successful activities, lacking a clear communications strategy and staff time dedicated to such actions, even where these are sorely needed among actual and potential partners. This weakness significantly hinders Costas' ability to carry out its regional mandate to develop models of coastal management and share them throughout the region. Another major shortcoming is the failure of sharing of experiences and lessons learned either among the RSTA staff or among partner organizations from the various sites. Also, NGOs can and should exchange views and knowledge. There has been



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a limited degree of exchange among NGO partners from the various Costas sites (principally at regional workshops) and while beneficial, it is insufficient.

There has been a good amount of information developed by Costas for transboundary marine/coastal issues, including the “brechas” studies and the “marco legal” for manatee protection. Much of this work has been done at the behest of SE-CCAD. However, the Evaluation Team finds that, while the quality of these studies is generally good, utilization of the information appears to be relatively limited. This suggests a weakness in the design and/or planning of studies and their linkage with technical activities and inter-component coordination.

National governments tend to have varying views of the regionality of Costas, depending on the level of activity in the country. For example, El Salvador government institutions activities in the Gulf of Fonseca as primarily Honduran, while Honduran agencies see the Gulf of Honduras activities as only benefiting Belize. The Evaluation Team found that planning and technical activity support is indeed weighted to countries where RSTAs reside (e.g., Honduras in Gulf of Fonseca, Belize in Gulf of Honduras), explicable in that the RSTAs spend more time and have better contacts “closer to home”. This tends to reinforce the national perception that projects are not truly transboundary. There is also little awareness on the part of agencies in countries that national activities in a neighboring country can have large regional impacts (e.g., Puerto Barrios port contingency, fisheries management and marine protected areas in the Honduran sector of the Gulf of Fonseca and in the Belizean sector of the Gulf of Honduras).

Ties and relationships with other regional coastal programs and activities are not highly developed. With the exception of sister projects within which TNC and WWF have participation and several GEF initiatives (including SAM), the Evaluation Team perceived limited evidence of collaborations with other regional programs and organizations working in very similar technical themes within the Caribbean and Pacific regions (CARICOMP, IOCARIBE, UNEP-CEP, NOAA, University of Miami/RSMAS and various others). Consequently, there is a possibility that certain lessons learned, technical information and potentially fruitful synergies and co-financing opportunities are not being utilized.

### **7.2.2 Technical Aspects**

There is little technical or science-based activity involved in any of the sites. The Evaluation Team feels strongly that this is a critical weakness that undermines effective resources management, implementation of pilot productive-use activities, and monitoring and evaluation of impacts of project actions. This was the role foreseen in the technical proposal accepted by USAID as part of the cooperative agreement for Costas for the University of Rhode Island/Coastal Resources Center, but which, apparently never materialized. The Evaluation Team was told that URI’s role was reduced because of budget constraints.

Regardless, a sound technical basis is critical to the design of effective interventions because it permits the establishment of tendencies and in some cases, cause and effect relation of project interventions. Improvements in management and decision making are necessary but not sufficient to improve the status of biological or physical resources. Focusing only on the management and institutional issues addresses only part of the issues of unsustainable use of resources clearly identified in the site profiles. It is only from biological data that conclusions can be drawn that marine reserves to protect fish stocks or endangered species are actually functioning as intended. This is particularly important in coastal resources and fisheries management. Only by examining the impacts, for instance, to water quality or targeted aquatic species population levels, can the effectiveness of the interventions (in terms of both biological impact and cost/benefit) be evaluated. It is also the only mechanism to determine the direction and magnitude of any needed adjustments to the resources management approaches over the course of the Project.

Costas terrestrial protected area management activities in coastal sites are very similar to work done under other PROARCA components. This is primarily a design issue, where similar activities are undertaken by different components. There have been missed opportunities of increased efficiencies and synergies that could have been

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realized from closer coordination and planning of terrestrial protected area activities among SE-CCAD (PROLEGIS and PROBIO) and CAPAS components.<sup>3</sup>

There has been only limited emphasis, much of it incipient, on productive activities in most sites (activities with TIDE in Punta Gorda are the most advanced). The emphasis of the management of protected areas and protection of biological diversity has shifted the strategic focus away from resources management and use. There are examples of plans for community use of resources (forestry in Costa Miskita, ecotourism development in Belize and Bocas del Toro), but the theme appears to be a low priority within the Costas framework, even while expectations are very high among the communities for increased benefits from the activities, including income generation through productive use. This is a key ingredient for protected areas management and resources already used by the resident population. Lack of focus on productive, community management and use of the resources may affect sustainability of activities. First, community support for coastal management activities depends, in part, on returns from resources use. Second, long term financial sustainability of protected areas and management plans depend on income generated by these areas.

A problem analysis has been used to identify the principal threats to important marine resources at all project sites. However, the findings have been underutilized in the design of site activities and management plans. Particularly important are threats external to the site, such as upstream watershed activities, often one of the most important threats to coastal and marine resources. For example, the Gulf of Honduras Site Overview identifies water quality degradation due in part to upstream land use, as a key threat to the Gulf. Similar findings were made for the Gulf of Fonseca and the Gandoca-Bocas del Toro region (specifically San San and the Changuinola region). Apparently, threats analyses has not coincided with community priorities in some locations (e.g., Port of Honduras, Belize), and plans to address watershed issues were dropped in favor of community priorities. The divergence of community priorities and prioritized threats suggests that there is a need to make communities more aware of actual (as opposed to community-perceived) threats to their resources. It further suggests that the threats analysis more fully incorporate community participation and valuation of their priorities in the evaluation process. An excellent example of a low cost, community based watershed awareness activity is the “Adopte una Quebrada” program recently implemented by the La Selva Biological Station in Puerto Viejo, Costa Rica, within the Gandoca Costas site area.

While important products have been prepared to guide integrated coastal management practices, development of best practices for productive uses has been slow in developing. This is a key USAID requirement as specified under the Environmental Threshold Decision governing any productive-use activities promoted by the Project. While this is likely due to the complexity involved in bringing together all stakeholders (e.g., shrimp farm development in Gulf of Fonseca), it continues to impede the development of productive uses of resources.

Many marine resources management problems are rooted in policy and institutional issues and have been issues for a long time (e.g., manatee conservation in Gulf of Honduras). Lack of coherent policy and inadequate enforcement (e.g., poaching in Gulf of Honduras, Gulf of Fonseca) are key issues affecting transboundary fisheries. Yet, beyond the financing of studies to better understand the problem, little substantive activity has taken place to deal directly with these transboundary legal and regulatory issues, nor was SE-CCAD (PROLEGIS) assistance accessed to sufficiently support such an initiative.

### **7.2.3 Planning, Monitoring and Evaluation**

Strategic plans focus almost entirely on the protected areas with much less emphasis on the resources that make these areas valuable. Integrated coastal management is addressed only in the context of coastal marine protected area activities, rather than a regional theme of significance in its own right. Annual work plans have been prepared in isolation, with little exchange of lessons learned among sites. There are numerous unrealized opportunities for improving efficiency, sharing lessons learned and coordinating action in the planning process. While tools such as land-use planning, zoning and GIS to support planning and monitoring functions were proposed in the original project design and subsequent Costas cooperative agreements, and were in evidence earlier in the Costas activities, these have declined in importance. Currently, little integrated land and resources

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<sup>3</sup> Note: this is also a crosscutting planning and management-administration issue.

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inventory and management is being carried out. Some of Costas' work is being presented in automated map format, but the Evaluation Team did not observe any evidence of true analytical GIS activity. This has led to a weakening of analytical and science-based planning and monitoring functions.

While all Costas sites had site profiles prepared, only one site had completed a protected area Rapid Ecological Assessments/REA (Bocas del Toro), with additional REAs either underway (Chismuyo) or planned in the near future (Punta Manabique). However, given the strong protected areas focus of Costas activities, the delay in REA may weaken management planning for affected coastal/marine protected areas.

The development of monitoring plans for each site took place significantly after the start of activities. This appears to be due to a combination of factors: (a) difficulties inherent in start up; (b) difficulty in agreeing on what to monitor and for what purpose; (c) personnel changes (especially a change in Costas leadership); and (d) lack of PROARCA management (USAID/G-CAP and implementing partners) emphasis on development of indicators and monitoring plans. Biophysical data is normally required to understand the complexities in threats to conservation and sustainable uses of coastal and marine resources, as well as to monitor and evaluate the efficacy of technical interventions and the costs/benefits of project investments. With the focus of monitoring almost exclusively on management and institutional processes and little focus on biophysical data, the Evaluation Team finds the monitoring plan is incomplete.

The Evaluation Team recognizes that both international and local NGOs wish to reflect the views of the communities they work with. However, the Evaluation Team was sometimes unable to clearly identify the community needs and expectations (as opposed to municipal government and local NGO needs and expectations) within the overall context of the site management plan. Coincidence of project objectives and local community demands varies considerably among sites. Baseline data on community perceptions and expectations are not adequately reflected in the "scorecard" monitoring approach used in Costas.

Biophysical data are also needed to carry out environmental assessments, which are required to comply with the Conditional Negative Determination issued for PROARCA under the Environmental Threshold Decision (LAC-IEE-95-24). The Conditional Negative Determination described in the Initial Environmental Examination (IEE) finds that certain activities may result in temporary negative impacts that may require mitigative action to ensure environmental integrity. It specifically calls for environmental/best management practices guidelines to be developed to "...design subprojects *and evaluate their environmental impacts*" (italics ours). Biological or physical data are the only acceptable means by which to make this evaluation for activities involving the use or management of resources, as cited in the environmental guidelines prepared for Costas (Section 5.3 - Rodriguez 1998). For example, USAID and Costas guidelines call for environmental assessments based on specific biological criteria prior to financing activities such as sustainable harvesting of marine turtle eggs at Ostional, Costa Rica, or community management of forests in Lisangni, Costa Miskita Nicaragua. A number of activities planned by Costas for implementation are *not* in compliance with USAID Environmental Guidelines (1998) and requirements that environmental assessments be carried out for certain activities with anticipated or potential environmental impacts. Activities requiring assessments include management plans for community based forestry, fisheries management and implementation of protected area management plans that include ecotourism (e.g., Gandoca, Bastimentos, Port of Honduras) or extractive uses (Paynes Creek-Port of Honduras, Gulf of Fonseca).

#### **7.2.4 Management and Administration**

Because of the diversity of backgrounds and training, RSTA strengths vary among sites, and on occasion, certain technical were not available to meet evolving site needs (e.g., micro-credit in Costa Miskita, coalition building in Gulf of Honduras). Recognizing the strengths of the RSTAs and the RSTA based approach, it is also important to recognize and identify any weaknesses in the RSTA technical background against the specific needs of each site. This is the basis for both planning technical assistance for each site and for developing individually tailored training activities for the RSTA team.

Some contracted studies (e.g., some "brechas" work) had good concepts but weak designs, resulting in less effective technical support. This suggests that the design of technical studies and services had inadequate technical scrutiny during the review and approval process, including back-to-office support.

The process for selection of Costas NGO partners and grant recipients is informal and fairly loosely defined. Some sites (Bocas del Toro–Gandoca) have a better defined outline of how individual partners, their activities and objectives contribute to achieving overall site objectives. While providing advantages (e.g., take advantage of arising opportunities), for most Costas sites this design left unclear how each *partner and their activities will contribute to achieving long term site objectives*. The criteria presented were (a) presence in the site, (b) experience in key management themes or interest in management of key protected areas, and (c) administrative capacities to conform to USAID requirements.

Financial sustainability of partner NGOs is a site management index in the monitoring plan but it does not appear to be a priority. While there has been some training of partner organizations in financial-administrative management, apparently no assistance and training has been provided in aspects of organizational and financial sustainability (membership and board development, project preparation and proposal development, co-financing and fund-raising, etc.). Because financial sustainability does not appear to be a priority issue for Costas, this may significantly affect long-term sustainability of local as well as transboundary activities.

Also, while Costas has initiated coordination with other donors in addressing complex coastal/marine resources management issues, this is still limited, and there is scope for improvement. A specific example involves the Gulf of Fonseca and cooperation with PROGOLFO, financed by DANIDA. Opportunities to share data and combine strategic and annual program planning to allow local partners to be more effective and efficient and promote wise use of financial resources have been limited. For instance, Costas will be publishing an atlas of georeferenced information on resources only for the Honduran sector of the Gulf of Honduras, even as PROGOLFO has data that could contribute to such an atlas for the entire Gulf.

Finally, the Evaluation Team detected several management and administration difficulties inherent in international NGO consortia. Strategic and annual planning, matching fund-raising, accounting and personnel management policies, and even some technical approaches differ among the members of the consortia. This has caused some frictions in project implementation at all levels. TNC and WWF have largely segregated themselves by sites, which has had some negative influence on site activities, especially in terms of management and technical efficiencies. The Evaluation Team also noted the absence of URI/CRC in current project activities, which seem to be limited to technical review tasks in the University's home office in Rhode Island. It was explained that URI played an important role at the outset of Costas activities, especially in site and organizational development, but that participation is now limited by budget constraints.

## **8.0 Environmental Protection and Legislation Component: Findings and Conclusions**

In this section, findings and conclusions are presented by sub-component under each analysis parameter. In accordance with the Evaluation Team's analysis, the following achievements and principal strengths of each sub-component were shown, followed by opportunities for improvement.

### **8.1 Successes and Strengths**

Each sub-component of this component has had particular achievements and strengths because they are carried out in an individual way. However, there have been instances of synergistic implementation among sub-components that are considered to be strengths. The LEPPI sub-component has met its goal of initiating ten environmental sanitation projects, exceeding the goal in the case of Panama where processes are being carried out to establish a total of five solid waste management projects with financial support of the bilateral USAID mission. Each one of the LEPPI projects is in a different stage of implementation, from the participatory process of identifying priorities for community environmental sanitation, to feasibility studies for the projects selected and, in some cases, the inauguration of finished projects.

The CCAD, through the PROLEGIS and PROBIO programs financed under PROARCA, has been active at the Central American level in the inclusion of environmental action and protection of biodiversity matters, responding to the commitments stipulated under the CONCAUSA agreement. CCAD has used several coordination workshops, short training courses, disclosure materials, and the provision of technical and political assistance to

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establish and/or modernize the pertinent legal-regulatory frameworks at the national level in response to the responsibilities entrusted by the regional and international conventions and treaties in matters of environmental protection and biological diversity.

The EPA, through its PASA agreement with USAID, has actively responded to requests for technical assistance, training and the provision of technical consulting material over a wide range of themes that run from the text of laws providing a framework for environmental protection methods for assessing environmental impact, the management of toxic and dangerous substances, and as far as supervision and quality control in technical design and construction of environmental sanitation works. EPA personnel have served as partner and technical consultant both for CHF for the LEPPI projects, as well as for the CCAD in environmental legislation harmonization and application and in pollution prevention implemented under PROLEGIS.

### **8.1.1 Participation**

#### LEPPI

With the Steering Committees, integrated forums have been created comprised of representatives of the municipal governments, civil society interest groups, and representatives of decentralized organisms of national government. The committees include instances of decision making and shared management in projects of municipal benefit, thus highlighting the importance of civil society participation in the democratic governing process.

LEPPI also has facilitated development of environmental sanitation actions, and their financing, in communities traditionally excluded from this support. In some of these projects, it was possible to stimulate technical and financial support, which is being shared with the bilateral USAID missions.

#### CCAD (PROLEGIS and PROBIO)

CCAD, through PROLEGIS and with technical support of EPA, has participated actively in the strengthening and/or establishment of some regional networks for coordination and consultation in among others: legal environmental aspects including the Network of Environmental Law Organizations (RODA), the Mesoamerican Association of Environmental Law (AMADA) and the Central American Network of Application of Environmental Laws; a regional association of skilled technicians who are responsible for environmental impact assessment; and a commission of registry chiefs and those responsible for pesticide programs, and regional and international organizations related to pesticides.

Through PROBIO, CCAD has contributed to establishment and/or strengthening of, among others: the National Commissions for Biological Diversity (CONABIO) and in a regional network of these organizations and a regional network of access to genetic resources, the Mesoamerican Network of CITES and a regional network for focal points for implementation of the Ramsar Convention. These networks serve as forums for information exchange and coordination of actions for biodiversity conservation at the national and regional level.

CCAD has achieved a certain synergy in the co-financing and management of some activities related to the PROLEGIS (CAPAS, Costas, OPS, GTZ, PNUD and COSUDE) and PROBIO (CAPAS, UICN, PROGOLFO/DANIDA), especially in training and coordination of regional events.

### **8.1.2 Technical Aspects**

#### LEPPI

With EPA assistance, CHF has been able to embark upon a series of municipal environmental sanitation projects, some using appropriate technology for small urban centers (2,000 - 18,000 inhabitants), largely based on the environmental action plans. Some of the projects may serve as pilot projects that would be potentially replicable in communities with similar socioeconomic and environmental conditions in particular countries of the region.

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## CCAD and EPA (PROLEGIS and PROBIO)

Through PROLEGIS, and with technical contributions from the EPA, CCAD has contributed to development of fundamental legislation and regulation in matters of environmental protection in all countries of the region, including preparation and promulgation of framework environmental laws for five countries in the region. CCAD also has facilitated formation and strengthening of regional forums and networks for experience exchange and to provide technical assistance in subjects of environmental impact assessment, application of regulations and judicial processes for those responsible for environmental violations, and in safe handling of pesticides.

With the support of EPA, there has been improvement in basic technical capacity and orientation for various government officials, including judges, prosecutors, attorneys and officials responsible for steering the legislation and regulations for environmental impact assessments and audits (including formation of a Central American experts group as trainers) and for disposal of exhausted pesticides (for technicians and representatives of agriculture and the environmental authority). These have contributed to increasing human resource technical capacity in the region. EPA also has intervened to give rapid response in some emerging cases of toxic substance pollution, proposing technically appropriate solutions according to the case.

For PROBIO, CCAD is supporting regional national authorities in development of strategies and policies, promulgation of laws, preparation of plans and tools, and regional training related to implementation of the CITES and Ramsar conventions, response actions for Climate Change, protected areas co-management, Mesoamerican Biological Corridor conservation and protection, and Mesoamerican Reef System conservation.

### **8.1.3 Planning, Monitoring and Evaluation**

#### PRIDE

With support provided by a buy-in to PRIDE project services, a Regional Environmental Action Plan was developed which serves to guide EPA support activities to major component objectives. It established a working relationship with CHF and CCAD for implementation of LEPPI and PROLEGIS, respectively.

With the initial pilot projects of LEPPI supported by PRIDE in Usulután and Puerto Barrios, an appropriate participatory methodology has been applied and tested for environmental risk analysis and prioritization of actions and environmental sanitation projects at the community level. This methodology includes a number of workshops for co-participation with the municipality, civil society and CHF in community environmental profile and environmental action plan development.

#### LEPPI

The participatory processes for risk analysis, problem prioritization and creation of environmental action plans have served to orient municipalities in organization and planning appropriate to their management. They also have been able to regard environmental protection as a fundamental idea in governing and development plans at the municipal level in the sites served by the sub-component.

## CCAD and EPA (PROLEGIS and PROBIO)

CCAD, through PROLEGIS and with the support of the EPA, is facilitating gradual insertion of regulatory material for environmental protection into the political agendas of the national and municipal governments. With PROBIO support, CCAD has helped single out the themes of CITES, Ramsar, Climate Change and biodiversity conservation within national government planning in the region, especially with integration of the Regional Network of National Biological Diversity Commissions. Also, PROBIO is directing a process for establishment of the Mesoamerican System of Biodiversity Information - SIMEBIO.

## **8.1.4 Management and Administration**

### LEPPI

Under LEPPI activities, multiple planning and technical design activities were implemented out of a total of ten environmental sanitation projects in all countries of the region except Belize. Even with limited grant funds, implementation of pilot scale projects was achieved in Puerto Barrios, Guatemala (wastewater) and in Puerto Viejo, Costa Rica (transfer and classification of solid wastes). The bilateral USAID missions have also been involved in co-financing environmental sanitation works in Choluteca, Honduras (wastewater) and Usulután, El Salvador and Chilibre, Panama (transfer and classification of solid wastes). In six of the projects, the implementing-beneficiary municipalities of the projects have contributed with their own funds, labor and equipment, and in four of the projects the citizens contributed with their valuable labor. CHF has administered the funds of its cooperative agreement in an efficient way, opportunely providing the funds needed for financing participatory workshops for preparation of environmental action plans, designs of works and their construction (an average of \$50,000 per community), and in providing technical-administrative assistance of their in-house staff. In some projects, CHF/LEPPI initiated its support activities for initiatives already underway in the communities (e.g., Usulután), advancing the environmental sanitation objectives already prioritized but as yet incipient.

CHF consistently accessed technical support from the U.S.EPA in prioritization and final selection of sites, design and quality control of the sanitation works, and review of environmental impact studies. EPA also gave short courses in environmental sanitation, including aspects of wastewater and solid wastes. In the pilot project for collection, treatment and disposal of wastewater in Puerto Barrios, EPA has been very active in supervising construction of the works.

In this way, it has achieved synergy in the use of LEPPI funds and available resources under the PASA agreement between USAID and EPA.

Jointly with municipal authorities, CHF has begun to manage the promulgation of municipal ordinances for the correct operation and charge for environmental sanitation services provided by the projects supported by LEPPI - an aspect which is very important in guaranteeing the sustainability of the projects undertaken.

### CCAD and EPA (PROLEGIS and PROBIO)

USAID, through PROARCA, is financing 66% of personnel salaries and equipment of the SE-CCAD, technical-political workshops, communications and the meetings of Ministers and liaisons of the CCAD and the Technical Councils. This financing has been essential for CCAD functioning in recent years, and has contributed to achieving multiple politic and environmental objectives under the ALIDES and CONCAUSA conventions.

With funds from PROARCA, CCAD has been able to act as a catalyst and facilitator in raising the awareness and response capability of the member countries in matters of legislation and regulation of environmental protection at the general level and in adoption of more active strategies and participation by the countries in promotion of biodiversity protection.

CCAD through PROLEGIS, has accessed EPA professional technical services in a continuous and consistent manner to support its activities technically, attaining synergy in use of the CCAD program funds and the resources available under the PASA agreement between USAID and the EPA. EPA has been able to respond with advice and technical assistance according to how the regional demands are presented, as articulated through the CCAD. The CCAD seeks to negotiate a memorandum of understanding directly with EPA to provide follow-on for the activities started under PROLEGIS, in provision of advisory and training services with COSUDE co-financing - a demonstration of the relation's success.

## **8.2 Opportunities for Improvement**

If the implementing agencies of the sub-components under the Environmental Protection and Legislation component have been able to put in motion a large assortment of environmental protection and legislation

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initiatives at the Central American level, by the same dispersal of activities and lack of integrated strategic planning, both thematic and geographic, there are a number of opportunities to improve the technical and administrative efficiencies and the impact of the promoted activities. This situation in part is owing to the original design of the PROARCA project which, although it was such a complicated project of many components, did not place sufficient emphasis on strategic planning and annual integrated programming. On the other hand, USAID/G-CAP's failure to encourage that integration during the life of the project has contributed to an implementation by the three principal components of PROARCA and among the sub-components of the Environmental Protection and Legislation component which is virtually individual and separate.

### **8.2.1 Participation**

#### LEPPI

Except for the membership of the Steering Committees participating in the 14 LEPPI projects and the USAID bilateral missions, the number of public and private entities who know about the LEPPI activities is very small, even among partners of the other PROARCA components. There has been no active participation detected, or at least the expression of their approval, from the national institutions that govern environmental activity in the prioritization of themes and activities included in the annual work plans under the subcomponent. According to the institutions responsible for managing the environmental impact evaluations for the projects in El Salvador and Guatemala, and the case study analysis of the sanitary landfill in Bocas del Toro, Panama, they were not involved in the management process until very late in the Project cycle resulting in a bad selection of sites, in some cases, and consequent delays in the processing of the environmental certification documents.

In several of the projects served under LEPPI, the participatory process resulted in the prioritization of an activity under the environmental action plans which, in the last analysis, was not the action ultimately selected for development with the resources provided by LEPPI. Although the final selection was made at the end of the day, and according to a cost comparison between the different actions, the decision not to proceed with the chosen action - which resulted from the participatory process - tends to reduce the validity of the greater process and to confuse the participants in the process. In other cases, there was a lack of flexibility to adapt the process according to the organizational level of the groups and the development stage of the project; for example, it is forced to pass through all the stages of the participatory process (three or four workshops) even when the community already had one or more years acting on the sanitation project. Owing to the long process of action for some projects (up to three years), the interest of the Steering Committees has lessened, with only groups of 4 to 7 persons remaining in the committees, placing in doubt the possibility of carrying out the projects included in the environmental action plans due to abandonment by the communities.

Beyond the cases of some bilateral USAID offices, there have been no important collaborations with other national and international institutions to finance sanitation works in the countries, even when there are programs better financed by multilateral institutions, such as the sanitation projects for intermediate urban centers financed by the IADB and World Bank. There is a danger of creating high expectations in the communities and among members of the Steering Committees to count on environmental sanitation projects. However, obtaining the necessary financing, they may feel deceived for having participated in a process for such a long time without achieving its objectives. This makes it very difficult to motivate communities to participate in similar processes and projects in the future.

#### CCAD and EPA (PROLEGIS and PROBIO)

While there have been instances of collaboration with other technical and financial assistance agencies in the activities of training and coordination under PROLEGIS and PROBIO, there was no important collaboration and participation with entities which, in the judgment of the Evaluation Team, would have been appropriate partners. In the majority of countries in the region there are special institutional strengthening projects in environmental management and biodiversity conservation financed by the IADB and World Bank (there is particular mention of the technical cooperation of the IADB for Guatemala and El Salvador, and the Proyecto de Desarrollo Ambiental of Honduras, financed by the World Bank). These projects have similar, if not identical, objectives and activities which promote the CCAD under PROLEGIS and PROBIO. However, the Evaluation Team did not see great



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efforts to attain technical or financial synergy among them were not seen, even when the project financing capabilities of other groups are much greater than the PROARCA financial resources.

Similar to that of LEPPPI, the Evaluation Team found that the number of public and private entities that know the objectives and activities of PROLEGIS and PROBIO is small, even among partners of the other PROARCA components. The lack of encouragement for the participation of these entities has resulted in duplication of some activities, as well as lost opportunities to obtain institutional, technical and financial support.

### **8.2.2 Technical Aspects**

#### LEPPPI

In the judgment of the Evaluation Team, some projects managed with LEPPPI support are of such importance that they surpass the size of the projects originally proposed in the design of the component and the very capacity of CHF to manage and finance them. Examples include a solid waste project in Usulután and a wastewater project in Choluteca, Honduras. Both are multi-million dollar projects. Also, some technologies employed in the environmental sanitation projects may not be appropriate in relation to the sociocultural and economic reality of the sites. For example, the solutions to sanitation problems in Puerto Barrios may exceed US\$2,000 per dwelling - nearly on the level of the annual income for one family in the neighborhood to be served.

In some of the projects visited, there was a noted failure to collect basic physical and economic data about the communities and beneficiaries of the sanitation works. This situation complicated the cost/benefit analysis of the projects, and made it more difficult to define the “technological package” (packaging) extracted from the pilot projects for their subsequent diffusion and replication.<sup>4</sup> On the other hand, it should be mentioned that EPA had offered to carry out water quality monitoring activities in the Gulf of Fonseca as well as an activity of sampling and modeling (EMAP) of natural resources in the Punta Gorda zone, but the offer was refused by the Costas component Coordinator at the time for unknown reasons.

Some of the technological orientations and training provided by the EPA have not been in accord with the socioeconomic and environmental reality present in the countries of the region. The implementation of those facets of the project was not possible due to political, social and economic limitations. Furthermore, the sequence of proposed actions appears overly ambitious; that is, it would have been better to implement activities in stages rather than to attempt to execute all the stages of the projects at once. In some cases, especially at the beginning of a project, the limiting factors were the language used by the EPA readers and advisors, and the language used in the didactic materials distributed.<sup>5</sup> Also, the quality of the training is seen to be limited in some cases by the lack of program follow-up and reinforcement in the work sites of the participants. This problem is compounded by the lack of a program or resources to apply what has been learned.

#### CCAD and EPA (PROLEGIS and PROBIO)

Due to the high number of “priorities” under the activities managed by the CCAD, and the limiting factors of the SE-CCAD in finances and human resources, the activities have been dispersed and diluted from thematic and geographic perspectives. Efforts to promote biodiversity conservation and environmental protection, including policies, training, advisors and quick interventions, are seen to be very limited and of questionable impact.

The quality of the training is seen to be limited in some cases by the lack of a follow-up program and reinforcement of lessons learned in the work sites of the participants. This is a particular problem in cases of real environmental problems, under a strategic programming and with the financial-logistical resources to apply what

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<sup>4</sup> In the waste water project in Puerto Barrios, there were no samples taken of the contaminant load nor of the volume of the effluents from the residences to be incorporated into the treatment system. The efficiency of treatment (reduction in DOB5 and solids) and data on the quality of water in the receiving bodies were ignored as well.

<sup>5</sup> It should be noted that EPA’s priority criterion in providing assistance and training under the Project had been experience and not language.

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has been learned. Again, some of the technologies and training promoted by EPA have not been in accord with the political, socioeconomic and environmental conditions present in the region, and the limiting factors of the language employed by the readers and advisors, as well as the use of English in the didactic materials, have limited their effectiveness.

### **8.2.3 Planning, Monitoring and Evaluation**

#### LEPPI/EPA/CCAD (PROLEGIS and PROBIO)

Strategic planning and annual programming of activities between sub-components of the Environmental Protection and Legislation component (USAID, CHF, EPA, CCAD) has been nearly nonexistent. There has been no strategic planning or annual programming of activities between the executors of the other principal components of PROARCA, even in instances in which such integration would be fundamental for the success of the overall project. In few instances have the LEPPI, CCAD and/or EPA activities have been linked, thematically or geographically, with the other components of PROARCA - especially in the cases of Costas (pollution control in coastal areas), PROLEGIS/CAPAS and Costas (environmental management policies, sustainable use of renewable natural resources), and PROBIO/CAPAS and Costas (biodiversity conservation, climate change, Ramsar and CITES). The collaborations have been casual and incipient, not based on strategic planning or programming.

The location of the EPA representatives (in Washington and Atlanta) has limited development of a close working relationship. It has also limited the strategic and annual planning of certain activities. Without a continuous “presence”, EPA has had to respond to demands for its services (on-call retainer) without participating fully in the development of the strategies and with certain limitations in the planning of the activities on the project trajectory. On the other hand, the fact that EPA provides services under all the sub-components and with two counterparts (SE-CCAD and CHF) makes it difficult to consolidate their work plans and to respond in a timely fashion and with sufficient quality to the requests for technical assistance.

Basic economic and scientific data (biophysical and socioeconomic) are not being collected. This data is needed to analyze the costs of the LEPPI projects in comparison with their real socioeconomic and environmental benefits (for example, on water quality in relation to projects for waste water). In the case of the PROLEGIS and PROBIO programs managed by SE-CCAD, impact indicators have not been developed in order to be able to analyze progress in the attainment of the principal and intermediate program objectives; For example, data on the incidence of environmental infractions, water quality, incidence of incursions and illegal use of resources in protected areas and trade of species in danger of extinction.

It should be noted that, in the original PROARCA design, the CAPAS component was going to provide technical-managerial services in monitoring the impact of the activities under all Project components. However, these activities were never carried out under the CAPAS component.

### **8.2.4 Management and Administration**

#### LEPPI

Because of the changes and/or late hiring of the officials in the implementing agency of LEPPI/ CHF, the work under this sub-component was delayed. Most of the activities under the sub-component have been implemented under considerable pressure from project officials during the past 18 months, affecting both the work rhythm and the attainment of the goals and objectives programmed since its initiation. This particularly affected the project in terms of developing sustainable mechanisms for the operation and financing of the sanitation projects, as well as preparation of the technological packages derived from the pilot projects so that they might be circulated and replicated. There have also been strategic changes in the administrative methodology, requiring execution of some physical works with limited resources, and changes in the transfer of grant funds to the municipalities (they were changed from credits to grants handled directly by CHF).

Even though the Steering Committees have served as forces of change in their communities, exercising social pressure on the municipal governments (e.g., through a resolution or decree) and run the risk of disappearing if their management capacity is substantially reduced or the mayor changes.

Quite late in the process, LEPPi has begun issuing municipal ordinances to require the establishment of policies for operation of the sanitation works by private enterprise and/or municipalities and charging for the services of environmental sanitation. Even so, the concept of financial sustainability does not seem to be well understood or accepted by the members of the Steering Committees, the municipal governments, or the private sector.

### CCAD and EPA (PROLEGIS and PROBIO)

For the past year, the SE-CCAD has been in a major institutional transition. It is being integrated under the auspices of SICA. This has meant that PROLEGIS and PROBIO have been working without a fixed policy and technical direction, weakening their efforts to affect medium and long-term activities.

As mentioned previously, the EPA officials' location in Washington and Atlanta has complicated the administration of resources destined for certain activities and the timeliness and quality of programming the technical contributions for PROLEGIS and PROBIO programs.

## **9.0 Evaluation Questions Set Forth in the Terms of Reference of the Evaluation Contract and their Responses by the Evaluation Team**

In this section, the Evaluation Team answers the specific questions expressed in the Terms of Reference of the Contract USAID/G-CAP/ARD. The questions are presented below using the same enumeration found in the Contract, followed by the responses in Italics. It should be noted that the large majority of the questions are answered or supported by the main text of this evaluation report.

### **9.1 Specific questions related to CAPAS**

1. How effective has CAPAS been in the use of the regional technical experience through arrangements with consultants?

*It is the opinion of the Evaluation Team that CAPAS has been very effective in identifying capacities and technical experience in the region for development of subjects related to the areas in which it is working. The documents produced and the consulting work in large part are of high technical quality and have been developed by national experts and/or from the countries of the region. Additionally CAPAS has been able to establish a network of experts (especially in Costa Rica and Guatemala) which should be extended to other countries if the capacities exist.*

2. Is the process used to announce, review and select proposals for small grants by CAPAS the appropriate one?

*For the second occasion on which CAPAS authorized the small grants contact was made mainly with the NGO participants in the first process and to some new ones through a selection work (internal to CAPAS, with close ties with the personnel of G-CAP which was based on the following procedure:*

#### **Announcement:**

*Based on preliminary lists of NGOs at the disposition of CAPAS about 623 entities were invited to participate in the competition for presentation of proposals on subjects managed by CAPAS (with formats from the same previously sent to SE-CCAD). Direct contact was made with them through e-mail, letters of invitation and other direct means. There was no use made of media of mass communications (for example announcements in newspapers printed in the region) for a decision between CAPAS and GCAP which was based on economic reasons (opportunity cost) and efficiency (it was perceived that there was a risk of receiving proposals of every kind and quality).*

**Review of Proposals** of the Total of 80 entities invited in the first phase of small grants, about 77.5% were received as answers (62 in all); for the second invitation of 623 entities, 24% were received (150 in total). The review of these - after their reception and classification by subject - was done in two phases, in internal to CAPAS in which each one of the thematic technicians and specialists relative to his field. The technicians to CAPAS were responsible for selecting those proposal finalists. The second phase consisted in the formation of a proposal review committee, (*ad honorem*) to whom the final proposals were presented for the personnel of CAPAS. Finally, the selection of the finalists was presented to G-CAP (for contractual reasons) which approved the proposals to be formally presented to the Council of Ministers of the Environment of Central America. Each proposal had to be accompanied by a letter of endorsement from the national authorities (also for contractual reasons). In the case of the second grant there were problems in this last part of the process because the Ministers of Environment were not aware of a relations of approval of the Ministries under their charge with the proposals presented. The criterion was used of distributing a maximum number of small grants per country of which there were considered those with the greatest technical scientific value, this with the purpose of complying with the demand for equality of distribution required by the countries.

The Evaluation Team believes that CAPAS carried out an ever larger effort to announce the beginning of the process, doubling in the second year the number of organizations contacted which is further shown by the number of responses received during the second process as compared to the first process. This is a subject which always will be subject to discussion, because there will always be different ideas about what is the appropriate number to distribute, knowing that there are many organizations in the region. This was a very debated matter within the Evaluation Team because there are criteria entering into play such as equity, justice, freedom of access, political aspects and many other aspects. The process was explained to the Evaluation Team in detail and after learning what it implies and the necessary review work we reached the conclusion that for the purposes of efficiency the decisions taken to make the announcement were appropriate. It is pertinent to state that can always be broader and to make publications in newspapers of large circulation for example, but with the quantity of resources to distribute a massive circulation of this nature could result in being more expensive than the resources distributed. In this sense the Evaluation Team recommends to always attempt to maintain a balance seeking to not fall into deliberate marginalization of groups or organizations.

Considering all the elements related to the process, among the important ones being the level of consultation, the time involved in carrying it out, the levels of consultation, the costs involved and the pressures from different sources which are generated during the process of judging the Evaluation Team considers that the process was appropriate.

3. Was the composition of the Review Committee for proposals the appropriate one from the technical and institutional point of view?

The committee was comprised of 8 persons selected between those regional entities and USAID missions related to the subjects (in the case of the second grant representatives were convoked from the SE-CCAD, CCAB-AP and Costas); also, specialists were invited who had previously been identified by CAPAS (specialist in APs, specialists in CITES, one from the CAPAS staff and one representative of a Central American country which was not represented by the other members. CAPAS defined profiles of the selected members. One inconvenience is that of not participating from the beginning of the deliberations for preselection of finalists, the Review Committee could not have all the inputs necessary for effective decision making. This participation is made more difficult when it is considered that their work is voluntary. The effectiveness of the committee was appropriate if all the factors involved are considered.

4. Were the criteria for the selection of the non-governmental organizations appropriate?

The Evaluation Team considers that the large majority of the small grants have been successful. This clearly shows that the criteria for selection of the organizations were appropriate.

5. Is the process used to assure the approval of government entities the appropriate one? Is CAPAS seeking the approval of these entities appropriate? The governmental participation creates the possibility of politicizing the process of making small grants? How may this possibility be minimized?

*The Evaluation Team that the formal process of approval for the small grants appears to be the most appropriate. The consultations made by the Evaluation Team indicate that CAPAS has had contact with the institutions which in the best judgment of the Technical Team and in consultation with USAID/G-CAP have been the appropriate entities. It is the belief of the Evaluation Team that the fact that government participation creates the opportunity of politicizing the process is an intrinsic situation. It is not possible for the Evaluation Team to make a recommendation in this sense because the behavior of the government representatives as of any other member of the committee is personal and unpredictable. The recommendation would be to avoid conflicts of interest as much as possible.*

The Selection Committee may consider the following aspects:

- *The early incorporation of the governmental entities in aspects of design of profiles and terms of reference for the competition only. This incorporation would allow a finer tuning of the subject matter to be put in the competition. One parameter that should be part of the invitation to the competition is the regional character of the proposals (including raising the national capacities in regional matters).*
- *The identification - in each country - of the clear national counterpart. It is the government authorities (the ministers of environment, the authorities of protected areas and the municipalities) who should participate and make their own the processes that have been made available by the small grants.*
- *To minimize the risks of politicization in the process of awarding the small grants. Other actors of the region might be incorporated, such as the universities and the centers of science and technology (although this may exclude them from participating in the competitions), as well as the NGO groups. However, it is very important to emphasize from the beginning the tutelary role of the government entities and to manage a clear "hands off" policy as far as the final selection and execution of the grants.*
- *Finally the criterion for invitation to participate should be open from the beginning, in the sense that anyone might participate in order to avoid erroneous perceptions on the part of the government representatives. The reception of proposals with little technical validity derived from a totally open process is a risk that its validity might be reevaluated, although it would represent greater cost.*

6. What is the opinion of the recipients of the small grants?

*The opinion of the recipients of the small grants is very positive. Emphasizing the fact that the benefit for his organization has gone further than the established committees. They have benefited because they have been forced to enter into a structured work plan and have in most cases strengthened their accounting and administrative systems. In some few cases they tell us that such arrangements had already been incorporated as routine practices for all the actions of the organizations. On some occasions they reported to us that there were delays in the payments that had influenced on development of the activities but in all cases the reasons were justifiable and it is not a generalized problem; on the contrary, the norm is punctuality and effectiveness of the process.*

## **9.2 Specific Questions Related to Costas**

1. Analyze the effectiveness of the regionalization of the best practices of integrated marine coastal management.

*Regionalization of best management practices for integrated coastal management is in the very early stages of development. A Costas sub-contractor, the University of Rhode Island/CRC, developed integrated coastal management workshops and regionally applicable ICM guidelines. Similarly, the Biodiversity Support Program developed guidelines for strategic planning and monitoring of integrated coastal management sites. While these may be considered as best management practices, the scope of the activities was relatively limited, directed primarily towards strengthening local Costas partners. More regionally applicable best management practices for key coastal management topics such as fisheries, coastal wetlands, ecotourism, pollution prevention, and*

water quality management still await development. During the current PROARCA phase, Costas has focused primarily on marine-coastal protected areas and, to a limited extent, on some transboundary resources management issues at some sites. Planned productive-use demonstrations (e.g., community management of lagoon fisheries and coastal forests), replication of port contingency planning and management of endangered marine species provide promising opportunities for Costas to develop regional best management practices.

2. Analyze the implementation and effectiveness in the identification/support and replicability of the mechanisms for transboundary international collaboration.

*Costas has had success in developing coalitions and committees as mechanisms for collaboration on marine resources management, especially transboundary fisheries in the Gulf of Honduras and the Gulf of Fonseca, and among a broad group of stakeholders, such as in port contingency planning. This approach appears to be a successful model for transboundary/international collaboration that has promise for application throughout the region. Nevertheless, the coalitions formed to facilitate transboundary collaboration in addressing environmental problems should also include, as appropriate, representatives of local and national governments in order to foster their full support and assistance with project activities.*

3. Evaluate the timeliness and quality of the technical assistance provided by the Guatemala office of Costas to the technicians resident in regional locations.

*Technical assistance from the Costas Guatemala office in support of RSTA has been of uniformly high quality. With minor exceptions early in the implementation, timelines have not been an issue as well. Support from the collaborating NGOs' offices in the USA has sometimes been erratic due to scheduling problems and other priorities.*

4. Evaluate the timeliness and quality of the technical assistance provided by the technicians resident in regional locations to the local partners.

*RSTA are the key to Costas success on site. The technical assistance provided by RSTA to communities has generally been timely and of very high quality. However, RSTA strengths vary among sites, and on occasion, certain technical skills were not available to meet evolving site needs (e.g., micro-credit in Costa Miskita, coalition building in Gulf of Honduras). It is important to identify strengths of the individual RSTA, assess the anticipated needs of each site and develop an integrated TA program that best utilizes RSTA skills, Guatemala office assistance and off-site TA.*

5. Analyze the strategy used by the small grants program and its effectiveness. What is the opinion of the recipients of the small grants?

*The small grants program appeared to be well received by recipients. The program favors organizations involved in medium or long-term strengthening of institutions and management processes for coastal marine protected areas over activities intended to have an impact on the status of specific resources. While the small grants programs support overall activities at a site, the strategy for how the grants program will be used to achieve specific long-term objectives remains loosely defined and flexible, and varies by site. Some sites (Bocas del Toro–Gandoca) have a better defined outline of how individual partners, their activities and objectives contribute to achieving overall site objectives. In other sites, this strategy may provide advantages (e.g., take advantage of arising opportunities) but it also leaves unclear how each partner and their activities will contribute to achieving long-term site objectives.*

6. Analyze the selection criteria for choosing local partners (NGOs).

*The process for selection of Costas NGO partners and grant recipients is informal and fairly loosely defined. Specific selection criteria were not formally defined. Nor is there a strategy defining how each partner and their activities will contribute to achieving long-term site objectives. Costas chose initial partners on a subjective evaluation of the partners' ability, based on site presence, coincidence of objectives with those of PROARCA Costas and previous experience in working with one of the Costas consortium members. This led to Costas*

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working with a very limited number of partners early in implementation but the number of partners has recently increased.

7. Analyze the effectiveness and timeliness of the process used by Costas to review the proposals of the local partners (technically, financially, and programmatically).

*Costas' process for technical, financial and programmatic review of local partner proposals was generally well received by the local partners. The Costas component would benefit from a more formal quality assurance and control mechanism to evaluate all products and services on the basis of need, product quality and utility criteria according to an established plan.*

8. Is the process used by government institutions to guarantee approval the appropriate one? Is Costas seeking approval from the appropriate institutions? Does the participation of government create the possibility of politicizing the process for judging the grants? How may this be minimized?

*Because of institutional issues and the lack of focus by national governments on integrated coastal management, Costas does not specifically seek approval of government institutions for proposals. Rather the component seeks to first inform relevant organizations of planned activities and then to gain their concurrence. Responsibility for management of resources in the coastal marine area is widely dispersed, making coordination difficult. With few exceptions, Costas generally engaged the appropriate government entities in the planning and implementation of site activities. Relations with national government entities have recently improved, especially in areas where resources management, as opposed to protected areas, is the focus of activities.*

### **9.3 Specific Questions for the Environmental Protection and Legislation Component.**

1. How well known is LEPMI at national and regional government levels?

*The activities of LEPMI are known by the national institutions which have had contact with CHF, the steering committees and/or the municipal mayor's offices involved in the processing of the process of environmental sanitation (for example, the ministries of health and of environmental protection which award the permits or certifications for the operation of the project). At the regional level knowledge of the LEPMI activities was seen only at the level of the SE-CCAD.*

2. How representative has the selection of the LEPMI sites been in political, ethnic, cultural terms and considering geographical aspects?

*Since half of the selected sites correspond to three of the areas of influence of the Costas activities and the other half to the criterion of the bilateral USAID missions, the Evaluation Team believes that the system for selection of the site was rather biased. although the Team knows the criteria for selection given by the EPA no logic was perceived in its application. With so few sites in a large region with such varied cultural, environmental, socio cultural and political conditions, it is difficult to analyze the representativeness of the sites. What may be said is that the sites contain a range of these conditions, Pacific as well as Atlantic, mountain and coast, Afro Central Americans and Latins, urban and semi urban, large and small. Notwithstanding, it would be difficult to extrapolate the experiences, quid pro quo, of so few and varied sites to other sites.*

3. How effective has been the methodology implemented by LEPMI to identify the problems and solutions of pollution in the communities?

*The Evaluation Team found a varied acceptance, largely of "very good" and some commentaries of "average". Probably these represent the experiences in their respective municipalities. for some, the process was very long and exaggerated; while for others it served to catalyze and assemble the leader of the community. For the Evaluation Team, the methodology has logic and organization and uniformity was found in the products. It would be advisable to evaluate the ten cases of the last three years and to refocus the methodology according to the experiences gained and lessons learned with the aim of cutting down the steps or at least the number of workshops and the time required to apply the process.*

4. Do the steering committees feel competent to duplicate the processes without the assistance of LEPPPI?

*Once again, it depends on the community. The Evaluation Team saw many differences in the capacity, convocatory power, and composition of the committees; some democratic and others autocratic; and some hanging in the air very close to disintegration. There was not seen, at least among the committees interviewed, the capacity and strength sufficient to replicate the process. It was felt in some cases that the committee was organized as patronage, in which upon completing the project would be dissolved.*

5. How well has LEPPPI coordinated with the PROARCA components? How may this coordination be improved?

*Except for the location of five of the LEPPPI projects in the zones of influence of three of the Costas sites, important coordination was not observed. As described in the preceding sections of the evaluation report, the overall project lacks integration and coordination. As has been indicated in this report, strategic planning and integrated annual programming and evaluation needs to be stimulated and to be spread between all the components, and substantially to improve communication between all the implementing agencies, USAID and SE-CCAD.*

#### **9.4 Specific Questions Related to the Environmental Protection and Legislation Component and the Protection of Biodiversity Activities Managed by CCAD.**

1. Have these activities contributed to compliance of the CONCAUSAS commitments?

*Like the other components of PROARCA, the activities of PROLEGIS and PROBIO are in the middle of a series of processes, in which they have managed to advance their agendas toward the obligations assigned in the CONCAUSA agreement, but few of the activities could be qualified in themselves as completed processes or achievements. As is described above in the document, both the government of the United States as well as the national governments, members of CCAD have attained a series of advances in their agendas, but there are other obligations remaining with little or practically no activity.*

2. Are these activities complying with national and regional demand in the opinion of the ministers of the environmental and natural resources and other key clients?

*The opinions varied depending on the country because of the constant changes in ministers or the sending of various deputies to the meetings of the CCAD, the Evaluation Team noticed a differentiated knowledge at the level of the ministries and a certain lack of communication from the main offices of the ministries from the activities which are realized with the subordinate units, and the real demands or necessities. Probably, the reasons for this differentiation are multiple, among them the poor internal communication in some ministries, the previously mentioned frequent changes of ministers and vice-ministers, the lack of strategic plans (for biodiversity, environmental protection, etc.) and other priorities less connected with regional priorities. Definitely, the activities carried out implicitly harmonize with the needs and priorities at the regional level, with the demand set forth by the same CCAD and the coordinators of the PROLEGIS and PROBIO. To what extent these demands coincide with those of the national governments was not clear. Finally, the Evaluation Team noted that the more frequently a minister or his deputy had participated in the reunions of the CCAD, and the more time he had spent in such meeting, the more he knows the PROARCA Project and the more he feels satisfied with the work.*

3. How well have the environmental protection and legislation component and activities of protection of biodiversity coordinated with the components of PROARCA? How may this coordination be improved?

*The SE-CCAD was able to coordinate some activities especially with CAPAS which served as partner in various gap studies, mini cases and training events especially with PROBIO. Costas, at the request of CCAD has collaborated in aspects of policies (Semáforo Gap Study) with PROLEGIS and the initiative of the Mesoamerican Reef System. Notwithstanding as has been described in the preceding sections of the Evaluation Report, the*



*greater Project lacks integration and coordination. Also as has been indicated in this report, strategic planning and annual integrated programming and evaluation should be encouraged and shared between all the components and communication between all the implementing agencies, USAID and CCAD should be substantially improved.*

## **9.5 Specific Questions for Activities Carried Out by EPA Under the PASA Mechanism**

1. Is the training and the technical assistance provided by EPA relevant for achieving the harmonization of environmental legislation in Central America?

*Since CCAD with the support of ETA initiated its labors at the peak of the environmental legislation in several of the countries (framework laws and the establishment of the new ministries of environment and natural resources), the harmonization from bottom to top came later. Definitively, the materials imparted in the training events and the assistance are very necessary in the region. Some of the matters were not well founded in terms of the political and technological reality of the countries of the region (stock manuals of EPA, procedures developed for developed countries) and several inconveniences occurred with the language of some experts and documents. It could be better, since with the experience gained, to concentrate training and assistance efforts on a limited number of geographic sites and thematic areas, since it was very difficult to demonstrate the impact of the activities between the participants of the courses distributed in seven countries. Because it is a service provided according to the demand, a range of activities emerged, many without connection with the other. The great achievement under this subcomponent has been the contribution of the EPA to the drafting and promulgation of very important legislation for environmental protection in countries in which there had been none and the beginning of strengthening of the institutions established to apply this legislation. However, harmonization in itself, at least in terms of its balanced application between the countries of the region, is still in process.*

2. Are the national and regional counterparts satisfied with the technical assistance offered and with the level of training?

*The opinions differ, but in general terms, yes. Some counterparts were not satisfied with the process in the provision of assistance because of reductions in the dates programmed for the activities. The creation of a unit of Central American trainers in subjects of environmental impact evaluation has been well received. However there have been certain criticisms concerning the level of the training, since the courses on basic principles of evaluation of environmental impact have been redundant for several, when they wanted greater specialization in the evaluation of projects under specific sectors.*

3. To what degree is the knowledge obtained through the regional courses and the technical assistance being applied by the participants?

*It was very difficult to determine for two reasons: (a) a representative minimum mass did not arrive at the meetings called with the Evaluation Team; and (b) the agencies responsible for the application of the regulations of environmental protection are so poorly financed and supported by the national governments that the work of the personnel is very limited. The Evaluation Team found instances in which, according to the persons interviewed, they are applying what they learned, but they could not elaborate on how their system of work had changed, that is procedures. On the other hand, since data of value for monitoring and evaluating the impact of the assistance and training is not being collected, it was not possible to carry out a minimal systematic analysis, beyond the number of participants and the instances of assistance.*

4. How well has the EPA Program coordinated with the PROARCA components? How might this coordination be improved?

*With the exception of its contributions to CHF in the execution of the activities under LEPPi, no important coordination with the other components was noted. It was found that EPA had offered to Costas to institute monitoring programs of water quality in the Gulf of Fonseca and a program of environmental modeling related to the activities in Punta Gorda, but it was rejected for unknown reasons. As is described in the preceding sections of the evaluation report, the major project lacks integration and coordination. As also has been indicated in this*

report, it is necessary to encourage strategic planning and integrated annual programming and evaluation shared between all the components, and to improve substantially the communication between all the implementing agencies, USAID and SECCAD.

## 9.6 Specific Questions on the Partnership between CCAD and PROARCA

1. How should the partnership be between USAID/G-CCAD in the future?

*It should be egalitarian relationship such as two organizations pursuing the same objective. None of the organizations should be subordinated to the will of the other and rather there should be high level negotiations to seek the necessary mechanisms to achieve the objectives pursued in the region. It is decisive that the CCAD not be considered as one of the executing institutions of the project, except in its active role in the harmonization of legislation and its application in the region. Among both organizations they must clearly define what will be the scope of each one in decontrol and follow up of the projects with the single objective of facilitating processes and the execution of the programs and projects. It is dangerous for both institutions to fall into the temptation of controlling activities that only interfere with the execution. This type of decision should be taken before the beginning of each project in order to avoid the confusion of roles at the time of implementation.*

2. What objectives, activities, institutional arrangements, and geographic areas may be the basis for a future partnership relation (in the context of ALIDES, CONCAUSA, and the Mesoamerican Biological Corridor)?

*It is the opinion of the Evaluation Team that there should be a partnership relation at the executive level and of overall coordination to assure the congruence between the strategies and activities executed under the project with the policies and major regional strategies of the countries of the region, thus represented by CCAD whether these are ALIDES, CONCAUSA or, in the particular case of the Mesoamerican Biological Corridor. At the same time, CCAD should play a role as protagonist and catalyzer in the harmonization of policies and legislation (and of instigator of its national and local application), focusing on the transboundary subregions selected for the support of PROARCA in its second phase.*

3. Are the political and legislative activities toward significant environmental themes well focused in Central America?

*Definitely, yes. However, the present program is too ambitious in trying to cover the full range of themes at one time with limited personnel and resources. Therefore, it is recommended that, for the second phase, efforts be concentrated in the transboundary subregions selected because they comprise a living laboratory in which the same subjects may be dealt with but with a narrower geographic focus, thus permitting attainment of greater impact in development of experiences and in establishing replicate precedents throughout the region.*

## 9.7 Questions Related to the Collaboration and Working Relationship Between the Components of PROARCA.

1. Up to what level has CCAD been related with the PROARCA components in order to achieve the results being sought?

*The Evaluation Team knows that there has always been a close collaboration between the CAPAS component and the team of the CCAD in the activities which have shared responsibilities especially protection of biodiversity. This relationship was less with the component Costas. In the last year, however, it has improved substantially. The Environmental Protection and Legislation Component is executed by CCAD and unfortunately the lack of communication is notorious that has existed between the subcomponent LEPMI financed through the same component. The Evaluation Team believes that if there were between the USAID/G-CAP and the CCAD an integrated planning process between the different components these situations would tend to disappear with time. Until now the exercises which have been conducted with these intention, for example the round tables (round up) of PROARCA every six months, have been successful but only as a mechanism to share information and to obtain*

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collaboration by chance in some aspects, but it was not possible to plan jointly the actions for the following work season nor to evaluate progress from the integral perspective.

2. What specific activities and components under the PROARCA components have benefited the relationship with CCAD?

*Because of a certain disconnection which there has been between the CCAD and the Costas and LEPMI Components, greater benefits have not been achieved from the relationship. On the other hand, the activities coordinated between CAPAS and CCAD/PROBIO and CCAD/PROLEGIS with EPA, have resulted in more tangible achievements. However, for lack until now of a strategic integration and integrated planning and evaluation of the activities of all the components, and between USAID/G-CAP and the CCAD the range of the activities toward the larger objectives originally pursued.*

3. What components or activities should be implemented with greater participation of the CCAD?

*The natural niche of the CCAD is politics and legislation. The laborious always will be to incorporate the necessary technical ingredients for the elaboration of policies that respond to the regional necessities and not only to purely national conditions. The opening of discussion forums may be continued but with reorientation of efforts to real transboundary cases in specific subregions in order to create experiences and precedents with which the high executives may be approached for the rendering of decisions, especially in the application of legislation. It is necessary to have the active participation of the CCAD as a mechanism of integration to which the executors may look to obtain maximization of the impact of the actions which are being carried out and which respond to necessities of different subgroups of the civil society. This is a vision of the CCAD at the service of the interests of the regional society and vigilant of its assets. The Evaluation Team sights several strategic points concerning this orientation in the text of the evaluation document. Also, the CCAD should play a role of integrator at the regional level of the financial contributions and the assistance which the region receives from the international community, watching over its concerted and integral use order to achieve the objectives of environmental protection and sustainable use of the renewable natural resources at the regional level.*

4. What components or activities may be implemented with a minimal participation of CCAD?

*In the technical activities at the field level (execution of pilot projects, small grants programs, workshops, training courses, etc.). In these activities the role of the CCAD should be more as a proponent and instigator than as an actor to maintain itself fully informed on what the tendencies are which are providing solutions to the problems at the base level and to be able to contribute by supporting these tendencies with the proposition of policies and legislation and coordination (“lobby”) at this level.*

## **10.0 Recommendations of the Evaluation Team**

The intention of the following recommendations is to provide a USAID/G-CAP, CCAD (DGMA/SICA), and the implementing agencies of the respective components and subcomponents, a series of instructions which in the judgment if the Evaluation Team, would be applicable in terms of:

- The orientation in the execution of the activities under each component until the closing date of PROARCA (the date of the termination of the Project or PACD);
- The design of the second phase of the project (PROARCA II); and
- The period of transition between the closing of PROARCA I and the initiation of PROARCA II.

### **10.1 Recommendations of General Nature**

The following recommendations respond mainly to the general findings and conclusions submitted in Section V. The general recommendations are applicable at the global Project level and support specific recommendations submitted for each component.

### **10.1.1 PROARCA Within the Regional Context**

USAID/G-CAP and CCAD should seek a way of unifying their criteria for considering PROARCA within a single concept of regionality. Evaluating the experience obtained in Project implementation to date, the existing opportunities are considered for consolidation of efforts and investments within a single regional concept, thus allowing greater efficiency and impact in achieving distinctly regional objectives. While it is undeniably true that all the activities under the three components are having an impact on the region, it is more important that they have regional impact. At the same time, it is recognized that under PROARCA there are limited financial sources to respond to so much need in the region. Therefore, it is not possible to do everything for everybody.

With these two considerations in mind, the Evaluation Team suggests creating within PROARCA a *hybrid* definition of regionality, where the three regionality concepts are combined: thematic, geographic and transboundary. This concept application is justified from the environmental, political, socio-cultural and economic point of view. It is also advisable to integrate the Project efforts and investments in search of greater efficiency and impact, as described in the next section. The strategy would involve execution of the three components' most successful elements in sites duly selected under environmental, social and political criteria, such as:

- Biological value (biodiversity);
- Socio-economic values (poverty, quality of life, risks);
- Socio-cultural values (ethnicity, human development indexes);
- Environmental vulnerability;
- Development opportunities, economic alternatives and sustainable use of natural resources;
- Real and potential local, national and regional economic importance ; and
- Political vulnerability (caused by abandonment, ignorance, lack of representation and/or regulatory weakness).

Without anticipating or biasing the selection of areas suitable for Project execution, at least in its second phase, the Evaluation Team believes that transboundary subregions offer the best opportunities to comply with the criteria previously cited as these subregions are not limited, by political boundaries. That is, the geographical extension of parameters represented in the aforementioned values are of a transboundary nature. Nationality is not ruled out as a criterion in these subregions, but is seen as an opportunity to assist the governments in adoption of the concept of a greater region. The existing of political vulnerability, provides an opportunity to prove new alternative transboundary concepts and mechanisms of transboundary cooperation.

What is important for USAID and CCAD at this point is to create space to submit and analyze the different regionality concepts and to reach a consensus on which definition would be applied in the Project's second phase. In order to do this, it will be necessary for USAID/G-CAP to call a meeting with the bilateral missions to analyze regionality concepts, to define a strategy in which responsibility would be assigned (or at least the strategic intention), and to align their strategic objectives to respond to the agreed concept. It would be ideal that the strategic objectives of the bilateral missions and their projects would be completely linked to the strategic regional objective and vice versa, both thematically and in geographic location. Parallel to this the CCAD or the Technical Secretariat should consult not only with the traditional CCAD partners (national environmental ministries) but with other groups active in matters of environmental protection and renewable natural resources, conservation including each country's NGOs and the appropriate regional nets, in order to define the concept which would best represent regionality. If the two processes had already been accomplished prior to the preparation and approval phase of the new USAID/G-CAP regional strategic objective, it is suggested that USAID/G-CAP and CCAD should devote a day's work to adopting a concept of regionality to be applied under the Project's second phase. This concept will become one of the fundamental bases for design.

### **10.1.2 Integration of Project Components**

Along with the concept of regionality, the Evaluation Team suggests that there should be considered a radical reorientation considered as to how the execution of the three PROARCA Project components is seen and supervised, starting in the six to nine months remaining of its first phase and up to the design and implementation of the second phase. Recognizing the experience obtained under the RENARM Project and that of PROARCA to

date, it is important to point out the similarities in the two projects' evaluation findings and their recommendations. The Evaluation Team suggests that USAID/G-CAP, CCAD and the Implementing Agencies under the three components should make an effort to identify the thematic and geographic areas of articulation in their strategies, participation processes, assistance and support mechanisms, and implementation models to map the route to integration. This should be done as soon as possible.

In order to avoid the thematic and geographic dispersion of activities which the Project has had up to now, beyond adopting an agreed regionality concept, the Evaluation Team suggests: (a) global strategic planning and joint annual programming and evaluations; (b) communication by means of semi-annual, or monthly meetings, or meetings with whatever frequency is necessary depending upon the rhythm of jointly executed activities; (c) open and current exchange of information; (d) shared work in activities, especially when they coincide in the field areas; and (e) vision and supervision by USAID/G-CAP. The “round-up” meetings under the auspices of USAID/G-CAP should become a greater participatory forum to accomplish these actions in a continuous and consistent way, thus creating more opportunity for integration in all aspects of design, planning, management, monitoring and evaluation of activities.

### **10.1.3 Project Management and Administration**

The Evaluation Team believes that the complex nature of this regional project became even more complex with an implementation model created by five implementing agencies and under a variety of contractual arrangements. It is suggested that USAID/G-CAP should not make the same mistake when designing the second phase. While the Team does not venture to propose that one contractual arrangement be adopted over another, it is suggested that the number of contracts or agreements be reduced. Despite the good intentions to integrate the work of so many partners, there is no reason to design a second phase with so many contractual elements, whether cooperation agreements, institutional contracts or agreements of the PASA or RASA type. RENARM and PROARCA experience has shown difficulties in regional project implementation with many implementers under a number of contractual arrangements. This is mentioned not without praise to the current implementing agencies that, according to the Evaluation Team analysis, have done their worked admirably well.

A solution to the problem of coordination between so many implementing agencies would be to reduce the number of contractual entities while assuring an appropriate mix of the various strengths within those entities. Another way to look at this is to consider: (a) a real consortium where the participant organizations would constitute an agency with access to the technical strength characterizing each one; or (b) a consortium which would combine NGOs and private companies to achieve the aggregate value of one with the other. In the case of a PASA agreement, it is suggested that the person in charge, duly selected for his appropriate capacity for the assigned tasks, language and knowledge of the environmental, social, and political conditions of the region, should be assigned to the region with headquarters where he could interact with his partners in USAID, CCAD, the other implementing agencies and his counterparts at the Central American level.

### **10.1.4 Participation of Civil Society and Human Resources Development**

The participation models used by the Implementing Agencies of the three components have achieved important progress in the PROARCA objectives and should be continued considering the specific recommendations by component. The Evaluation Team was particularly impressed with the trinational coalition models in the Gulf of Fonseca and the Gulf of Honduras, viewing them with great potential in the management of subregional activities promoted by Costas. As a general recommendation, it is suggested that more attention and importance should be given to the follow-up work using the findings and recommendations. The findings in this case resulted from the mini-case studies and gaps analyses, site profiles and environmental action plans, which established a good strategic and programmatic base for activities under their respective components.

While the majority of the training efforts under the components is of high quality, it is suggested that the particular recommendations found in sections 10.2 to 10.4 should be taken into account. An axiom to consider in future training efforts, from the strategic and operational perspectives, is to link the training for the development of human resources directly to activities that are being carried out under the component that provides the training. In this way more advantage would be taken from the aggregate value and impact. Key in these follow-up actions

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is *in-service training*, which is understood as a reinforcement of one or more training events in the form of assistance in applying the learned material.

The Evaluation Team regards the role of each implementing agency as communicators and circulators of messages and information related to Project objectives as very important. Each one should function as a receptor and circulator of information and experiences related to the thematic and methodological aspects of its activities. In order to comply with its role, each implementing agency should intensify its efforts to compile successful experiences from one or more geographical sites or technical projects, transcribe them in a practical language, and spread them through guides and manuals of best practices and multimedia presentations according to the recipient. The same information should be circulated through texts and reference materials used in courses and workshops for human resources development. It would also be useful to consider the resources to set-up a communications center for the entire Project in its range of components for the project second phase. Beyond a publication office, the communications center should be able to undertake actions suitable for transferring adequate and necessary messages to the counterparts and stakeholders based on an effective communication strategy to obtain synergy and create a multiplier effect in the dissemination of information.

The CCAD, an organization that most importantly represents the public good of the region, should open its participatory mechanisms for civil society beyond the forum for ministers and some counselors. Much of the activity in the environmental area is under the direct responsibility of the NGOs, while the offices of the governments are weakened in continuous restructuring processes and budget cuts in the environmental and conservation sector. Therefore, the SE-CCAD should consider including these entities as valued resources and opinions when preparing its strategic plan, consultation actions, coordination and implementation of activities. This should accompany the support of the SE-CCAD processes in communication, feedback and information distribution to its partners and other beneficiaries of Project components.

#### **10.1.5 Organizational and Financial Sustainability of the Counterpart Organizations and their Activities, and National and Local Financing Mechanisms**

The Evaluation Team suggests that more emphasis be placed on advising and transferring the science of *organizational development* to non-governmental counterpart organizations (NGOs, productive associations, community organizations, etc.) to create more capacity for self sustainability. Within that science, the following aspects are included: strategic planning and objectives planning, annual programming, monitoring and evaluation of activities and their impact; specialization and strengthening of boards of directors of the organizations in appropriate skills according to their mission; effective organizational management; personal management and team work; recruitment of members and volunteers recruitment and maintenance; fundraising; project preparation and proposal writing for financing; skills in public relations, communications and conflict resolution. While many of the activities could be seen as responsibilities of national governments, they should be considered because of their relation to counterparts and processes being stimulated under all PROARCA components.

There are great opportunities in the Project, with the strategies and activities of each component, for incorporating *environmental services* as the core of sustainable financing of environmental protection activities and conservation of natural resources. Natural resources provide goods of economic value, such as: production of water for consumption, energy generation, irrigation, dilution and evacuation of waste water; forests as watershed regulators, protection against floods, carbon sinks and fixers, habitat and farms for species of economic and biodiversity importance, recreation and ecotourism. hunting and fishing; and the wetlands, coasts and reef ecosystems as habitats and nurseries of flora and fauna of economic and genetic importance, deposits and generators of substances of pharmaceutical value, and a base for the maintenance of the tourist industry. The protected areas are the legally established units to protect many of these natural resources, but they receive very little or no income for services they produce and contributions they make to society. Therefore, PROARCA should intensify its assistance, studies, training and support in the preparation of their economic-financial and legal mechanisms to incorporate the environmental cost of use of these resources in order to sustain them with the quality required for the future, while assuring that the funds collected should be transferred directly to the organizations working in conservation actions. It is important to incorporate communities neighboring protected areas in the conservation work and to assure that they benefit from the taxes received for selling the services. It is

also important to make public and private enterprises and civil societies aware of the reasons for paying for environmental services which they traditionally have not recognized as worthy of investment.

Currently, PROARCA only undertakes activities related to carbon fixation to access the international market of purchase/sale of credits. There are numerous additional activities of great potential for the region, including,:

- incorporation of amounts destined for the conservation of potable and industrial water use
- tariffs and discharge rate of waste domestic and industrial waters;
- electricity tariffs;
- sale of tourist permits and concessions; entry charge for protected areas;
- “green” stamps and certifications of natural products (including woods and environmentally friendly coffee as being promoted under CAPAS);
- fees for airport, gasoline and other fuels, outboard engines, power chain saws, and import/sale for pesticides and other dangerous substances; and
- rights of way in protected areas for installation of electricity transmission lines, oil pipeline and gas pipes , roads and positioning of communication towers (example FUNDAECO in Cerro Gil).

Also, PROARCA could help by supporting the operation of national and environmental funds, as a counterpart source for the conservation activities. Some of these funds are not in use, only in existence because of a law that has been enacted but not implemented, or simply under-utilized.

#### **10.1.6 Coordination and Co-financing of Activities with Other Development Agencies in the Region.**

As it has been mentioned in this evaluation report, the Implementing Agencies of the PROARCA components have achieved collaboration with other development agencies in some countries, but should be more aggressive in looking for technical and financial support to collaborate in many activities executed by PROARCA. There are scores of national and regional projects implementing activities under similar objectives and with the same governmental and non-governmental executors, many of these coincide thematically and geographically with the activities financed under PROARCA. In efforts to facilitate these collaborations, the coordination between the parties should be evaluated upon the following aspects: strategic and annual planning, including aspects of inventory and monitoring of social and environmental parameters necessary to evaluate activity impact; human resources training/education; scientific and geo-referenced information systems; and co-financing. In order to facilitate these collaborations, only some coordination and co-financing opportunities are mentioned which should be investigated:

- Nature conservation projects financed by the Global Environmental Fund—GEF at a regional level (as the Mesoamerican Biological Corridor, Mesoamerican Reef System, and Program for Maritime contamination control in the Gulf of Honduras) and national level (specific projects in each country) with support from the World Bank and IDB, among others;
- National environmental funds (example: USAID finances the National Environmental Fund of Honduras through VIDA Foundation);
- Regional Central American Program for Environmental Protection and Disasters Prevention, financed by the IDB;
- National projects for environmental institutional strengthening financed by the IDB and World Bank (example: PAES/SINAMA in El Salvador, and PRODESAMH in Honduras);
- Environmental program in the Caribbean Region executed by PNUMA from its office in Jamaica;
- Integration of the Tourist Sector in Coastal Protected Areas, implemented by IUCN and BMZ of Germany; and
- Reconstruction programs and projects for damage caused by Hurricane Mitch, especially in Honduras and Nicaragua, with funds from USAID, IDB, World Bank and several bilateral agencies.

RUTA’s office is preparing an inventory of all environmental projects and programs and national and regional natural resources conservation for Central America requested by SE-CCAD. It would be very useful to analyze

this summary to prepare a strategy for becoming closer to the other development and financing agencies working in the region, searching for thematic and geographic connections to the objectives and activities carried out under PROARCA.

### **10.1.7 Monitoring and Evaluation Systems**

The Evaluation Team suggests that USAID/G-CAP, SE- CCAD and the Implementing Agencies of the three components should make an analysis of the current gaps in their monitoring systems in comparison with the verifiable indicators listed in the USAID/G-CAP Strategic Objective 2 and the Project Paper. While there is little time left in the execution period of the current project, the logical monitoring parameters to be included in the second phase design should be identified and the collection of the existing scientific information bases to facilitate establishing baselines for monitoring the development of the second phase should be initiated.

While monitoring of the social-organizational and management processes should be continued (example the Scorecard managed under Costas), it is still necessary, especially with a view toward the second phase, to include measuring and monitoring biophysical parameters as a basis for evaluation of the impact on PROARCA's activities from the perspective of environmental protection and conservation of natural resources, the Project's target. In order to do this, the minimum number of biophysical parameters to be monitored should be well selected, according to the activity results the Project expects.

Revisiting the Strategic Objective 2 of USAID/G-CAP (and the new version being developed) would be a good starting point to make this analysis. It is also advisable to review existing strategies under each component to determine if the parameters addressing the required indicators under Strategic Objective 2 are being monitored, that the requirements of the USAID Environmental Threshold Decision requirement for productive activities promoted for the Project and subsequent monitoring of the biophysical-impact indicators parameters are being fulfilled. The USAID Environmental Threshold Decision requires gathering biophysical information to be able to make succinct studies of environmental impact.

With the advancement in technology and the availability of measuring equipment at a relatively low cost, the costs of implementing a monitoring program have been substantially reduced. Without anticipating or biasing the selection of parameters for monitoring, in accordance with superficial analyses made by the Evaluation Team in view of PROARCA's objectives and activities, it would be worth considering, among other alternatives, the following parameters:

- Quality of water in the tributaries and across the coasts in the Costas sites, and inventory of land and maritime sources of pollution;
- Quality of residual waters generated by the beneficiaries and in the receiving bodies of waste waters prior and after treatment, in LEPPi projects;
- Fish take in Costas sites, including species, weight, places for fishing, equipment type, date and time;
- Composition of populations of selected endangered species and other indicator species (manatee, turtles, birds, mammals) in and around protected areas;
- Vegetation cover and its composition in selected protected areas, by interpretation of images from remote sensors and verification at the field level;
- Incidence of incursions in protected areas, incidence of illicit use of natural resources in protected areas or other reserves, and the number of judicial procedures successfully resolved by environmental prosecutors and attorneys;
- Number of traditional users of natural resources converted vocationally into sustainable resources users (for example, the transmayas fisherman to sports fishing guide, lobster fisherman to diving guide, fishermen and timber merchants to nature guides), and their income levels;
- Number and nature of regulations and resolutions being applied thoroughly in conflict transboundary sites;
- Incidence in animal traffic and plants controlled under the CITES Convention; and
- Incidence of leakage and/or violations of the MARPOL protocols and other conventions related to ports and maritime transportation.



### 10.1.8 Relation USAID—CCAD

The CCAD should become a real partner of the USAID/G-CAP in order to strengthen its position as a real counterpart as a member of the Steering Committee, and as an implementing agency in the Project Management Unit under the corresponding component. In this way the political-management entity would be made necessary in the integration of the objectives and strategies of both institutions according to the major objectives detailed in CONCAUSA and in the PROARCA Project. This role could act as a potential mechanism to integrate PROARCA's strategies and activities with the rest of the projects and the participating initiatives that CCAD would have in the region.

Because it is a true counterpart, CCAD and its Executive Secretariat need to have long-term financing (core funding) that would allow them to function as an independent institution and a facilitator of activities that favor of environmental protection at a regional level in collaboration with USAID and the other multi and bilateral development agencies. Since USAID/G-CAP is the institution which has contributed the most to the constitution and strengthening of the CCAD and its Executive Secretariat, a process should be initiated with the other international development agencies, IDB, UNDP and the Scandinavian countries in particular to propose and analyze long-term financing activities for CCAD. Some alternatives to be considered are: (a) a trust fund with fixed or stepped annual contributions according to the interest or participation in projects of regional range; (b) the establishment of a patrimony fund; (c) taxes on transboundary and/or international commerce in the region; or (d) a mix of the alternatives already mentioned. It is advisable *not* to adopt a mechanism by which the CCAD would depend on a percentage (for example 3-5%) of each project with a regional counterpart participating, because the CCAD would become a project searcher for its financing, as well as an NGO, and would face reductions at a financial level and technical orientation according to its luck in obtaining particular projects y diverse agencies and sources.

At the same time, both USAID/G-CAP as well as CCAD (acting for the environmental ministers representing their governments) need to evaluate the progress in reaching the CONCAUSA objectives and the validity of the activities still under execution related to this agreement. A decision should be made whether CONCAUSA will still be the political basis on which the implementation of PROARCA II would be developed, or if it would be changed to another technical-political instrument in order to support USAID technical and financial assistance.

It is suggested that USAID/G-CAP and the SE-CCAD meet, at least once a month with the PROARCA Project during the remainder of the period with the intent to analyze its relationship and to consider that relationship in terms of design and execution of the Project's second phase. An agreed plan should come out of these meetings to facilitate the steps for: (a) design for PROARCA's second phase; (b) the closing of PROARCA and transition to PROARCA II; (c) financing alternatives for recurrent operational CCAD costs; and (d) major appreciation about responsibilities of the parties for these actions. It should be noted that since the CCAD and its Executive Secretariat are still under institutional transition to the SICA, it could be complicated to reach a consensus on many of these items until this transitional phase is finished and the CCAD (and SE-CCAD or SICA/DGMA) define its *raison d'être*, strategic approach and action priority guidelines for the region.

## 10.2 Recommendations for CAPAS Component

The following recommendations mainly correspond to the opportunities for improvement mentioned above in section 6.2.

- a. The Evaluation Team postulates that CAPAS should maintain its strategy of being a facilitator component and catalyst of *results* strengthening processes. It should also continue to apply its strategy to direct iterative lineal or non-lineal processes, promoting self management, and an effort to create experiences and even precedents in recognizing environmental services as a sustainable basis for conservation activities. CAPAS should define the support mechanisms in the pertinent entities to follow clear regulations and to avoid at a maximum discretionary situations, defining subjects as regionality, support level, geographical focus, and to concentrate its action areas to develop impacts. CAPAS' strategic plan should include these actions. From a different point of view an effort should be made to extend the base of its partners in order to avoid a concentration of partners in particular countries.

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- b. In its annual planning process CAPAS should include subjects and national agendas that have a regional impact and which are guaranteed and incorporated into the SE-CCAD planning. These planning processes could be interactive and participate with the CAPAS partners in order that their national counterparts would feel a real component participation and not only a participation related to the activity being performed. In the planning process, CAPAS should include a different strategy for the short-term actions as measurable actions relevant to the long-term results. It is important that the process be realistic and sufficiently flexible to accommodate continuous changes in the region, whether personnel, policies, and/or counterpart financial and human resources availability. The long-term indicators should allow measurement of the sustainability and self management processes.
- c. To initiate the necessary strategic actions during the current project's remaining period, it is recommended that CAPAS work strongly to concentrate its technical assistance on a rational number of strategically selected protected areas, in search of mechanisms which would allow local capitalization of organizations, including administrators or co-administrators. On this subject, there should be an important role for charging for environmental services such as potable water production, for energy, irrigation, regulatory watershed capacity, farms for economically important species, recreation, hunting and fishing. It is necessary that the new CAPAS phase should contribute to strengthening links between these services and neighboring communities as well as with the urban society in general. Also, in order to facilitate the income of environmental services CAPAS should give attention to the diversification of partners, including in the model additional ministries other than those of the environment. Including other ministries creates the possibility of providing support with solutions not only from the environmental protection focus, but from the productive point of view of natural resources exploitation which is not under control of the environmental ministries.
- d. Since land tenure and the legal nature of property is a great limitation to protected areas have in the majority of countries in the region, it is suggested that CAPAS make incursions into the subject of land ownership. More aggressiveness on the subject is recommended in the Project's next phase since it is such an important issue for viability of the protected areas which should not be ignored as it has in the past. At least, the impact of land ownership on CAPAS' strategy and the objectives of its working areas should be determined. The component may share efforts with PROLEGIS in the localized legal investigation for the selected protected areas, giving support and technical assistance to contribute to the solution of a common problem for the majority of the countries in the region, based on case studies and pilot projects. As an integral factor, it is recommended that CAPAS contribute to conflict resolution in delimiting protected areas disseminating short-term methods and access tools, transfer of available technology and reduce cost. Even though this is a subject of national magnitude it has impacts of regional character in protecting areas in the Mesoamerican Biological Corridor.
- e. It is recommended for the future project that an in-depth analysis be made of mechanisms for relating the implementers to political entities, in this case the SE-CCAD (CICA/DGMA). This will contribute to a better delimitation, in the spheres of political development, of the functions and expectations concerning the Project. It is also necessary to plan processes of continuing training for the Ministries of Environment and for new partners in the material which CAPAS is developing, as well as for the appropriate selection of participants when the time comes for the political authorities to participate in the selection of participants. This situation would be helpful given the constant turnover that occurs in the region with nearly annual changes in some of the governments or environmentally related authorities.
- f. There should be work towards the development of a critical mass of experts in each country of the region. While this is not the sole responsibility of CAPAS, mechanisms should be sought for the authorities to understand this need and to avoid the technical dependency on Costa Rican and Guatemalan experts which the component has generated. Time also should be invested in processes of methodological adaptation and systems to be disseminated in order to compensate for and prevent problems that arise from differences in concepts, vocabulary, language (e.g., Belize), and in the legal and organizational conditions which vary among countries.

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- g. There should be a strategy formulated and mechanisms consolidated to guarantee continuity and follow-up for the resolutions, conclusions and recommendations of the workshops conducted by the component.
  - h. It is recommended that support through small grants to NGOs be continued and developed and that the possibility be included for the financing of activities implemented through private, profit-making firms as long as the proposals are competitive. The small grants subcomponent should be protected in order to avoid political influences as much as possible. Mechanisms should be optimized so that the small grants will guarantee equality between countries, or at least will more clearly require that the selection criteria should consider *need* on an equal plane with the capacity to present good proposals. But it also should avoid the role of negotiations in the political sphere, which is in itself a non-transparent process. Until now this potential danger has been avoided through small concessions. One of the concessions is that the selection of the recipients of such grants is made through two equal grants per country and that they are chosen on the basis of national criteria. However, insofar as the selection criteria of the program are known, this becomes more difficult. Another alternative to be considered would be the application by CAPAS of a number of small grants strategically designed to maximize efforts for protection of the protected areas which had been previously selected as priority areas. The activities to be financed may be oriented to themes such as: the productive-sustainable use of natural resources in buffer zones; the preparation of natural history guides for the protected areas; the development of ecotourism activities, sustainable forest management, environmentally friendly coffee, etc.
  - i. It is recommended that the concept of establishing an information clearinghouse be more fully developed. Currently, the communication area of the component does not have a budget; rather it is being financed at the expense of the other work areas and was created without receiving collaboration from the other PROARCA components. The concept needs strengthening in the second phase.

### 10.3 Recommendations for the Costas Component

The following recommendations mainly correspond to the opportunities for improvement mentioned above in section 7.2.

#### 10.3.1 Participation

- a. Coalitions and bi- or tri-national committees appear to be excellent tools for creating transboundary partnerships and facilitating consensus-based decision making. Coalition building at a site is a successful model for strengthening local participation and should be continued, expanded and replicated. The Evaluation Team recommends that Costas develop a strategy to more actively involve all national partners in site activities, including an awareness strategy and action plan to educate national leadership about the transboundary and regional benefits of coastal management. Further, Costas should develop awareness efforts specifically targeting the less active national partners in a site to clearly demonstrate the transboundary benefits of Costas activities. There is room for strengthening coordination and communication with other coastal/marine activities and programs, especially with those supported by USAID and those in the greater Caribbean region. There are important lessons to be learned and experiences shared. Better communication will avoid duplication of efforts, improve efficiency and promote the regional awareness of coastal management. The Evaluation Team recommends that Costas management initiate communications to learn more about and programs such as, among others: CARICOMP, IOCARIBE, UNEP-CEP, NOAA, University of Miami/RSMAS, ICLARM, ReefBase/ReefCheck, IDB-financed activities in Bay Islands of Honduras and Barbados, and USAID-financed Coastal Water Quality Improvement Project in Jamaica and Environmentally-Sound Tourism in Quintana Roo Mexico.
- b. While The Evaluation Team recognizes the importance of recent advances made by Costas in fisheries management, it appears that future advances are limited by the lack of regional leadership (CCAD environmental ministries) and partner organizations (primarily protected areas-oriented NGOs). To facilitate recognition of commercial fisheries management as a regional issue and support Costas fisheries

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successes, the Evaluation Team recommends that Costas and PROARCA management evaluate potential new partnerships and mechanisms for regional cooperation in fisheries management.

- c. Recently, as site activities have evolved and matured, opportunities to expand the number partners have increased. This has led to a wider distribution of small grant funds and a diversification of partners. A recent improvement in the partner selection process and diversification of partners has reduced the impacts of local conflicts, administrative problems and other issues. The Evaluation Team recommends that diversification of partnerships be continued and that additional efforts to educate the communities about the extent and nature of the partnerships be undertaken.
- d. The Evaluation Team recommends a review by Costas management of protected area activities to ensure the participation of the appropriate government agencies in the coalitions. The Evaluation Team further recommends that Costas management review and refine their approaches to keeping agencies informed of progress in protected areas under their jurisdiction.

### **10.3.2 Technical Aspects**

- a. National integrated coastal resources management priorities are the basis for effective regional priorities. Costas can assist CCAD in promoting regionalization in two ways. First, by continued involvement at local level to raise awareness of integrated coastal resources management and to provide case studies for national governments. Second, by increasing efforts to keep national level interests informed and aware of the successes and benefits of regionally integrated technical and managerial approaches. Transboundary approaches should address core problems of enforcement, weak policy and inadequate institutional arrangements, in addition to awareness and training activities. Effective change in transboundary fisheries management will require coordinated effort on the bi-national as well as the regional level. This is both a bilateral and a design issue that should be addressed in the upcoming PROARCA design.
- b. There is a need to develop a more effective communication strategy, with dedicated staff, impact-oriented objectives, and an appropriate budget. CAPAS, when confronted with a similar weakness, rapidly developed a useful strategy through a targeted consultancy. This type of technical assistance is should be readily available from the TNC or WWF home offices. TIDE in Port of Honduras-Paynes Creek and of the Port Security Committee in Puerto Barrios are examples of success stories with wide potential for replication, and should be more aggressively disseminated. In addition, a more clearly defined program of exchanges among sites would promote the spreading of lessons learned and facilitate the development of local views and solutions. The Evaluation Team recommends that a specific strategy for sharing lessons learned and exchanges among partners at Costas sites be developed as soon as possible to disseminate lessons learned to date.
- c. The inclusion of resource management activities more accurately reflects the integrated resources management design of Costas. To ensure that these activities are relevant to the Costas and PROARCA objectives, the Evaluation Team recommends that these be linked to specific productive activities and demonstration projects. As these activities mature, there is a need to increase the technical content of training. All sites would benefit from more technically oriented courses (e.g., larval fisheries management techniques in Gulf of Fonseca, community forest management in Costa Miskita). Courses and follow-up on the job training for technology transfer should be more heavily utilized.

### **10.3.3 Planning and Monitoring**

- a. The strength of the strategic plans varied significantly among sites. It would benefit Costas to have a panel review site action plans to ensure quality and compliance with Costas component plans and USAID performance evaluation findings. The Evaluation Team further recommends that annual plans be developed jointly among all Costas sites. There is a need to more fully focus activities on integrated coastal resources management, as opposed to just marine-coastal protected area management, and define how Costas site activities relate to both marine-coastal protected areas and integrated coastal resources management strategies within the overall Costas framework. While this may require re-defining

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component approaches and objectives in a future design, it would broaden the applicability to the region, not just to protected areas. There are also opportunities to bring together RSTA in joint planning that would allow for greater technical depth and cross application of experience in the strategic and annual planning processes.

- b. For marine protected areas where limited fishing activity is part of the management plan (e.g., Port Honduras, Bocas del Toro, Bahia de Chismuyo), it is important to implement the fisheries monitoring activities described in the Biodiversity Support Program's *Caminos al Exito* guidelines. The use of marine protected areas as fisheries management tools is an important success that requires careful validation and documentation through monitoring with adequate biophysical baselines and indicators. This will ensure that national government fisheries agencies will support marine reserves as part of their management options. Further, awareness efforts to spread the concept to other marine areas and countries will promote both improved marine resources management and increased interest in marine protected areas and may substantially support the SE-CCAD's efforts under the SAM initiative. The Evaluation Team further recommends developing closer cooperation with national fisheries management agencies in the monitoring effort. They are key stakeholders and can contribute significantly to data collection and analysis, ideally under the leadership of a technically competent institution such as Costas subcontractor, the University of Rhode Island. Results from the Gulf of Fonseca and Gulf of Honduras show that the participation, collaboration and support of national fisheries management agencies are crucial to the adoption and spread of limited take marine protected areas.
- c. To demonstrate the benefits of integrated coastal management, maintain and expand community support and contribute to long term financial sustainability, the Evaluation Team recommends that Costas implement and expand demonstrations of sustainable productive uses of coastal and marine resources. While some productive use activities are being tested (e.g., tourism and sport fishing activities in Belize), the more difficult consumptive uses still remain in the early planning stages. The Evaluation Team recommends that Costas develop a productive uses strategy and an action plan for testing, demonstration and extension using small grants and technical support. Best Management Practices (BMP) and completion of required environmental assessments to satisfy USAID and Costas guidelines are essential prerequisites that should start promptly to allow sufficient times for meaningful pilot trials. Demonstration activities for fisheries and other marine resources management, sustainable forestry and ecotourism require clear socioeconomic and biophysical targets and indicators that will allow (a) impartial evaluation of technical and financial feasibility of these activities, (b) verify that the activities conform with USAID's environmental determination for PROARCA and (c) validate current investment in demonstration activities. The Evaluation Team recommends that successful demonstrations of productive activities be substantiated with scientifically defensible data and documented, and technical packages proposed for replication demonstrate the value of the investment in the original activity as a basis to expand activities to other sites. The monitoring of organizational and participatory processes, albeit non-comprehensive, should be continued because of the value in monitoring changes in management actions and decision making.
- d. Design and collection of baseline information for proposed activities should be addressed at the start of a Costas activity and for all new sites (and reconstituted at current sites). Biological indicators and monitoring have a crucial place in this activity, so baseline information of sufficient quality to support a monitoring activity is essential. Given that there was no established plan for biophysical data collection, indicators or monitoring, there has been an understandable reluctance to get into collection of biological baseline data. There are notable exceptions: the Karata and Wouhta lagoons in the Costa Miskita, and fishery landings in Gulf of Honduras. However, baseline data are needed for all Costas sites. A biophysical monitoring strategy should be based largely on the guidelines presented in the BSP document, *Caminos al Exito* and in site profiles (e.g., Gulf of Honduras). Developed with full community participation, these documents propose a series of site-based indicators and baseline variables. They propose community led and relatively inexpensive monitoring strategies. The indicators and baseline data needs described in these plans should serve to guide a biological baseline activity, while the planned management and productive use activities are still in relatively early stages.

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- e. GIS is an especially useful, rapid and cost effective tool for planning and for analysis of many of the baseline and monitoring needs of the activity. To take full advantage of this technology, Costas should collect, collate and assimilate currently available and project-generated georeferenced databases for each of its sites and truly harness the power of GIS software, rather than using such a tool for menial automated-mapping tasks.

#### **10.3.4 Management and Administration**

- a. There is a need by for discussions among the management of Costas and other PROARCA components, and between PROARCA and CCAD, to identify the strengths and weaknesses of existing partnerships in areas such as policy/legal frameworks, fisheries management, and coastal/marine protected areas. These discussions should lead to: (a) the clear definition of roles and responsibilities among existing partners and (b) identification of new partners in areas such as regional fisheries management and integrated coastal resources management. Costas, by virtue of its recent successes in transboundary resources management, is in a position to promote these discussions. Closer planning and cooperation can increase co-location of components in specific sites. This combination can accelerate progress on site and magnify both Costas and overall PROARCA results.
- b. The RSTA system is a successful model that should be refined and strengthened, perhaps through funding for national RSTA counterparts (“twinning”) at each Costas site for sustainability. There is a need to assess both site needs and RSTA skills to evaluate RSTA ability to meet anticipated site TA needs. The assessments and resulting needs for technical assistance to the RSTAs should be included in annual site plans and form the basis for advance planning of such assistance from central or home office. The assessment should also be used to develop a training program for each site RSTA to build individual skills needed to meet the most important needs on his/her site and to increase the skill level of the overall RSTA group. Training can be by tailored courses and on-the-job when external specialists are on TA. It is critical to develop mechanisms to facilitate and improve information exchange among RSTA. Success at any given site is a function of RSTA knowledge and experience. They are the focal points for the development of approaches, resolution of issues and promotion of activity objectives. There is much to be gained from having frequent and extensive exchanges of experiences and information among RSTA. There are various mechanisms that Costas management may wish to explore, including exchanges among RSTA (where RSTA work together at one site for a period) and periodic meetings among RSTA, perhaps held at one of the sites.
- c. Members of the management consortium (TNC, WWF and URI/CRC) are encouraged to examine their relationship and establish a more efficient and integral administration and management model. Each Costas consortium member has complementary areas of strength that should be brought to bear at both the central-office level (for planning, technical assistance, and monitoring and evaluation) and at each Costas site. Focusing greater implementation authority by consortium members in the Costas project office in Guatemala City should be encouraged, as this would promote management under more of a true consortium, rather than a grouping of three autonomous organizations. The Evaluation Team also recommends that Costas management develop guidelines for responding to requests for assistance, including quality control of products and plans for delivery/distribution of technical reports.

### **10.4 Recommendations for the Environmental Protection and Legislation Component**

The following recommendations account in large part for the opportunities for improvement mentioned in section 8.2 above.

#### **10.4.1 General Recommendations with Relevance to the Major Component**

The recommendations that follow are applicable to all subcomponents at some point, in other words, to the major component.

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- a. USAID/G-CAP, in collaboration with SE-CCAD, should facilitate strategic and operational closeness among the three components and their implementing agencies, making it apparent in comprehensive annual strategic and programming activities, with the desire to find technical and cost/benefit efficiencies in component activities.
  - b. Complementing the above-mentioned actions, USAID/G-CAP and SE-CCAD should also facilitate the strategic and operational convergence between this component and the CAPAS and Costas components, from both the thematic and geographic perspective.
  - c. As there are many regional and national projects and programs for environmental protection and legislation financed by other bilateral and multinational agencies, USAID/G-CAP, SE-CCAD and the respective implementing agencies should seek mechanisms to coordinate efforts and activities among them to avoid duplication and overloading the counterpart organizations with isolated activities, and to obtain political, technical and financial synergy.
  - d. Programming and provision of technical assistance by EPA would be more efficient in technical and logistical terms by assigning full-time personnel with headquarters in the region.<sup>6</sup>

#### **10.4.2 LEPMI Subcomponent**

- a. More emphasis should be placed in communication aspects with the national governmental institutions responsible for ordering the legislation and regulations for environmental sanitation and protection early in the project cycles for each country, making sure to process all required permits and certifications in time and quality, and keeping those same institutions continually informed.
- b. It is suggested that precautions be taken in the participatory processes of project prioritization and planning at a community level. In communities where experience already exists for managing a sanitation project, the process should be adapted and shortened (not requiring the four traditional workshops in order to achieve an environmental action plan) in order to directly proceed with actions to complete project preparation and manage its financing and sustainable operation.
- c. A mechanism should be established for the Steering Committees to be recognized more formally by the municipal city halls *without* becoming entities with their own legal personality (in order to avoid creating a parallel bureaucracy competing with the municipality) nor being subject to the mayor's political command. The municipalities should offer the Committees office space and occasional secretarial services and communications in order to facilitate the Committee's activities. The Evaluation Team is opposed to the idea of transferring resources directly to the Committees, because they would become staff members of the municipality, an NGO or a private enterprise, losing their *raison d'être* and voluntarism.
- d. To meet the expectations created by the communities to receive the environmental sanitation projects that had been prioritized by the LEPMI process, resources must be requested from other financial entities early in the project cycle. Since there are many bilateral sources and especially multilateral ones at a national level with national government institutions (Funds for Social Investment, loans for environmental sanitation for intermediate urban centers, etc.), it would be logical to make early contact to find out about their consent in financing sanitation works in the selected sites, and to prepare pre-feasibility and feasibility studies according to the technical requirements demanded by each of them.
- e. It is suggested that LEPMI efforts be more centered in small size communities (2,000 to 25,000 inhabitants), leaving the larger urban centers to municipal and national government agencies which could have direct access to the financing sources offered under the IDB and World Bank programs (social

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<sup>6</sup> With the initiation of the Post-Mitch Reconstruction Program at the regional and national level financed by the Government of the United States through the USAID missions in Honduras and Nicaragua, the United States Geological Survey (USGS) has assigned a full-time expert in the USAID mission in Tegucigalpa. With this precedent, EPA could assign an expert to USAID/G-CAP under the PASA agreement as coordinator and technical director.

investment loans and funds). Thus, more emphasis will be given to *appropriate technology* projects, in accordance with the socio-economic level of these communities, including cost/benefit aspects of solutions and citizens' capacity to pay for services (whether managed by a municipal or private enterprise), and the awareness and training aspects in use and operation/maintenance of the works.

- f. As a basic concept, environmental quality indicators should be established on which to base an evaluation of the projects' impacts in environmental sanitation. Basic scientific data is needed in order to be able to: monitor and evaluate the effectiveness of the technology used; calculate the project cost/benefit ratio; prepare the technical packaging derived from the pilot projects; and circulate the results in order that the projects be replicated. Examples of useful scientific data follow:
- *Waste water projects*: data on quality of effluents to be collected, treated and discharged through the sewage projects and the water quality in the receptor basins; and a cost analysis by housing solution as compared to the beneficiaries' capacity to pay for the service;
  - *Solid waste collection, classification and disposal projects*: data about the type, volume, number and location of illicit dumping of solid wastes (the rivers for example), and an analysis of the costs by housing solution as compared to the capacity of the beneficiaries to pay for the service.

Without these data it would be difficult to analyze if these are the most adequate projects to be circulated and replicated in other parts of the countries with similar conditions.<sup>7</sup> LEPPi (CHF and EPA) should take into account that, no matter how efficient a sanitary solution may be, its adoption is in direct correlation to the cost and simplicity of operation by the beneficiaries. Therefore, it is suggested that a "second best strategy" be adopted to accomplish the insertion of a project by stages, for example: it could be more efficient to build a more effective solid wastes system of collection and classification as a first stage, before making arrangements for a modern costly sanitary landfill as a project approach; and to install septic tanks and the correct disposal of its effluents as a first stage, and a treatment plant as a second stage.

#### **10.4.3 Harmonization and Application of Environmental Legislation Component**

- a. SE-CCAD should reduce the environmental subject groups to be treated under the PROLEGIS and PROBIO programs to a manageable number that better reflects the more outstanding regional environmental priorities, and in proportion to its managerial-technical capacity (especially in relation to the number and specialty of its personnel). As there is an important number of projects and programs for institutional and operational environmental strengthening at the regional and national level, SE-CCAD should redouble its efforts to coordinate with them, facilitating greater efficiencies in strategic planning and coordinated programming of actions for environmental protection and legislation, with emphasis on active application of existing frameworks. SE/CCAD should facilitate co-financed and co-implemented activities among projects and actors of the governmental and non-governmental sectors, proposing as success indicators the incidence and value of these co-participations. It is very important to coordinate the activities implemented under PROLEGIS and PROBIO with environmental institutional strengthening projects financed by the IDB and World Bank in the countries of the region, and with the regional and national initiatives under the auspices of the Global Environmental Fund (GEF), the latter emphasizing biodiversity protection and management strategies for the Mesoamerican Biological Corridor.
- b. SE-CCAD should improve its current strategy and public relations and communication program to make both its image and its reason for being as well as its activities better known and supported by government and non-government entities (real and potential counterparts). One mechanism suggested to improve and maintain its image, publicize its strategies and comply with, at least, part of its mission, will be re-establishing its Web page, but making it into a source of contact data from other primary and secondary scientific information sources (*metadata*), and a repository and a place to circulate didactic and geo-

<sup>7</sup> While the processes of environmental impact assessment governed by national and/or municipal authorities on this matter could include requirements to monitor biophysical indicators of environmental quality, during the evaluation, no examples of these environmental sanitation projects under the LEPPi auspices were observed, although they could be included in the environmental certifications eventually granted by the authorities.



referenced information about: (a) project descriptions and national and regional environmental programs, together with contact data from its implementors; (b) inventory and condition of renewable natural resources and biodiversity; (c) technical and socio-economic information, such as manuals and methodologies for environmental management and carbon fixation and guides to best technical practices, mechanisms for the incorporation of environmental costs in national accounts (environmental services), investigation and monitoring results, census and statistics, etc.; and (d) up to date information on conferences, workshops, training courses, etc. The current efforts under PROBIO for creation of the Mesoamerican System of Information on Biodiversity (SIMEBIO) should be integrated into this major system at the SE-CCAD level. As a complement, SE-CCAD should investigate the possibility of serving as a focal point and repository/distributor of regional monitoring information of the main biophysical indicators (vegetative cover, water amount and quality, biodiversity indexes, etc.).

- c. The technical assistance and training strategy used under PROLEGIS with the support of EPA, should be re-focused towards cases of real environmental problems in specific geo-physical areas strategically selected to contribute to the major CCAD and PROARCA regional objectives. Preferably, the efforts should be oriented in relation to the priority transboundary sites managed under the Costas component (and others to be chosen), linking in a synergetic way with priority matters under the auspices of both Costas and CAPAS. Thus, the assistance and training efforts would be directed into achieving more reachable subregional solutions with the appropriate participation of actors with greater proximity to the problems—instead of diluting the efforts by dealing with the macro structural problems at a national level (from the bottom up, more in harmony with the original upward harmonization). The same suggestion is applicable in the PROBIO case which should concentrate its efforts to facilitate institutional and civil society responses in the application of the CITES, Ramsar, MARPOL, Cartagena, Climatic Change, etc. conventions, in the transboundary priority zones to, again, take advantage of the same synergy. The most important progress made under international conventions to date, by CCAD's own assessment, has been under:
- *CITES* (International Convention on International Trade of Endangered Species), for which CCAD/PROBIO and PROLEGIS, with some assistance provided under CAPAS, has carried out training and produced identification handbooks to be used by customs officials at international entry points and border crossings; and
  - *International Convention on Biological Diversity*, for which CCAD facilitated elaboration of the preparation of the Central American Agreement on Biological Diversity and its signature by ALIDES member countries. This agreement was developed within the framework of the International Convention and, by and large, supports its covenants. CCAD/PROBIO has been somewhat active, albeit with budgetary and personnel restrictions, in promoting the strengthening of the National Biodiversity Commissions and the conformation of these through a regional network, providing training and information exchanges.
- d. SE-CCAD, once it has completed its transition/incorporation to SICA, having adopted its strategic plan y having proposed its principal programs and roles for in-house personnel, should establish the financial mechanisms for its basic operations (*core funding*). The advantages and disadvantages of various alternative mechanisms should be analyzed, opting for a mix that better favors the long-term technical-management objectives. It is advisable that SE-CCAD *does not* opt for an alternative that would imply particular project resource dependency (soft money), since these mechanisms tend institutionally to destabilize, resulting in reductions in quality and quantity of personnel and in the technical orientation of the organization.

#### **10.4.4 Pollution Prevention Subcomponent**

Since the activities under this subcomponent, executed by EPA under the PASA agreement, directly support the LEPMI and CCAD (PROLEGIS and PROBIO) objectives and programs, the recommendations mentioned in subsections above are applicable.

## 10.5 Recommendations with Direct Relevance to PROARCA II Design and Initiation.

In the first place, the Evaluation Team is in total agreement with the idea that there is need for implementing a second phase for the PROARCA Project. Several processes for transfer of methods and appropriate technology have been put forward to contribute to the solution of environmental problems and non-sustainable use of renewable natural resources in the region. The implementation of a second phase would contribute to achieving the objectives originally established in Strategic Objective 2 and the PROARCA Project Paper, strengthening the actions of Implementing Agencies and counterpart organizations in environmental protection and conservation of biodiversity. The following are some recommendations presented by the Evaluation Team which should be considered in the second phase design of the PROARCA Project.

### 10.5.1 Design criteria for PROARCA II

In this section, the Evaluation Team would like to propose criteria for the PROARCA II design based on evaluation results. Criteria are presented in a summarized way and only as a proposal to be analyzed together with other alternatives and strategies that USAID/G-CAP and CCAD would consider. For the Evaluation Team, the following criteria represent experience acquired to this date, the strengths and opportunities for improvement which have been analyzed and articulated in this evaluation.

- a. The Project, in all its components and activities, should be focusing on *between four and six transboundary subregions* which have the environmental, social, and economic criteria which remain to be set (see section X.A.1 above). Because of the investments already made and the advances achieved to date, it is suggested that the sites of the Gulf of Fonseca, Gulf of Honduras and Bocas del Toro-Gandoca, now considered under the Costas component should be included among the subregions to be considered under the new project. The geographic area now included in each of these three mentioned sites should be extended to include the watersheds that are most influential for the environmental quality of the coastal zones. The exact boundaries should be drawn during the design phase, once again taking into account the selection criteria and a more intensive analysis of the social and environmental characteristics of these subregions;
- b. Applying the selection criteria, as many as three additional subregions should be chosen to be considered under the new project. Some possibilities to be taken into account are: (a) the Río Lempa (Honduras-El Salvador) binational watershed, (b) the Río Paz and La Barra de Santiago (Guatemala-El Salvador) watershed and coastal zone; (c) the Lago de Nicaragua (Nicaragua-Costa Rica) binational watershed; (d) the Río San Juan (Nicaragua-Costa Rica) binational watershed and coastal zone; and (e) the Río Motgua (Guatemala-Honduras) middle binational watershed. Inclusion of the Costa Mesquita should be analyzed according to the selection criteria and the possibility of expanding the area to include the Honduran Mosquitia, if and when justified.
- c. The methodology for participation in the new Project should be based on the coalition model developed under Costas. The coalitions should be extended, where appropriate, to include local government institutions and representatives of decentralized national organizations to achieve the constant and broad support of activities. Training events and workshops would be used at the minimum necessary to transfer skills required by the counterpart organizations; and only when these training events are linked to the activities executed under the project and have the required “in-service” follow-up.
- d. The activities currently executed under the CAPAS and Environmental Protection and Legislation (LEPPI, PROLEGIS and PROBIO) components should be geographically reoriented to the selected subregions, with efforts to integrate and establish investments to obtain greater strategic, technical, operational, administrative and economic (cost-benefit) efficiencies, and a higher impact.
- e. The activities presently being initiated under CAPAS, protected area management, protection of endangered fauna (manatee, tortoise and others yet to be defined), climate change, tourism and environmentally friendly coffee, as well as certification of forests under sustainable management/exploitation in buffer zones, etc. should be executed under an integrated plan in the selected

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subregions, coordinating them with activities already executed under other components in order to achieve greater scale and efficiency impact.

- f. Activities currently executed under LEPPi should be based on a rapid inventory of pollution sources, whether domestic, agricultural and/or industrial, that most influence the human and natural environment. A classification and prioritization should be made of the sources to be considered. For municipal and rural small projects (2,000 to 20,000 inhabitants or small industries in rural areas), the participatory process should be applied (if the currently used short process is required) to prioritize, design and implement strategies and/or works needed, preferably with the participation of USAID bilateral missions. For projects of greater importance, whether municipal or industrial, in collaboration with appropriate local and/or national authorities, contact should be made with financial agencies' representatives or projects that consider this type of solution (World Bank, IDB, Social Investment Funds, UNDP/PNUMA, Chambers of Industry) in order to facilitate a resolution.
- g. With the concentration of PROLEGIS and PROBIO activities in the subregions, experiences would be generated under political, environmental and social conditions in a living laboratory, developing legal-regulatory mechanisms and linking the strengthening of local institutions to transfer them from a local level to a subregional level (upward harmonization) in traditionally abandoned zones which are still vulnerable, and with a higher success potential due to the reduction of the geographic area scale. Also the Project would promote application of the protocols for the international conservation and environmental protection conventions (CITES, Ramsar, Biodiversity, Genetic Resources, MARPOL, Cartagena, etc.) at a local level, always in concert with the other components.
- h. The new Project strategy should include more emphasis on promotion of sustainably productive and environmentally friendly activities, an integral factor in watershed management and essential for the buffer zones of the coastal protected areas. It would start from the experience obtained under CAPAS and Costas, with emphasis on *best practices*.
- i. Preferably, the new project should be implemented through two, but not more than three, contractual arrangements (one agreement or contract for each modality). Initially there would be an institutional contract to facilitate a rapid, high quality consultancy response; and a cooperative agreement because of its comparative and programmatic advantages and its potential to create linkages with other programs in the region executed by the NGOs participating in the agreement. It could be convenient to include an inter-agency agreement (as a PASA) depending on the Project's final design and the requirements for a specialized consultancy which these agencies might have, but only if a professional headquartered in the region could be assigned. The reduced number of agreements and contracts would substantially simplify the Project's administration, both for the eventual implementers and USAID, and would contribute to a better integration between the parties in planning, execution, and monitoring and evaluation of the Project's activities.
- j. CCAD (SIG/DGMA), should be a counterpart at a regional level and should participate in the Board of Directors. Depending on the completion of its integration with SICA and the nature of its new *modus operandi* and strategic plan, it could act as the implementing agency for PROLEGIS and PROBIO activities. The specific arrangement for its participation would depend on the financing and administrative model that this organization would have adopted under SICA (its own trust fund /core funding, patrimony fund, project items).
- k. During the first semester of work in each of the selected subregions, the implementing agencies should prepare a baseline of the social, economic, environmental and political parameters that they should use to evaluate progress and impacts of the activities towards the new Project objectives. These should include biophysical-indicator parameters of the dynamics of the condition and conservation status of natural resources and ecosystems. A unique information system should be established for the Project in order to input, store, analyze and evaluate monitoring data against the baseline. Note that monitoring and evaluation responsibilities belong to everybody, therefore each implementer should keep his/her monitoring and evaluating systems up to date.

- l. The Project should also have a shared information and communications center. The Project should create, in coordination with SE-CCAD, a Web page that would provide information about all activities which would take place, accessible documents which could be downloaded from the Internet, a metadata section, with hyperlinks to direct the visitor to Web pages of other national, regional and international collaborators, other projects, international scientific and assistance organizations, and documentation centers. The Project's communications center would act as a depository and clearinghouses for thematic and geo-referenced information related to the serviced Project and subregions. The center would also keep a list of counterparts, actors and stakeholders, duly classified in order to send them information about their interests or for education and lobbying. Finally, the communications center would support all implementing agencies in the transfer of appropriate technology and assist in preparing appropriate strategies and means for importing information at all levels (from resource users to the political arena), via correct messages and information related to the objectives, both from the public relations perspective and that of the Project image.
- m. The Project's management and supervision by USAID/G-CAP should be vigilant in order to accomplish the required coordination activities during the annual planning processes. It is necessary to continue semi-annual exchange meetings, after arriving at an inter-component evaluation phase concerning progress actions and considering the levels of integration. During this process USAID/G-CAP should be cautious not to fall into Project micro-management, but to act as a facilitator for aspects of institutional and regional policy and the Project's global integration. One of the issues that should be defined as soon as possible is the validity of CONCAUSA as an execution framework for the Project.

### **10.5.2 Recommendations Concerning the Design Process and Transition between PROARCA and PROARCA II**

The Evaluation Team noticed with concern that the actions normally required within the project's cycle, at least those related to the Project's second phase design are late. The PROARCA Project is nearing its closing date (*PACD*) as are deadlines for contracts and agreements with the Implementing Agencies (between June and August, 2000). The regional mission is presently discussing and analyzing its new Strategic Objective 2, a precursor to the design of PROARCA's second phase, programmed for approval in March, 2000. In order to design the Project's second phase, it is assumed that USAID would contract a private company under an open competition arrangement or through provision of services under an indefinite quantities contract (IQC) This process could take, according to the contractor's competence and selection, approximately 3 to 4 months. If at least four more months are added to the design phase, plus the Project revision and approval period in Washington, PROARCA II would not be initiated until more or less the first semester of the year 2001.

If USAID/G-CAP would want to consider contracting the present implementing agencies to follow the Project's execution during its transition until the initiation of the second phase, there would then be a lapse of about 7 to 12 months between PROARCA's *PACD* date and the initiation of PROARCA II. It should be mentioned that the costs to close a project and to re-initiate it are exorbitant—not only in financial terms, but even more in terms of losing contact with the counterparts and interruption of the rhythm and momentum of activities. While the TNC/WWF/URI Consortium could still continue to support some activities in the four Costas sites, no effort has been made to seek more funds for their financing and it is likely that the contract with RSTAs would end and the nexus with the sites and counterparts would be lost. The LEPMI and CAPAS situation would be more abrupt, since CHF has no counterpart funding, except some financing from some bilateral USAID missions for design and construction of works; and IRG, as an institutional contractor, will end its activities when its contract terminates. The PASA with EPA will share the same fate.

The future for SE-CCAD would be more important when it exhausts the financing now received under PROARCA. Financing for PROLEGIS and PROBIO personnel would have to be found or their contracts would have to be suspended. Also SE-CCAD will have to seek financing for meetings and communications with Environmental Ministers.

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Without the knowledge of current USAID plans and if the option should remain to go ahead with one or more of the current Executive Entities, the Evaluating Team suggests that the mission considers a type of “bridge” financing to continue implementing one or more components and its activities, but only under a transition strategy considering some of the recommendations presented in this evaluation report. Without this financing or if USAID has decided to change the orientation and arrangement of the Project execution in its second phase, then continuity in present activities and processes, and the contact and relationship with counterparts would be lost.

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## APPENDICES

## APPENDIX 1: Workplan

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## Evaluación del Proyecto Ambiental Regional Centroamericano (PROARCA)

### Metodología y Plan de Trabajo del Equipo Evaluador<sup>1</sup>

USAID/G-CAP, Guatemala  
Octubre 18, 1999

#### 1.0 Enfoque GENERAL de la evaluación

La evaluación tendrá un enfoque formativo con visión de futuro con el propósito de obtener del ejercicio un panorama sobre los aspectos que tienen un alcance regional y cuyo impacto pueda tener mayor difusión entre los países de la región. Este enfoque ha sido discutido y acordado con el Director de la Misión de USAID en Guatemala, el Líder del Equipo del Objetivo Estratégico (SO2), la Coordinadora de la Evaluación y los supervisores de los respectivos componentes del Proyecto por parte de USAID/G-CAP, y los entes responsables de la implementación de los componentes de CAPAS (IRG), Costas (Consortio TNC/WWF/URI-CRC) y LEPMI (CHF). El Equipo Evaluador de ARD ha discutido la metodología con todos y se llega a concluir el Plan de Trabajo presentado en el Anexo I. En la ejecución de su Plan de Trabajo, el Equipo Evaluador pondrá énfasis en analizar los aspectos del Proyecto en sus componentes descritos a continuación.

#### 1.1 Procesos e Indicadores

Se determinarán y analizarán los indicadores utilizados para medir los impactos de los diferentes componentes. Será preciso definir la situación en la que se encuentran aquellas acciones que son *logros* y las que son más bien *procesos* para los cuales se estuviesen cumpliendo hitos o pasos intermedios que conducirán al cumplimiento de un impacto a nivel regional, trans-fronterizo, nacional y/o local. Se parte del hecho que los diferentes componentes tienen metodologías diferentes de enfocar e iniciar acciones. Algunos componentes están realizando procesos que tomarán más tiempo que la vida del Proyecto, para tal fin se evaluarán los hitos o resultados intermedios, y en otros casos son actividades que ya llegaron a su fase final, produciendo logros sustantivos, o cuya ejecución haya generado nuevas líneas de actividad.

#### 1.2 Enfoque Estratégico

Se buscará identificar y documentar el enfoque estratégico que se ha utilizado por los diferentes componentes para llevar a cabo la ejecución del Proyecto. Se determinará cuáles son las condiciones que han brindado a los diferentes componentes la oportunidad de definir una estrategia que haya permitido lograr los objetivos perseguidos bajo el Proyecto o, en el caso de procesos, orientar actividades en esa dirección. Se identificarán aquellas acciones que por falta de oportunidad o decisión en el proceso de ejecución no fueron implementadas. También se identificarán y analizarán cuáles son los diferentes grupos sociales con los que los componentes hayan tenido actividad e impacto.

#### 1.3 Métodos Técnicos

El Equipo Evaluador pretende distinguir aquellas metodologías y técnicas que han producido resultados positivos sin descartar identificar el por qué algunos enfoques o estrategias no hayan logrado generar el impacto perseguido. Se analizará la validez científica, social y política de los métodos y técnicas empleadas en la implementación de las actividades, los logros y productos, y la diseminación y uso de los mismos por parte de los contrapartes, participantes y beneficiarios interesados (stakeholders).

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<sup>1</sup> El Equipo Evaluador está formado de: Carlos Rivas (Jefe del Equipo), Jurij Homziak (Associates in Rural development, Inc.), y Paul Dulin y Sergio Zelaya (Consultores).



## 1.4 Participación a Todos Niveles

Es crucial para el Equipo Evaluador identificar los niveles de participación en la ejecución de todos los niveles involucrados entendiéndose, entre socios, contrapartes y beneficiarios. Se espera poder identificar el interés y participación de los socios a nivel de USAID (G-CAP y bilaterales), SICA-CCAD, organismos transfronterizos, los gobiernos nacionales y locales, ONGs, la empresa privada y grupos comunitarios y usuarios de recursos naturales.

## 1.5 Modelos de Gerenciamiento y Administración del Proyecto

El equipo Evaluador señalarán las ventajas y desventajas de los distintos modelos de administración y gerenciamiento de las actividades bajo distintos mecanismos contractuales, con el afán de determinar las relaciones costo-beneficio, valor agregado y eficiencia en el uso de los recursos así como en los resultados perseguidos.

## 1.6 Sostenibilidad Organizacional y Financiera

El establecer los mecanismos necesarios para lograr la sostenibilidad de las acciones bajo ejecución es un elemento importante de evaluación especialmente relacionado con los objetivos de transferencia de tecnología y la continuidad de las acciones de protección ambiental por parte de los contrapartes y los beneficiarios del Proyecto. Este es un aspecto de interés para todos los involucrados en la implementación del Proyecto, tanto ejecutores como el organismo donante. Se analizarán los actuales marcos y estrategias organizativas y financieras para evaluar el potencial de sostener las actividades actualmente apoyadas bajo el Proyecto.

## 1.7 Lecciones Aprendidas

El Equipo Evaluador recopilará y las lecciones aprendidas de los diferentes componentes con el propósito de analizarlas con el afán de poder recomendar la expansión de aquellas que, a juicio del Equipo, aparezcan como prometedoras y reducir el énfasis o apoyo a aquellas que, ante el análisis, se perciban como poco prometedoras.

## 2.0 METODOLOGIAS A SER EMPLEADOS POR EL EQUIPO DE EVALUACION

El Equipo Evaluador empleará una serie de instrumentos metodológicos para recopilar y analizar la información necesaria para poder evaluar el Proyecto, incluyendo: reuniones de orientación con USAID, CCAD y los entes responsables de los respectivos componentes; visitas a una selección representativa de sitios en donde se llevan, o han llevado, a cabo actividades de los tres componentes y entrevistas con los grupos de interesados, sean estos contrapartes en la ejecución de las actividades o beneficiarios de las mismas. El Equipo Evaluador analizará el avance de cada componente (CAPAS, Costas, LEPPI/PROLEGIS/EPA) con respecto a la consecución de los objetivos del Proyecto considerando lo propuesto en:

- El Documento del Proyecto (PP);
- El objetivo estratégico de la USAID bajo el cual esta ejecutándose el paquete de resultados;
- Los convenios de cooperación y/o contratos establecidos entre los responsables de los componentes; y
- Los planes aprobados anualmente por los funcionarios de la USAID.

Para lograr esto el Equipo Evaluador utilizará los mecanismos y herramientas señaladas a continuación.

## **2.1 Reuniones de Orientación y Retroalimentación con los Principales Responsables del Proyecto en Guatemala y El Salvador**

Durante la primera semana del trabajo del Equipo Evaluador, se llevaron a cabo reuniones de orientación con los representantes claves de USAID/G-CAP y los entes responsables para la ejecución de los componentes. Lo mismo se hará con la CCAD al llegar a San Salvador. Se recibió toda la información disponible y de orientación de parte de los responsables de los componentes. A regresar de las visitas al campo y las programas entrevistas guiadas a los diferentes grupos de actores, se pretende reanudar las discusiones en entrevistas con USAID y los entes responsables de los componentes.

## **2.2 Visitas a Sitios de Trabajo y las Ciudades Capitales y Entrevistas con los Grupos de Interesados**

Se ha programado un número importante de visitas y entrevistas con grupos de interesados en los siete países, en los que el proyecto tiene acciones (véase Anexo II). Para consultar personas y grupos en toda la región, se está dividiendo las tareas entre dos sub-equipos (A y B). Los dos sub-equipos visitarán El Salvador, el Equipo A se trasladará entre los países de Honduras, Guatemala y Belize, mientras el Equipo B se dedicará a las tareas en Panamá, Costa Rica y Nicaragua.

Durante las visitas a las capitales de los países se harán entrevistas guiadas en pequeños grupos de personas pre-seleccionadas con el apoyo de USAID y los entes responsables de la ejecución de los componentes, con el objetivo de lograr la información requerida para cumplir con los objetivos perseguidos por la evaluación. En algunos casos será necesario entrevistar ciertas personas de manera individualizada.

En el proceso de las visitas de campo se entrevistarán los beneficiarios, contrapartes y/o coaliciones y los facilitadores de los componentes en las áreas de trabajo. Es el interés del Equipo Evaluador que, al salir de cada sitio de campo, presentar una visión sintetizada de la información recopilada (principalmente para los representantes locales de Costas). Esta presentación tiene el propósito de corroborar la información obtenida y, si es necesario, profundizar en algunos temas en los que los informantes consideren oportuno aclarar conceptos. La metodología de recopilación de información e intercambio a ser utilizado por el Equipo Evaluador hace uso de tres instrumentos principales: *la entrevista guiada*, *la discusión con grupos focales*, y *el taller de interesados*. A continuación se describe la metodología y los tres instrumentos en mayor detalle.

### **2.2.1 La Entrevista Guiada y Guías para Entrevistas**

La entrevista guiada es una metodología sencilla y eficaz para recopilar información sobre proyectos que cuentan con numerosos y heterogeneos grupos de contrapartes y participantes, varios niveles de beneficiarios y proyectos cuya implementación tenga un mayor alcance geográfico. PROARCA es un proyecto que cuenta con todos estos calificadores. La entrevista guiada es, en realidad, una discusión entre el evaluador e interesado sobre la participación del segundo en el Proyecto. La metodología busca un análisis cualitativo de las actividades del un proyecto, no en sí una fiscalización cuantitativa, y se orienta mayormente a la evaluación del impacto de las actividades y la eficiencia de sus procesos gerenciales y metodológicas, y menos al cumplimiento de las metas aritméticas de los planes anuales de trabajo. Para evitar que la discusión entre los interesados salga de los objetivos de la evaluación, el Equipo Evaluador empleará *Guías para Entrevistas* (véase Anexo III), un instrumento útil para orientar las discusiones entre los evaluadores y los grupos de participantes y/o beneficiarios de los respectivos componentes de PROARCA. Se incluyen en las Guías una serie de preguntas abiertas acerca las experiencias y opiniones de los entrevistados, cuyas respuestas alimentarán el análisis, por parte del Equipo Evaluador, de los logros de los tres componentes mayores del Proyecto, y sus actividades y productos, y de los procesos y métodos usados en su implementación.

Las Guías contienen dos secciones principales:

- una *sección general*, en relación a los temas administrativos y gerenciales, el enfoque estratégico de los componentes, y el alcance geográfico y temático de las actividades; y
- una *sección específica*, que trata actividades particulares de CAPAS, Costas y/o LEPPi, pertinentes a los respectivos grupos focales de las entrevistas.

Una vez efectuadas las entrevistas iniciales en Guatemala con USAID/G-CAP y representantes de los Entes Ejecutores de Componentes (EEC) responsables de la implementación de los componentes, y la SICA-CCAD en El Salvador, el Equipo Evaluador se divide en dos sub-equipos para facilitar la cobertura de la multiplicidad de participantes y beneficiarios en los siete países de la región. Los *Equipos A y B* se trasladarán a los sitios programados, y en las fechas y horas indicadas, se reunirán con grupos de participantes y beneficiarios debidamente seleccionados por los EE para facilitar discusiones con los mismos empleando la Guía para Entrevistas.

### **2.2.2 Entrevistas en Grupos Focales y Recopilación de Información**

Se ha optado por *entrevistas en grupos* de 2 hasta 12 personas como la manera más eficiente, en calidad y tiempo, de efectuar la recopilación de información en la región. Los entrevistados incluirán contrapartes, funcionarios de los equipos de ejecución de componente, participantes y beneficiarios de las respectivas acciones y productos, funcionarios de USAID a nivel regional y bilateral, funcionarios de los gobiernos nacionales y locales, el SICA-CCAD y, de acuerdo a su disponibilidad en el tiempo y lugares, representantes de algunos organismos bi- y/o multilaterales.

Los Equipos A y B utilizarán *rotafolios* tanto para facilitar las discusiones como para documentar las experiencias, opiniones y recomendaciones de los entrevistados de acuerdo a las preguntas de las Guías. Para cada entrevista, los Evaluadores deberán de preparar una lista de temas alrededor de los cuales se girarán las discusiones guiadas. Un otro papel rotafolio, se recopilará lo esencial de las discusiones en términos de respuestas a las preguntas. Una vez concluidas las entrevistas, los Evaluadores transferirán la información de los rotafolios a documentos computerizados. Estos documentos constituirán las *notas de campo*, uno de los productos estipulados en el contrato a ser entregados por el Equipo Evaluador a USAID/G-CAP. De manera similar, las observaciones directas de los miembros del Equipo Evaluador, hechas en relación a las visitas a los sitios de los componentes Costas y LEPPi, serán transferidas a formato de documento.

### **2.2.3 Integración de Información de las Entrevistas y Visitas al Campo, y su Presentación en el Taller de Interesados**

A terminar los viajes y entrevistas, los Equipos A y B integrarán y analizarán sus respectivos hallazgos desde la perspectiva regional. Se presentarán los principales hallazgos y conclusiones mediante una serie de materiales a ser facilitados a los participantes en el *Taller de Interesados*. Más allá de los representantes de USAID, SICA-CCAD y los entes responsables de los componentes, se invitarán tres representantes de cada país, una persona que pertenezca a las ONGs involucradas, una persona que este dedicada al uso de los recursos naturales, y un funcionario gubernamental (nacional o local) considerados por el Proyecto como "Interesados" (*Stakeholders*). En el caso particular del componente de LEPPi, se invitarán 3 a 4 personas adicionalmente. La selección de los participantes será responsabilidad entre la Coordinadora de la Evaluación de USAID y los entes responsables de la ejecución de los diferentes componentes.

El Equipo Evaluador presentarán sus hallazgos y conclusiones formalmente en el Taller al iniciar la primera plenaria. Luego, se distribuirán los participantes del Taller en *Grupos de Trabajo* de acuerdo a su interés temática y/o afiliación con las respectivas acciones a nivel regional para analizar los hallazgos y conclusiones del Equipo Evaluador y validarlas o enriquecerlas concordante con su criterio. Los Grupos de Trabajo priorizarán las conclusiones y presentarán recomendaciones para la continuación, expansión y/o reorientación de las actividades

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bajo una segunda fase de PROARCA. Para facilitar las tareas de los Grupos de Trabajo, la persona contratada para facilitar el proceso por ARD proveerá directrices para calificar y guiar las discusiones, observaciones y recomendaciones de los participantes hacia los objetivos mayores de la evaluación.

### **2.3 PREPARACION DEL INFORME DE LA EVALUACION Y SU PRESENTACION FORMAL A USAID/G-CAP EN GUATEMALA**

El Equipo Evaluador analizará los resultados del Taller de Interesados, junto con sus propias conclusiones y criterio profesional para preparar el borrador del informe de evaluación, incluyendo la formulación de recomendaciones a los entes responsables de la ejecución de los componentes en relación a sus estrategias y métodos de implementación, y a USAID/G-CAP sobre las estrategias, actividades y alcance geográfico y temático pertinentes para el diseño e implementación de una segunda fase de PROARCA.

A una semana después de haber enviado el borrador del informe de la evaluación a USAID/G-CAP, el Jefe del Equipo Evaluador regresará a Guatemala para efectuar una presentación formal del documento, con el uso de presentaciones multi-medios, incluyendo Powerpoint y diapositivas tomadas en los sitios de trabajo del Proyecto. Estos mismos medios formarán parte de los productos a ser entregados a USAID/G-CAP como memoria de la evaluación.

ARD presentará la versión definitiva del informe de evaluación a una semana de haberse recibido las observaciones de USAID y los entes responsables de la ejecución de los componentes.

## **APPENDIX 2: Interview Guides**

1. ¿Cuáles son la razón de ser y objetivos de su organización?
2. ¿En qué actividades de PROARCA ha participado y/o beneficiado Usted y su organización (describanlas)?
3. ¿Cómo supo de PROARCA, es decir, como se iniciaron las actividades con el Proyecto?
4. ¿Cuáles son los temas o problemas principales que han sido tratados por PROARCA? ¿Cuál ha sido su contribución, o de su organización, en tratar estos problemas o temas?
  - a. ¿Cómo el Proyecto contribuyó a resolver estos problemas?
  - b. ¿Cómo fue el proceso de seleccionar el sitio en donde se está trabajando con apoyo de PROARCA? ¿Está de acuerdo con la selección?
  - c. ¿Describa el proceso utilizado para identificar tanto estos problemas como las prioridades para tratarlos bajo PROARCA?
  - d. ¿Coinciden estas prioridades con las de su organización, y con las del Gobierno local y nacional?
  - e. ¿Cómo se han involucrado las mujeres y grupos étnicos en el proceso?
  - f. ¿Qué valor piensa que tienen los talleres?
5. ¿Son las actividades en que usted (o su organización) participó totalmente nuevas (que resultaron del proceso PROARCA), o son la continuación de actividades previamente encaminadas por su organización?
6. ¿Piensa que el apoyo de PROARCA es regional, nacional o local? (Explíquese por favor)
7. ¿Qué otros componentes de PROARCA conoce Usted que tienen alcance en su comunidad o radio de acción?
8. ¿Manejó su organización los recursos proporcionados por PROARCA bajo sus propios sistemas de administración, o maneja PROARCA todos aspectos de administración (Explíquese por favor)?
  - a. ¿Cómo han sido los procesos administrativos de PROARCA (lento/burocrático, rápido/eficiente)?
  - b. ¿Tienen sus propios fondos u otros fondos que manejan en conjunto con los de PROARCA?
9. ¿Qué aspectos cree Usted que PROARCA ha logrado con éxito?
10. ¿Qué actividades, proyectos o apoyos piensa que PROARCA debería replicar y/o expandir, y dónde? (Explique)
11. ¿En qué aspectos debería fortalecerse PROARCA (asistencia técnica, capacitación, talleres, materiales y apoyo logístico)?
12. ¿Cómo califica el trabajo de PROARCA? ¿Que recomendaciones tiene para mejorar su impacto y alcance?
13. ¿Qué piensa Usted son los temas o problemas principales regionales que merecen ser apoyados por un proyecto regional como es PROARCA?
14. ¿En qué actividades y en cuáles áreas geográficas debería estar trabajando PROARCA? ¿Por qué?
15. ¿Cómo piensa que PROARCA debería contribuir a resolver los problemas ambientales?
16. ¿Cual debería ser el papel de la CCAD con relación a proyectos regionales, como PROARCA?

## APPENDIX 3 Contacts

## People and Organizations

### PROARCA/CAPAS Meeting October 11, 1999

| Name              | Role/Organization                |
|-------------------|----------------------------------|
| Claudia Quinteros | Grant Program Assitant           |
| Damaris Chávez    | Mercadeo Pro-ambiental           |
| Jurij Homziak     | Consultant/Evaluation USAID/ARD  |
| Rafael Calderón   | Environmental Politics           |
| Sergio Zelaya     | Consultant/ Evaluation USAID/ARD |
| Paul Dulin        | Consultant/ Evaluation USAID/ARD |
| Martin Schwarz    | Advisor CCAD/PROARCA             |
| Rafael Luna       | Trainer                          |
| Teresa Robles     | Manager of Small Grants Program  |
| Hilda Rivera      | Specialist - Forestry Component  |
| Jan Laarman       | Team Leader - CAPAS              |
| Luis Furlán       | Communications Specialist        |

### Costas Meeting October 12, 1999

| Name               | Role/Organization                     |
|--------------------|---------------------------------------|
| Paul Dulin         | Consultant/Evaluation USAID/ARD       |
| Sergio A. Zelaya   | Consultant/Evaluation USAID/ARD       |
| Néstor Windevoxhel | Director PROARCA/Costas               |
| Carlos Rivas       | Team Leader ARD                       |
| Sonia Uribe        | Administrative Manager PROARCA/Costas |
| Jurij Homziak      | Consultant USAID/ARD                  |
| Marcia B. Brown    | Coordinator PROARCA/Costas/TNC        |
| Andreas Lehnhoff   | Director, TNC-Guatemala               |

### LEPPI Meeting October 12, 1999

| Name                 | Role/Organization                    |
|----------------------|--------------------------------------|
| Carlos Rivas         | Team Leader ARD                      |
| Paul Dulin           | Consultant ARD                       |
| Sergio Zelaya        | Consultant ARD                       |
| Jurij Homziak        | Marine Resources Specialist/ARD      |
| María Isabel Bolaños | Regional Advisor CHF/LEPPI           |
| Nadia Gamboa         | Regional Technical Advisor CHF/LEPPI |
| Roberto Morales      | PROARCA                              |
| Ana Paola Aragón     | Assistant LEPPI                      |
| Claudia Montenegro   | Accountant                           |



**PROARCA Meeting  
CAPAS Office  
October 14, 1999**

| Name               | Role/Organization               |
|--------------------|---------------------------------|
| Paul Dulin         | Consultant ARD                  |
| Nadia Gamboa       | LEPPI                           |
| Jan Laarman        | CAPAS                           |
| Carlos Rivas       | Team Leader ARD                 |
| Maribel Bolaños    | LEPPI                           |
| Néstor Windevoxhel | Costas                          |
| Rafael Luna        | Costas                          |
| Claudia Quinteros  | CAPAS                           |
| Hilda Rivera       | CAPAS                           |
| Jurij Homziak      | Consultant/Evaluation USAID/ARD |
| Sergio A. Zelaya   | Consultant/Evaluation USAID/ARD |
| Luis Furlán        | CAPAS, Communication            |
| Antonio Arreaga    | Communication Unit/CAPAS        |

**LEPPI Meeting  
USULUTAN Municipality  
October 20, 1999**

| Name                           | Role/Organization  |
|--------------------------------|--|
| Carlos Rivas                   | Team Leader ARD  |
| Paul Dulin                     | Consultant/Evaluation USAID/ARD  |
| Jurij Homziak                  | Consultant USAID/ARD   |
| Juan José Artolh               | LEPPI CHF Management Committee   |
| Silvia Lorena Alvarez          | LEPPI CHF Management Committee   |
| Rafael Romero                  | Head, Management Committee LEPPI CHF   |
| Ernesto Salvador Pérez Arévalo | Environmental Health Technician/M.S.P.A.S.                                     |
| Víctor Hugo Martínez Chávez    | Coordinator of Management Committee of La Unión                                |
| Ezequiel Patricio Franco       | Environmental Health Technician /M.S.P.A.S.,<br>Usulután, Management Committee |
| Laura Cornwell                 | AID/Washington   |
| José Angel Benitez             | Adjunct Coordinator, Usulután  |
| Sergio Zelaya                  | Consultant USAID/ARD   |

**PROARCA Meeting  
List of Participants  
PLACE: MAR – SAN SALVADOR  
October 22, 1999**

| Name                    | Role/Organization                     |
|-------------------------|---------------------------------------|
| Sergio A. Zelaya        | Consultant USAID/ARD                  |
| Carmen Celina Dueñas    | PANAVIS                               |
| Zulma Rivera de Mendoza | Zoological Foundation of El Salvador- |
| Andrés Sánchez          | PANAVIS/AGRNR                         |
| Jurij Homziak           | Consultant USAID/ARD                  |
| Paul Dulin              | Consultant USAID/ARD                  |
| Laura Cornwell          | AID/Washington                        |
| Ernesto López Zepeda    | MARN                                  |
| José Enrique Barraza    | MARN                                  |
| Francisco Serrano       | MARN                                  |

**PROARCA Meeting  
October 22, 1999  
4:00 p.m. – MARN EI Salvador**

| Name                  | Role/Organization                      |
|-----------------------|--|
| Sergio Zelaya         | Consultant USAID/ARD                   |
| Roberto Rivas         | MARN/Environmental Quality             |
| Raúl Gamboa           | DGSVA/CITIES-El Salvador               |
| Mercedes de Gómez     | MARN/ Environmental Quality            |
| Paul Dulin            | Consultant USAID/ARD                   |
| Laura Cornwell        | AID/Washington                         |
| Blanca Lidia Menjivas | Min. of Environment/Public Participant |

**USAID-HONDURAS Meeting  
October 25, 1999**

| Name               | Role/Organization    |
|--------------------|----------------------|
| Sergio A. Zelaya   | Consultant USAID/ARD |
| Juan Miguel Guzmán | Consultant           |
| José Mario Zuñiga  | Consultant           |

**ANDAH Meeting  
TEGUCIGALPA  
October 25, 1999**

| Name             | Role/Organization |
|------------------|-------------------|
| Francisco Avalos |                   |

**CCAB-AP Meeting  
TEGUCIGALPA  
October 25, 1999**

| Name             | Role/Organization |
|------------------|-------------------|
| Juan Blas Zapata |                   |

**PROARCA Meeting  
EN SERNA/TEGUCIGALPA  
October 25, 1999**

| Name                         | Role/Organization     |
|------------------------------|-----------------------|
| Lourdes González             | UPEG                  |
| Enrique Arias                | Vice Minister         |
| Carlos Ropaz                 |                       |
| José Antonio Fuentes Morales | Di Bro                |
| Juan Francisco Martínez      | FUNDA-AHROCAFE        |
| Karla María Avila S.         | Communication - SERNA |
| Tatiana Lara                 | CCCH/Cafetalera       |
| Sergio A. Zelaya             | Consultant USAID/ARD  |
| Paul Dulin                   | Consultant USAID/ARD  |

**PROARCA Evaluation  
CODDEFFAGOLF Offices  
CHOLUTECA  
October 26, 1999  
San Lorenzo, Valle, Honduras**

| Name             | Role/Organization              |
|------------------|--------------------------------|
| Sergio A. Zelaya | Consultant USAID/ARD           |
| Carmen Carrión   | Technical Counterpart PROGOLFO |
| Saúl Montúfar    | CODDEFFAGOLF                   |
| Lorenzo Olivas   | AFE-COHDEFOR                   |
| Paul Dulin       | Consultant USAID/ARD           |
| Leana Corea      | CODDEFFAGOLF                   |
| Edgar Mejía      | CODDEFFAGOLF                   |
| Edas Muñoz       | RSTA Golf of Fonseca           |
| Eda Amanda Cruz  | CODDEFFAGOLF                   |

**PUERTO BARRIOS Meeting  
October 27, 1999**

| Name                 | Role/Organization                              |
|----------------------|--|
| Paul Dulin           | Consultant USAID/ARD                           |
| Sergio A. Zelaya     | Consultant USAID/ARD                           |
| Oscar Rosales        | FUNDAECO/Executive Secretary                   |
| Claudia Ruiz         | PROARCA/Costas                                 |
| Rafael Sambula       | PROLANSATE                                     |
| Marco Vinicio Cerezo | Director-FUNDAECO                              |
| Jack Mightingale     | BTIA   |
| Giovanni Zamora      | Director-FUNDAECO. Coastal Marine Zone Project |
| Oscar López Sandoval | Tucán Dugu – Livingston                        |
| Renzo Druetto        | TTG Italia                                     |

**Municipality of PUERTO BARRIOS Meeting  
October 28, 1999**

| Name                | Role/Organization    |
|---------------------|----------------------|
| Paul Dulin          | Consultant USAID/ARD |
| Sergio A. Zelaya    | Consultant USAID/ARD |
| Esperanza de Donado |                      |
| Luis Salguero       | EPA Region IV        |
| Rimeldo Quinto      | CAMTUR               |
| Nery Ramos          | Empresa Portuaria    |

**PUNTA GORDA Meeting  
FISHERMEN/TIDE  
October 29, 1999**

| Name              | Role/Organization      |
|-------------------|------------------------|
| Sergio A. Zelaya  | Consultant USAID/ARD   |
| George Coleman    | Fisherman              |
| John Young        | Fisherman              |
| Wilfred Requena   | Fisherman              |
| Alex Leonardo     | Fisherman              |
| Thomas Garbutt    | Fisherman (Tour guide) |
| Paul Dulin        | Consultant USAID/ARD   |
| Ovel Leonardo Jr. | Fisherman              |
| F. Calix          | Fisherman              |
| Philip Cabre      | Fisherman              |
| Oliver Garbutt    | Fisherman              |
| Víctor Jacobs     | Fisherman              |
| Shawn             | Fisherman              |

**BELMOPAN, BELIZE Meeting  
November 1, 1999**

| Name              | Role/Organization                           |
|-------------------|---|
| John Briceño      | Minister of Natural Resources / Environment |
| Ismael Fabio      | Administrator, Dept of Environment          |
| Elias Awe         | Help for Progress                           |
| Anselmo Castañeda | ENVIC Consultants                           |
| Angel V. Chun     | MINAREN, Forest Department                  |
| Natalie Rosado    | MINAREN, Forest Department                  |

**AMIGOS DE EL PILAR-BELIZE Meeting  
November 1, 1999**

| Name             | Role/Organization    |
|------------------|----------------------|
| Sergio A. Zelaya | Consultant USAID/ARD |
| Paul Dulin       | Consultant USAID/ARD |
| Carmen Cruz      | Amigos de El Pilar   |
| Betty Cruz       | Amigos de El Pilar   |
| Heriberto Cocon  | Amigos de El Pilar   |
| Iván Cruz        | Amigos de El Pilar   |
| Noel Manzanero   | Amigos de El Pilar   |
| Paula García     | Amigos de El Pilar   |
| Elías Awe        | Help for Progress    |

**BELIZE CITY Meeting  
November 2, 1999**

| Name           | Role/Organization   |
|----------------|---|
| George Myvett  | Fisheries Administrator, Dept. of Fisheries               |
| Jorge Pérez    | Senior Fisheries Officer, Dept. of Fisheries              |
| Vincent Gillet | Administrator, Coastal Zone Management Institute          |
| Pamela Scott   | Belize Audubon Society                                    |
| Noel Jacobs    | Regional MBRS Project Preparation Coordinator, World Bank |

**PANAMA Meeting  
October 25, 1999**

| <b>Name</b>        | <b>Role/Organization</b>            |
|--------------------|-------------------------------------|
| Jurij Homziak      | Consultant USAID/ARD                |
| Felipe Frederick   | USAID/PMA                           |
| Laura Cornwell     | AID/Washington                      |
| Hal Cardwell       | USAID/Panamá                        |
| Maribel Rodríguez  | APROSAC                             |
| Mateo Cross        | APROSAC                             |
| Edna de Jaén       | USAID/Panamá                        |
| Miriam Mendoza     | Community Committee - Chilibre      |
| Dionisio Arauz     | Management Committee                |
| Rosa Elena Pérez   | C.S. Chilibre, Management Committee |
| Mariela de Edwards | Management Committee                |
| Carlos Rivas       | Team Leader/ARD                     |
| Javier Santos      | Management Committee                |
| Lea Roussel        | USAID/Panamá                        |

**LEPPI Meeting  
BOCAS DEL TORO  
October 26, 1999**

| <b>Name</b>        | <b>Role/Organization</b> |
|--------------------|--------------------------|
| Carlos Rivas       | Team Leader/ARD          |
| Denis E. Hernández | CEPSA                    |
| Luis Mou Sue       | Management Committee     |
| Juan José Lezcano  | MINSAs                   |
| Edgar ercado       | MEFIN                    |
| Marino Pineda      | MINSAs                   |
| Isabel E. Alvendes | Asoc. Conserv. CARIBARO  |
| José Thomas        | IPAT                     |
| Jorge _____        | Management Committee     |

**LEPPI Meeting  
PUERTO VIEJO, COSTA RICA  
October 27, 1999**

| <b>Name</b>            | <b>Role/Organization</b>                          |
|------------------------|---|
| Carlos Rivas           | Team Leader/ARD                                   |
| Earl Junier Wade       | MINAE   |
| Laura Cornwell         | AID/Washington                                    |
| Jurij Homziak          | Consultant USAID/ARD                              |
| Aurora Gámez           | LEPPI/Secretary - Management Committee            |
| Susana Schik           | ATEC Costa Talamanca de Ecoturismo y Conservación |
| Julio Muñoz            | ADECOMABA/President - Management Committee        |
| Roberto Haggés Channer | Refuge Administrator                              |

**SAN JOSE Meeting  
COSTA RICA  
October 29, 1999**

| Name                  | Role/Organization                   |
|-----------------------|-------------------------------------|
| Jenny Asch Corrales   | SINAC-MINAE                         |
| Yadira Mena Araya     | Consultant, Monitoreo AP-CA         |
| Lenin Corrales Chávez | Consultant, bajo contrato TNC       |
| Juan José Derda       | PROARCA-CAPAS                       |
| Ana Baez              | Tourism and Conservation Consultant |
| Ricardo Soto          | TNC                                 |
| Gerardo Artavia       | PROARCA/CAPAS                       |
| Carlos de Paco        | TNC                                 |
| Bruce Moffak          | TNC                                 |
| Didiher Chacón        | Association ANAI                    |
| Lawrence Pratt        | INCAE                               |
| Carolina Mauri        | United States Embassy               |
| José Corrau           | TNC/PROARCA/CAPAS                   |
| Lilliana Sánchez      | TNC/PROARCA/CAPAS                   |
| Laura Cornwell        | AID/Washington                      |
| Carlos Rivas          | Team Leader/ARD                     |

**CEDARENA Meeting  
RESERVAS PRIVADAS Y TURISMO ARTESANAL  
October 29, 1999**

| Name                          | Role/Organization                  |
|-------------------------------|------------------------------------|
| Martha Eugenia Marín Meléndez | Costa Rican Natural Reserve System |
| Yarleny Fontana Coto          | ACENESA                            |
| Andrea Meza                   | CEDARENA                           |
| Ligia Molina                  | CANATUR                            |
| Flora Ayub                    | CANATUR                            |
| Leyla Solano                  | COGNENO                            |
| Amos Bien                     | Costa Rican Natural Reserve System |
| Leonel Umaña Fonseca          | CEDARENA                           |
| Laura Cornwell                | AID/Washington                     |
| Carlos Rivas                  | Team Leader/ARD                    |

**CHF-LEPPI Meeting  
MANAGUA  
November 3, 1999**

| <b>Name</b>         | <b>Role/Organization</b>   |
|---------------------|--|
| Carlos Rivas        | Team Leader/ARD  |
| Elsa Vivas          | MARENA   |
| Carlos Cajina       | Municipality San Juan del Sur  |
| Gerardo Miranda     | Municipality San Juan del Sur  |
| Helio Zamora        | MARENA   |
| Leonel Wheelock     | General Director of Environmental Quality                                  |
| Jacqueline Membreño | Asesora Disup-Decentralization   |
| Marvin Palacios     | INIFOM Manager of Municipal Development and Coordinator - San Juan del Sur |
| Juan Sandoval       | INIFOM-Project Analyst   |

**MARENA, CAPAS/Costas Meeting  
NICARAGUA  
November 3, 1999**

| <b>Name</b>         | <b>Role/Organization</b> |
|---------------------|--------------------------|
| Lisa González       | DGBRN-MARENA             |
| Fausto Cepeda       | WWF/PROARCA/Costas       |
| Maritza Rivera      | USAID                    |
| Mauramartha Zeas    | Foundation COCIBOLCA     |
| Germán Cruz Almanza | MARENA/DGAP              |

**CONAMA-LEPPI/PROLEGIS/EPA Meeting  
November 3, 1999**

| <b>Name</b>           | <b>Role/Organization</b>                               |
|-----------------------|--|
| Sergio A. Zelaya      | Consultant/Evaluation USAID/ARD                        |
| Jurij Homziak         | Consultant/Evaluation USAID/ARD                        |
| Martin Schwarz        | Advisor CCAD/PROARCA                                   |
| Jorge Mario del Valle | Head of Dept. of Environmental Promotion and Managment |
| Antonio Arreaga       | Communications Unit/CAPAS                              |
| Paul Dulin            | Consultant/Evaluation USAID/ARD                        |
| Francisco Way         | Consultant LEPPI                                       |

**IDEADS/GUATEMALA Meeting  
November 3, 1999**

| <b>Name</b>            | <b>Role/Organization</b>        |
|------------------------|---------------------------------|
| Paul Dulin             | Consultant/Evaluation USAID/ARD |
| Jurij Homziak          | Consultant/Evaluation USAID/ARD |
| Sergio A. Zelaya       | Consultant/Evaluation USAID/ARD |
| Marco Cerezo           | Director General, FUNDAECO      |
| Yuri Giovanni Metini   | Executive Director, IDEADS      |
| Edmundo E. Vásquez Paz | Program Director, IDEADS        |
| Iván Azurdía Bravo     | Solar Foundation                |



**CAMTUR-INGUAT/GUATEMALA Meeting  
November 4, 1999**

| <b>Name</b>          | <b>Role/Organization</b>  |
|----------------------|---|
| Paul Dulin           | Consultant/Evaluation USAID/ARD   |
| Sergio Zelaya        | Consultant/Evaluation USAID/ARD   |
| Denia del Valle      | CAMTUR-FEDECATUR- Executive Director  |
| Ileana Cordón        | Coordinator/CRECER  |
| Julio E. Orozco      | INTECAP/Head of Dept. of Tourism  |
| María Regina Recinos | Director of the Office of Information and Public Relations, Service Best Trainer, Univ. of Guatemala Valley |

**CONAP Meeting  
November 4, 1999**

| <b>Name</b>           | <b>Role/Organization</b>        |
|-----------------------|---------------------------------|
| Jurij Homziak         | Consultant/Evaluation USAID/ARD |
| Juan Carlos Rosito    | Protected Areas/INAB            |
| Carmen María López    | CONAP Projects                  |
| Juan Carlos Villagrán | Conservation Units/CONAP        |

**CONAMA Meeting  
November 4, 1999**

| <b>Name</b>        | <b>Role/Organization</b> |
|--------------------|--------------------------|
| Otonielle Aquino   | Liaison/CCAD with Conama |
| Juan de Dios Calle | Sub-Director of Conama   |
| Carlos Rivas       | Team Leader/ARD          |

**USAID/G-CAP Meeting  
November 11, 1999**

| <b>Name</b>          | <b>Role/Organization</b>                         |
|----------------------|--|
| George Carner        | Director, USAID/G-CAP                            |
| Carlos Rivas         | Evaluation Team Leader                           |
| Phil Jones           | Team Leader, USAID/G-CAP                         |
| Jurij Homziak        | Evaluation Team Member                           |
| Carmen Aida Gonzalez | Project Official, PROARCA/Costas,<br>USAID/G-CAP |
| Paul Dulin           | Evaluation Team Member                           |
| Joao Queiroz         | Project Official PROARCA/CAPAS,<br>USAID/G-CAP   |
| Sergio Zelaya        | Evaluation Team Member                           |
| Erhardt Rupprecht    | Sub-Director/USAID/G-CAP                         |

**REUNION CON ENTES EJECUTORES DE CAPAS, Costas Y LEPPi  
11 de Noviembre de 1999**

| <b>Name</b>          | <b>Role/Organization</b>              |
|----------------------|---------------------------------------|
| Carlos Rivas         | Team Leader/USAID/ARD                 |
| Nestor Windevoxhel   | Coordinador/PROARCA/Costas            |
| Jurij Homziak        | Evaluation Team Member, USAID/ARD     |
| Rafael Calderón      | PROARCA/CAPAS, Environmental Politics |
| Sergio Zelaya        | Evaluation Team Member, USAID/ARD     |
| Paul Dulin           | Evaluation Team Member, USAID/ARD     |
| Emilio Ochoa         | PROARCA/Costas                        |
| Rafael Luna          | PROARCA/CAPAS, Training               |
| Anaité Betancourt    | PROARCA/CAPAS                         |
| Marcia Brown         | PROARCA/Costas                        |
| Jan Laarman          | Team Leader/CAPAS                     |
| Arturo Villalobos    | PROARCA/LEPPI-CHF                     |
| Nadia Gamboa         | PROARCA/LEPPI-CHF                     |
| Maria Isabel Bolaños | PROARCA/LEPPI-CHF                     |
| Fernando Secaira     | PROARCA/Costas                        |

**APPENDIX 4 Documents Consulted**  
**(CAPAS, Costas, LEPPi)**

## 1.0 PROARCA/CAPAS Publications

### 1.1. Protected Areas

|  |  |              |
|--|--|--------------|
| Corredor ecológico entre el Biotopo del Quetzal y la Sierra de las Minas, Guatemala  | Gálvez Ramírez, Eliseo                         | junio 1998   |
| Proyecto de planificación y promoción de corredores biológicos locales propuestos en la República de Panamá  | ANCON  | junio 1998   |
| Análisis comparado de la legislación vigente en Mesoamérica sobre el tema de las áreas protegidas y el manejo de recursos naturales compartidos: Capítulo A, Sobre el estado de la normativa ambiental en Mesoamérica en materia de Áreas Protegidas | Sobenes, Alejandra<br>Vásquez Paz, Edmundo E.  | abril 1998   |
| Manejo participativo de la Reserva de la Biosfera Sierra de las Minas, Guatemala   | Rojas, Oscar Estuardo                          | junio 1998   |
| El Consejo Ejecutivo local del área protegida de Cerro San Gil, Guatemala: Un esfuerzo piloto de participación local en el diálogo de políticas ambientales, para el manejo descentralizado de los recursos naturales                                | Rosales Lemus, Oscar Joel                      | junio 1998   |
| Diagnóstico sobre la participación pública y ciudadana en áreas protegidas estratégicas en la República de Panamá  | TECHNOSERVE                                    | junio 1998   |
| Strategy for Monitoring the Management of Protected Areas in Central America   | Courrau, José                                  | mayo 1999    |
| Estrategia para el monitoreo del manejo de las áreas protegidas en Centro América ( <i>revisada</i> )  | Courrau, José                                  | mayo 1999    |
| Estrategia de monitoreo para el manejo de áreas protegidas de Centroamérica, versión avanzada  | Courrau, José                                  | junio 1999   |
| Sesión de monitoreo. Parque Nacional Volcán Arenal   | Mena A., Yadira<br>Artavia Z., Gerardo         | marzo 1999   |
| Reporte de monitoreo:<br>Parque Nacional Montecristo, El Salvador.<br>Segunda medición   | Artavia Z., Gerardo<br>Mena A., Yadira         | junio 1999   |
| Sesión de monitoreo de manejo:<br>Biotopo del Quetzal "Mario Dary Rivera", Guatemala   | Mena Araya, Yadira<br>López, Padilla, Giovanni | octubre 1999 |
| Sesión de monitoreo de manejo:<br>Parque Nacional Laguna Lachuá, Guatemala   | Mena Araya, Yadira<br>Sierra L., José Enrique  | octubre 1999 |
| Resultados del taller "Definición de Indicadores para el Monitoreo de Áreas de Conservación" ( <i>Costa Rica</i> )   | SINAC  | julio 1999   |
| Consulta a directores de sistemas de áreas protegidas de Centroamérica:<br>Reporte de resultados   | Artavia Z., Gerardo<br>Mena A., Yadira         | junio 1999   |

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| II Curso regional de monitoreo del manejo de áreas protegidas  | Mena A., Yadira<br>Artavia Z., Gerardo | 1999       |
| Informe general final sobre el Curso Básico de Planificación Estratégica de Áreas Protegidas. Parque Nacional Montecristo, El Salvador   | Morales, Roger                         | junio 1998 |
| Propuesta de Plan Estratégico del Sistema Nacional de Áreas Protegidas de Honduras – SINAPH y lineamientos del Departamento de Áreas Protegidas y Vida Silvestre – DAPVS ( <i>Honduras</i> ) | DAPVS/AFE-COHDEFOR                     | marzo 1999 |
| Seminario de Planificación Estratégica de las Áreas Protegidas de Panamá   | Valdebenito, Sergio                    | junio 1999 |
| Taller sobre administración de áreas protegidas ( <i>Nicaragua</i> )   | MARENA                                 | 1999       |
| Manual para la planificación financiera a largo plazo en áreas protegidas de Centroamérica   | Garffer, Patricia                      | junio 1998 |
| Long-Term Financial Plan (1997-2001) for El Imposible National Park, El Salvador   | Garffer, Patricia                      | junio 1998 |
| Update on the Long-Term Financial Planning Process for the Río Plátano Biosphere Reserve, Honduras   | Garffer, Patricia                      | junio 1998 |
| Cockscomb Basin Wildlife Sanctuary Long-Term Financial Plan (1999-2000)  | Garffer, Patricia                      | abril 1999 |
| Plan Financiero a Largo Plazo, 1999-2003, para el Parque Nacional Sierra del Lacandón, Guatemala   | Dada, Juan José                        | mayo 1999  |
| Reserva Protectora de Manantiales Cerros San Gil, Guatemala: Plan financiero a largo plazo, 1999-2003  | Dada, Juan José                        | julio 1999 |
| Hacia el consenso del Sistema Centroamericano de Áreas Protegidas – SICAP-   | Godoy, Juan Carlos                     | marzo 1997 |
| Fortalecimiento a las capacidades institucionales del Sistema Centroamericano de Áreas Protegidas (SICAP)  | Chang, Elsa<br>Sève, Juan              | julio 1997 |

## 1.2 Forests

### *General*

|  |                                  |      |
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| Plan estratégico del CCAB-AP. Borrador para consulta               | Rodríguez, Jorge                 |      |
| Incendios forestales y agrícolas en Centroamérica: Balance de 1998 | Pasos, Rubén<br>Rodríguez, Jorge | 1998 |

## 1.3 Certified Coffee

### *Forest Certification*

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| La certificación forestal en Centroamérica  | Camino Velozo, Ronnie de<br>Alfaro Murillo, Marielos | diciembre 1997 |
| Oportunidades para el sector forestal privado: Memoria del taller de certificación forestal | Alfaro Murillo, Marielos                             | julio 1998     |

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**Forest Politics**

Diagnóstico para apoyar el proceso de políticas forestales participativas Rivera, Hilda agosto 1999

**1.4 Certified Coffee**
**Certifications in Central America**

Estudio centroamericano de certificaciones de café EMA julio 1999

Vol. 1: Situación actual del café certificado

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Vol. 2: Información sobre programas y agencias certificadoras

Estudio centroamericano de certificaciones de café EMA julio 1999

Vol. 3: Directorio de contactos para café certificado

**Politics**

Diagnóstico de políticas que favorecen o no la mayor promoción y ejecución de actividades de producción amigables con el ambiente en el sector cafetalero de Centroamérica Obando, Sergio agosto 1999

**1.5 Climatic Change**
**Benefits of Carbon Sequestration in the Meso American Biological Corridor**

Estimación de los beneficios ambientales por no emisión y fijación de carbono (masa aérea) por acciones de ordenamiento forestal en el área propuesta del Corredor Biológico Mesoamericano. Resumen regional Corrales, Lenin Alpízar, William Imbach, Pablo septiembre 1998

Estimación de los beneficios ambientales por no emisión y fijación de carbono (masa aérea) por acciones de ordenamiento forestal en el área propuesta del Corredor Biológico Mesoamericano. República de Belize Corrales, Lenin Alpízar, William Imbach, Pablo septiembre 1998

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Estimación de los beneficios ambientales por no emisión y fijación de carbono (masa aérea) por acciones de ordenamiento forestal en el área propuesta del Corredor Biológico Mesoamericano. República de El Salvador Corrales, Lenin Alpízar, William Imbach, Pablo septiembre 1998

Estimación de los beneficios ambientales por no emisión y fijación de carbono (masa aérea) por acciones de ordenamiento forestal en el área propuesta del Corredor Biológico Mesoamericano. República de Nicaragua Corrales, Lenin Alpízar, William Imbach, Pablo septiembre 1998

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| Estimación de los beneficios ambientales por no emisión y fijación de carbono (masa aérea) por acciones de ordenamiento forestal en el área propuesta del Corredor Biológico Mesoamericano. República de Costa Rica | Corrales, Lenin<br>Alpizar, William<br>Imbach, Pablo | septiembre 1998 |
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| Estimación de los beneficios ambientales por no emisión y fijación de carbono (masa aérea) por acciones de ordenamiento forestal en el área propuesta del Corredor Biológico Mesoamericano. República de Panamá | Corrales, Lenin<br>Alpizar, William<br>Imbach, Pablo | septiembre 1998 |
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### **Carbon Sequestration by Forests**

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| Estimación de la cantidad de carbono almacenado y captado (masa aérea) en los bosques de la República de Belize | Corrales, Lenin | julio 1998 |
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| Estimación de la cantidad de carbono almacenado y captado (masa aérea) en los bosques de la República de Honduras | Corrales, Lenin | julio 1998 |
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| Estimación de la cantidad de carbono almacenado y captado (masa aérea) en los bosques de la República de El Salvador | Corrales, Lenin | julio 1998 |
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| Estimación de la cantidad de carbono almacenado y captado (masa aérea) por los bosques de Costa Rica | Corrales, Lenin | julio 1998 |
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| Estimación de la cantidad de carbono almacenado y captado (masa aérea) en los bosques de la República de Panamá | Corrales, Lenin | julio 1998 |
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### **Competition in Carbon Markets**

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| Seeking a Competitive Advantage for Central America in Selling and Marketing Greenhouse Gas Reductions: Recommendations Based on a Survey of Potential Investors | Hamilton, Anne<br>Embree, Sid | agosto 1999 |
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### **Project Planning**

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| Memoria del Evento Seminario/Taller para la Formulación de Proyectos de Cambio Climático, Guatemala | Fundación Solar | agosto 1999 |
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| Memoria del Evento Seminario/Taller para la Formulación de Proyectos de Cambio Climático, Panamá | Fundación Solar | agosto 1999 |
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## **1.6 Training**

### **General**

|  |                  |            |
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| Capacitaciones financiadas por PROARCA/CAPAS, segundo año. Informe de evaluación | Colom, Alejandra | julio 1998 |
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| Resultado 5, Capacitación. Informe de Resultados | Luna, Rafael | septiembre 1999 |
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| Curso de capacitación para el uso de ICONS | McCarthy, Ronald<br>Alberto Salas | abril 1998 |
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| Memoria del taller de participación ciudadana, Costa Rica – Nicaragua | McLaughlin, William<br>Charpentier, Claudia<br>Quintero, Bayardo | junio 1998   |
| Elaboración de indicadores para proyectos ambientales                 | Robles, Teresa<br>Luna, Rafael                                   | octubre 1999 |

### ***Environmental Awareness***

|   |                      |            |
|---|----------------------|------------|
| Proyecto de educación y concienciación del Corredor Biológico en Honduras             | MOPAWI               | junio 1998 |
| Un programa de visitas guiadas para periodistas y relacionistas públicos en Nicaragua | Martínez R., Pandora | junio 1998 |

## **1.7 Conservation of Private and Indigenous Land**

### ***General***

|  |                       |                |
|--|-----------------------|----------------|
| Análisis legal: Tenencia de tierras indígenas y colonizadoras en la Biosfera del Río Plátano | Vallejo Larios, Mario | diciembre 1997 |
| Iniciativa centroamericana de conservación privada. Fase II                                  | CEDARENA              | junio 1998     |

### ***Land Use***

|  |  |            |
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| Incrementando la compatibilidad entre la agricultura y la biodiversidad. Recomendaciones políticas   | Wille, Christopher<br>Roldán Chacón, Carmen A.<br>Gaitán González, Luis B. | junio 1998 |
| Factibilidad económica del uso de la tierra en plantaciones forestales, manejo de bosques naturales y café orgánico-ecológico en América Central | Ramírez, Octavio<br>Gómez, Manuel  | junio 1998 |

## **1.8 Ecotourism**

### ***Manuals***

|   |   |             |
|---|---|-------------|
| Guía para las mejores prácticas de ecoturismo en las áreas protegidas de Centroamérica                      | Báez, Ana L.<br>Acuña Torres, Alejandrina           | julio 1998  |
| How You Can Improve Your Ecotourism Operation!  | Furlán, Luis E.                                     | agosto 1995 |
| Manual para el diseño e implementación de un sendero interpretativo. Parque Nacional Chagres                | Spadafora, Rita<br>Báez, Ana L.<br>Batista, Soledad | 1999        |
| Manual de procedimientos para la preparación de directrices para el manejo de usuarios en un área protegida | Báez, Ana L.  | 1999        |
| Factibilidad de proyectos turísticos  | Luna, Rafael  | 1999        |

### ***Other***

|  |   |            |
|--|---|------------|
| Estudio parcial de prefactibilidad para la Estación Biológica San Miguel, Reserva Natural Absoluta Cabo Blanco, Costa Rica | Báez, Ana L.<br>Acuña Torres, Alejandrina | junio 1999 |
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| Licencia de calidad Service Best:<br>Situación actual el programa para el establecimiento de normas de calidad en Centroamérica | del Valle, Denia Eunice   | julio 1999  |
| Políticas para dirigir los beneficios del ecoturismo hacia las comunidades y pequeños operadores en Guatemala                   | Sostenible por Naturaleza | agosto 1999 |

## 1.9 Management of Transnational Resources

### *Fisheries in the Gulf of Honduras*

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| Minicasos sobre asuntos importantes de manejo y los grupos de interés relacionados a ellos: Golfo de Honduras                           | Brown, Marcia                     | julio 1998 |
| Base legal e institucional para el establecimiento de un mecanismo de manejo de recursos compartidos en el Golfo de Honduras            | Montes, José Antonio              | junio 1998 |
| Propuesta para el análisis bioeconómico de escenarios alternativos para la gestión de las principales pesquerías del Golfo de Honduras. | Agüero, Max<br>González, Exequiel | 1998       |
| Políticas sustentables en el sector pesquero del Golfo de Honduras: Un enfoque de manejo integral                                       | Calderón, Rafael                  | julio 1999 |

### *Meso American Caribbean Coral Reef System*

|  |  |            |
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| Análisis comparado de la legislación vigente en Mesoamérica sobre el tema de las áreas protegidas y el manejo de recursos naturales compartidos: Capítulo B, Sobre el estado de la normativa nacional en Mesoamérica para el manejo de los recursos naturales compartidos en el área de influencia del Sistema del Arrecife del Caribe Mesoamericano | Sobenes, Alejandra y<br>Edmundo E. Vásquez Paz | abril 1998 |
| Taller regional sobre el manejo de pesquerías en el Sistema del Arrecife del Caribe Mesoamericano  | Monge, Luis                                    | marzo 1998 |

### *Archeological Site in El Pilar, Belize – Guatemala*

|  |                                       |            |
|--|---------------------------------------|------------|
| Paisaje El Pilar: Puerta entre dos naciones. Plan de manejo para El Pilar  | Ford, Anabel                          | mayo 1998  |
| El Pilar Landscape: Gateway Between Two Nations. El Pilar Management Plan  | Ford, Anabel                          | mayo 1998  |
| Memorando de entendimiento entre el Consejo Nacional de Áreas Protegidas de Guatemala (CONAP) y el Departamento de Bosques de Belize | Montes, José Antonio<br>Ankersen, Tom | julio 1999 |

## 1.10 Politics of Natural Resources

### *CITES*

|   |                         |                |
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| Legislación y políticas sobre el tráfico de flora y fauna silvestres en Centroamérica | Cabrera Medaglia, Jorge |                |
| Programa de capacitación para la implementación de CITES en Costa Rica                | AMBIO                   | marzo 1998     |
| Informe del taller de planificación para la instalación de CITES                      | Luna, Rafael            | noviembre 1998 |

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| Elaboración, impresión y distribución del libro "Listas de fauna de Importancia para la Conservación en Centroamérica y México" | UICN-ORMA                                 | julio 1999 |
| Taller regional sobre la conservación del manatí en el Golfo de Honduras  | PROARCA/CAPAS<br>PROARCA/Costas<br>IDEADS | mayo 1999  |
| Reglamento de procedimientos para la aplicación uniforme de CITES en Centroamérica  | AMBIO                                     | julio 1999 |
| El Acuerdo Tripartito para la Conservación de Tortugas Marinas en Centroamérica: Avances 1998-1999                              | Calderón, Rafael                          | julio 1999 |

### **Meso American Legislation**

|   |   |            |
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| Análisis comparado de la legislación vigente en Mesoamérica sobre el tema de las áreas protegidas y el manejo de recursos naturales compartidos: Informe Técnico  | Sobenes, Alejandra<br>Vásquez Paz, Edmundo E. | abril 1998 |
| Análisis comparado de la legislación vigente en Mesoamérica sobre el tema de las áreas protegidas y el manejo de recursos naturales compartidos: Memoria del Taller de consulta y presentación de la investigación regional a expertos legales mesoamericanos | Sobenes, Alejandra<br>Vásquez Paz, Edmundo E. | abril 1998 |
| Principios de legislación ambiental en México   | Bezaury, Juan                                 | junio 1998 |

### **Coastal and Marine Resources**

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| Inventory of Fisheries Policies  | Lorraine, Hillary | junio 1998 |
| Minicasos sobre asuntos importantes de manejo y los grupos de interés relacionados a ellos: Gandoca / Bocas del Toro | Brown, Marcia     | julio 1998 |
| Minicasos sobre asuntos importantes de manejo y los grupos de interés relacionados a ellos: El Golfo de Fonseca      | Brown, Marcia     | julio 1998 |
| Minicasos sobre asuntos importantes de manejo y los grupos de interés relacionados a ellos: La Costa Miskita         | Brown, Marcia     | julio 1998 |
| Taller binacional sobre el manejo de la pesquería de langosta en la costa Miskita. Transcripción de resultados       | Monge, Luis       | mayo 1998  |
| Taller binacional sobre el manejo de la pesquería de langosta en la costa Miskita. Memoria                           | Monge, Luis       | mayo 1998  |
| Regulación pesquera vigente en México  | Bezaury, Juan     | junio 1998 |

### **Other**

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| Elaborando un protocolo de acceso a los recursos genéticos y bioquímicos en Centroamérica: Hacia la justa y equitativa distribución de beneficios ( <i>revisado</i> ) | Cabrera Medaglia, Jorge | mayo 1999  |
| Talleres de gestión alternativa de conflictos ambientales en la región centroamericana: Informe de evaluación   | Pendizch, Christine     | abril 1998 |
| Políticas ambientales para el siglo 21: Un enfoque para la CCAD   | Calderón, Rafael        | mayo 1999  |

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| 1er. Taller internacional sobre análisis y diseño de políticas forestales y de recursos naturales | Camino, Ronnie de | febrero 1999 |
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### 1.11 PROARCA / CAPAS

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| Plan Técnico de CAPAS, julio 1988 a septiembre 2000  | PROARCA/CAPAS | 1998        |
| La relación del proyecto PROARCA/CAPAS con los acuerdos políticos centroamericanos sobre el ambiente | Laarman, Jan  | marzo 1999  |
| Resultados de PROARCA/CAPAS. Julio 1998-agosto 1999  | PROARCA/CAPAS | agosto 1999 |
| Plan de trabajo para PROARCA/CAPAS, sept 1999 – sept 2000  | PROARCA/CAPAS | 1999        |

### 1.12 Vegetation and Ground Cover

#### Maps

|  |   |      |
|--|---|------|
| América Central:<br>Vegetación y cobertura de suelo<br>Vegetation/Land Cover | Boucher, Timothy M.<br>Courrau, José<br>Li, Xiaojun | 1988 |
|--|---|------|

#### Evaluation

|  |  |           |
|--|--|-----------|
| A Conservation Assessment of Central American Vegetation and Ecoregions: Gap Analysis Approach                 | Li, Xiaojun<br>Boucher, Timothy M.<br>Sayre, Roger<br>Courrau, José<br>Connor, Melissa | mayo 1999 |
| Evaluación de conservación de la vegetación y las ecoregiones de Centroamérica: Enfoque de análisis de brechas | Li, Xiaojun<br>Boucher, Timothy M.<br>Sayre, Roger<br>Courrau, José<br>Connor, Melissa | mayo 1999 |

## 2.0 Costas Publications (until June 1999)

### 2.1 Regional Reports and Guides

#### Integrated Coastal Management Guides

|   |   |                 |
|---|---|-----------------|
| VIII Reunion de las Trigoh. Alianza Trinacional para la Troteccion de Golfo de Honduras, Tornabé, Tela Atlántida, Honduras, C.A.  | Funcacion para las Poteccion de Lancetilla Punta sal y Texiguat | Julio 1999      |
| Manejo de Tortugas Marinas: El Caso de Centroamérica. San José, Costa Rica. Producido por la Asociación ANAI.   | Chacón, D.  | Junio 1999      |
| El Corredor Biológico Talamanca/Caribe: un esfuerzo por el desarrollo sostenible de Talamanca. Producido en conjunto por la Asociación ANAI, la Universidad de Rhode Island y PROARCA/Costas.                   | Chacón, D. y E. Ochoa.  | Septiembre 1998 |
| Ostional: una iniciativa para el uso racional de huevos de tortuga marina lora ( <i>Lepidochelys olivácea</i> ). Producido en conjunto por la Asociación ANAI, la Universidad de Rhode Island y PROARCA/Costas. | Chacón, D. y E. Ochoa   | Septiembre 1998 |

|  |                              |                 |
|--|------------------------------|-----------------|
| El plan de manejo del Refugio Nacional de Vida Silvestre Gandoca/Manzanillo (borrador). Producido en conjunto por la Asociación ANAI, la Universidad de Rhode Island y PROARCA/Costas.   | Chacón, D. y E. Ochoa        | Septiembre 1998 |
| Un plan para el manejo sostenido del humedal de Sierpe-Térraba. Producido en conjunto por la Asociación ANAI, la Universidad de Rhode Island y PROARCA/Costas.   | Chacón, D. y E. Ochoa        | Septiembre 1998 |
| La producción de cacao orgánico, una experiencia agroecológica de la Asociación de Pequeños Productores de Talamanca (APPTA). Producido en conjunto por la Asociación ANAI, la Universidad de Rhode Island y PROARCA/Costas.   | Chacón, D. y E. Ochoa        | Septiembre 1998 |
| Una Guía para Evaluar el Progreso del Manejo Costero Integrado. Ecuador. Guía preparada por PROARCA/Costas y URI-CRC   | Ochoa, E.                    | Julio 1999      |
| Manual para un taller comunitario. Ecuador. Guía preparada por URI-CRC.  | Ochoa, E.                    | Septiembre 1998 |
| Cuaderno de trabajo para preparar un plan de MCI. Guía preparada por CRC-URI para el primer curso de MCI de PROARCA/Costas.  | Ochoa, E.                    | Septiembre 1998 |
| Guidance for preparing a site profile (draft). Narragansett, RI. Concept paper prepared by CRC-URI.  | Olsen, S.                    | April 1997.     |
| Concepts and tools for integrated coastal management (draft). Narragansett, RI. Concept paper prepared by CRC-URI.   | Olsen, S.                    | Enero 1997      |
| Conceptos y herramientas para el manejo costero integrado (borrador). Narragansett, RI. Papel de concepto preparado por CRC-URI.   | Olsen, S.                    | Enero 1997      |
| <b>Policy Reports</b>  |                              |                 |
| Consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica. Caso El Salvador (phase I - recopilación de la normativa relevante) Estudio realizado por la Red de Organizaciones de Derecho Ambiental de Mesoamérica (RODA). San Salvador, El Salvador.            | Alvarez, G. y J.L. Rodríguez | Enero 1998      |
| Mini-casos sobre asuntos clave de manejo y grupos de interesados relacionados: Golfo de Fonseca. Guatemala, Guatemala. Un componente de la consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica, realizado por RODA, PROARCA/CAPAS y PROARCA/Costas.       | Brown, M.                    | Julio 1998      |
| Mini-casos sobre asuntos clave de manejo y grupos de interesados relacionados: Gandoca/Bocas del Toro. Guatemala, Guatemala. Un componente de la consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica, realizado por RODA, PROARCA/CAPAS y PROARCA/Costas. | Brown, M.                    | Julio 1998      |

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| Mini-casos sobre asuntos clave de manejo y grupos de interesados relacionados: Golfo de Honduras. Guatemala, Guatemala. Un componente de la consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica, realizado por RODA, PROARCA/CAPAS y PROARCA/Costas. | Brown, M.  | Julio 1998 |
| Mini-casos sobre asuntos clave de manejo y grupos de interesados relacionados: Costa Miskita. Guatemala, Guatemala. Un componente de la consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica, realizado por RODA, PROARCA/CAPAS y PROARCA/Costas.     | Brown, M.  | Julio 1998 |
| Consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica. Caso Belice. (fases I y II). Estudio realizado por RODA. San Ignacio, Belice.   | Ellis, Z.  | Enero 1998 |
| Consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica. Caso Honduras (fases I y II). Estudio realizado por RODA. Tegucigalpa, Honduras.  | Elvir, E.  | Enero 1998 |
| Consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica. Caso Costa Rica (phase I - recopilación de la normativa relevante). Estudio realizado por la RODA. San José, Costa Rica.  | Espinoza, L., E. Chin, F. Paniagua, Z. Piskulich | Enero 1998 |
| Consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica. Caso Panamá (phase I - recopilación de la normativa relevante). Estudio realizado por la RODA. Panamá, Panamá.  | Hernández, M.                                    | Enero 1998 |
| Consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica. Caso Nicaragua (fases I y II). Estudio realizado por RODA. Managua, Nicaragua.  | Jarquín, L.                                      | Enero 1998 |
| Resumen del Plan de Acción del Sistema Arrecifal del Caribe Mesoamericano. Preparado por PROARCA/Costas y UICN/ORMA, a solicitud de CCAD.   | Marin, S., N. Windevoxhel y L. Villela.          | Enero 1998 |
| Estudio de brechas en la aplicación de la normativa ambiental. Fase II: Costa Rica. Asunto clave: desarrollo de la zona costera de la región de Talamanca. Estudio realizado por RODA. San José, Costa Rica.  | Murillo, I., F. Paniagua y L. Villalobos.        | Junio 1998 |
| Consulta participativa sobre brechas en la aplicación de políticas que afectan las áreas protegidas terrestres y los recursos costero-marinos en Centroamérica. Caso Guatemala (fase I y II). Estudio realizado por RODA. Guatemala, Guatemala.   | Noack, J.  | Enero 1998 |
| Propuesta de Proyecto de Acuerdo Gubernativo para la Emisión del Reglamento para la Protección, Conservación, Uso y Aprovechamiento del Mangle. Guatemala, Guatemala  | PROARCA/Costas                                   | Enero 1998 |

|   |   |                 |
|---|---|-----------------|
| Estudio regional de legislación sobre tortugas marinas (borrador). San José, Costa Rica | Red de Organizaciones de Derecho Ambiental (RODA) | Septiembre 1997 |
|---|---|-----------------|

## 2.2 Management Plans

|  |                            |                 |
|--|----------------------------|-----------------|
| Plan de Manejo del Parque Nacional Isla Bastimentos y su Area de Influencia. Panamá. Estudio de Zonificación (borrador).   | Arias C., Elvis y Soto, R. | Mayo 1999       |
| Plan general de manejo y desarrollo del Refugio de Vida Silvestre Bahía Chismuyo, Golfo de Fonseca, Honduras (borrador). Documento desarrollado por estudiantes de la carrera de biología de la Universidad Nacional Autónoma de Honduras (UNAH), con el apoyo de AFE-COHDEFOR y CODDEFFAGOLF. | Cerrato, C.                | Octubre 1997    |
| Plan de manejo forestal de Lisangni, Comunidad Layasiksa. Bil manglar según eas), Nicaragua. Plan escrito por FADCANIC con fondos de match de WWF bajo PROARCA/Costas.   | Forbes, A.                 | Septiembre 1998 |
| Draft management plan for Payne's Creek National Park. Punta Gorda Town, Belize. Plan prepared at the request of the Forest Department, Belize Ministry of Natural Resources.  | TIDE                       | September 1998  |
| Port Honduras Marine Reserve Draft Management Plan. Punta Gorda Town, Belize. Plan prepared at the request of the Fisheries Department, Belize Ministry of Agriculture and Fisheries.  | TIDE                       | June 1998       |

## 2.3 Studies on Management Techniques

### ***Rapid Ecological Assessments (REAs) and Participatory Rural Appraisals (PRAs)***

|  |   |              |
|--|---|--------------|
| Evaluación rural participativa de las áreas de influencia al Parque Nacional Marino Isla Bastimentos y al Humedal San San-Pond Sak, provincia de Bocas del Toro. Tomo 2: Aspectos Socioeconómicos. Asociación Nacional para la Conservación de la Naturaleza (ANCON). Panamá, Panamá.                                      | Del Cid, M., J. Carrión de Samudio, I.A. Valdespino, y D. Santamaría E. (editores). | 1997         |
| Evaluación ecológica rápida marina del Parque Nacional Marino Isla Bastimentos y Areas Adyacentes, provincia de Bocas del Toro. Tomo 3: Recursos Costero-marinos. Asociación Nacional para la Conservación de la Naturaleza (ANCON). Panamá, Panamá.   | Soto, R. y I.A. Valdespino (editores).  | Octubre 1998 |
| Evaluación ecológica rápida del Parque Nacional Marino Isla Bastimentos y áreas de influencia, Isla Solarte, Swan Cay, Mimitimbi (Isla Colón), y el Humedal San San-Pond Sak, provincia de Bocas del Toro. Tomo 1: Recursos Terrestres. Asociación Nacional para la Conservación de la Naturaleza (ANCON). Panamá, Panamá. | Valdespino, I. A. y D. Santamaría E. (editores).                                    | 1997         |

### ***Other Protected Area Studies***

|   |                      |                 |
|---|----------------------|-----------------|
| Propuesta declaratoria Corredor Biológico Mesoamericano de Pacífico Hondureño. Tegucigalpa, Honduras. | ANDAH y CODDEFFAGOLF | Septiembre 1998 |
|---|----------------------|-----------------|

|  |  |               |
|--|--|---------------|
| Sobreexplotación de la vegetación manglar y sus efectos al ecosistema de la Bahía de Chismuyo, Honduras: comparación estructural del bosque manglar según el tipo de explotación económica. Universidad de Salzburgo, Austria. Investigación realizada con el apoyo económico de WWF – PROARCA/Costas. | Cáliz Vindel, L.F.                       | Julio 1997    |
| Refugio de Vida Silvestre Bahía de Chismuyo: resultados de un reconocimiento rápido. San Lorenzo, Honduras.  | Equipo Técnico del Sito Golfo de Fonseca | Febrero 1997  |
| Integrated coastal zone management and sustainable development for tropical estuarine ecosystems: a case study of Port Honduras, Belize. University of South Carolina Doctoral dissertation supported by PROARCA/Costas.   | Heyman, W.                               | November 1996 |

### ***Fisheries Management***

|   |  |                |
|---|--|----------------|
| La voz de los pescadores de Guatemala (borrador). Preparado por FUNDAECO, PROARCA/Costas y PROARCA/CAPAS.   | FUNDAECO, W. Heyman, D. Haug y R. Graham   | Noviembre 1998 |
| An analysis of commercial and sport fishing in the proposed Port Honduras Marine Reserve. Punta Gorda, Belize. Produced jointly by the Belice Center for Environmental Studies (BCES) and PROARCA/Costas. | Heyman, W. and T. Hyatt                    | July 1996      |
| La voz de los pescadores de Honduras (borrador). Preparado por PROLANSATE, PROARCA/Costas y PROARCA/CAPAS.  | PROLANSATE, W. Heyman, D. Haug y R. Graham | Junio 1999     |
| The voice of the fishermen in southern Belize (draft). Prepared by TIDE, PROARCA/Costas and PROARCA/CAPAS.  | TIDE, W. Heyman, D. Haug and R. Graham     | November 1998  |

### ***Ecotourism Studies***

|  |      |                 |
|--|------|-----------------|
| Ecotourism in Southern Belize: A visitor survey with policy recommendations and an analysis of the economic contribution of ecotourism to the local and national economy. (draft) Punta Gorda, Belize. | BCES | Septiembre 1996 |
|--|------|-----------------|

### ***Port Security***

|   |             |  |
|---|-------------|--|
| El transporte de productos peligrosos en el Golfo de Honduras: evaluación de riesgos, políticas de prevención y plan de contingencia (draft). Guatemala, Guatemala. | Peltier, N. |  |
|---|-------------|--|

### ***Gender and Resource Management***

|   |             |            |
|---|-------------|------------|
| Informe de Consultoría: Valoración de la Perspectiva de Género en MIKUPIA. Recomendaciones para Introducir la Perspectiva de Género en la Institución. Nicaragua. | Moncada, M. | Junio 1997 |
|---|-------------|------------|

## **2.4 Site Profiles**

|   |  |              |
|---|--|--------------|
| Perfil de los asuntos de manejo de la zona costera de la Región Autónoma de Atlántico Norte de Nicaragua (Mosquitia Nicaragüense). Bilwi (Puerto Cabezas), Nicaragua. | Comité Intercomunitario de Manejo, MIKUPIA, MARENA y CRC-URI | Octubre 1997 |
|---|--|--------------|

|   |                            |              |
|---|----------------------------|--------------|
| Golfo de Fonseca: Perfil preliminar. Guatemala, Guatemala.  | PROARCA/Costas             | Junio 1996   |
| Gulf of Honduras: Preliminary site overview. Punta Gorda, Belize.   | PROARCA/Costas             | May 1996     |
| Golfo de Honduras: Perfil preliminar del sitio (versión español-inglés). Punta Gorda, Belice.   | PROARCA/Costas             | Mayo 1996    |
| La Mosquitia: Perfil preliminar. Puerto Cabezas, Nicaragua.   | PROARCA/Costas             | Mayo 1996    |
| Perfil Preliminar: Bocas del Toro (Panamá) y Refugio Nacional de Vida Silvestre Gandoca-Manzanillo (Talamanca, Costa Rica). Bocas del Toro, Panamá.                                       | PROARCA/Costas             | Octubre 1996 |
| Hydrological and oceanographic considerations for integrated coastal zone management in southern Belize. <i>Environmental Management</i> . Vol. 24, No. 2, pp. 229-245.                   | Heyman, W. and B. Kjerfve  | October 1997 |
| Hydrological and Oceanografic Considerations for Integrated Coastal Zone Management in Southern Belize. Manuscript to be submitted to <i>Coastal Marine Ecosystems of South America</i> . | W.D. Heyman and B. Kjerfve | July 1999    |

## 2.5 Financial Reports

|  |                          |                |
|--|--------------------------|----------------|
| Rapid revenue review of the Talamanca Biological Corridor. San José, Costa Rica.                         | Guzman, J.               | 1997           |
| Instalación de programa de crédito MIKUPIA: Reserva de Cayos Miskitos (borrador). Bilwi, RAN, Nicaragua. | Luna, R.                 | Noviembre 1997 |
| Informe Final: Evaluación Rápida Económica (ERE). Refugio Nacional de Vida Silvestre Gandoca-Manzanillo. | Younkman, D y Guzman, J. | Marzo 1997     |

## 2.6 Institutional Strengthening Reports

|  |           |            |
|--|-----------|------------|
| Perfiles institucionales del Comité para la Defensa de la Flora y Fauna del Golfo de Fonseca (CODDEFFAGOLF) y la Asociación Unionense para el Medio Ambiente (ASUMA). Perfiles institucionales rápidas de la Unión Regional de Cooperativas Camaroneras de Puerto Morazán (URCOCAM) y Juventud Ambientalista (JA!). Sondeos institucionales de la Asociación Civil Trinacional del Golfo de Fonseca y de la Comisión de Verificación y Control del Golfo de Fonseca (CVC). | Monge, L. | Julio 1998 |
|--|-----------|------------|

## 2.7 Workshop Minutes

|  |                              |                 |
|--|------------------------------|-----------------|
| Memorias del taller regional para la conservación de las tortugas marinas en Centroamérica. Parque Nacional Tortuguero, Limón, Costa Rica.                     | Asociación ANAI              | 1997            |
| Camino al éxito: resultados de los talleres de planificación estratégica y monitoreo de los sitios regionales de PROARCA/Costas. Washington, D.C.              | Biodiversity Support Program | Septiembre 1997 |
| Taller binacional "Integración para el manejo integrado de los recursos marino-costeros, Talamanca, Costa Rica - Bocas del Toro, Panamá." Changuinola, Panamá. | Chacón, D.                   | Octubre 1997    |



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|---|-----------------------|----------------|
| Memorias del taller binacional sobre el manejo de crecimiento turístico en la zona costera de Gandoca/Bocas del Toro (borrador). Bocas del Toro, Panamá.  | Monge, L.             | Julio 1998     |
| Memorias del taller binacional sobre el manejo de la pesquería de langosta en la Costa Miskita. La Ceiba, Honduras. Evento financiado por PROARCA/Costas y CAPAS.   | Monge, L.             | Mayo 1998      |
| Memoria del taller regional sobre manejo de pesquerías en el Sistema Arrecifal del Caribe Mesoamericano. Cayos del Diablo, Izabal, Guatemala. Evento financiado por PROARCA/Costas y CAPAS.   | Monge, L.             | Marzo 1998     |
| Memorias del segundo taller de manejo costero integrado. Golfo de Fonseca, Júcaro-Galán, Honduras.  | PROARCA/Costas        | Febrero 1998   |
| Memorias del primer taller de manejo costero integrado. Talamanca, Costa Rica.  | PROARCA/Costas        | Febrero 1997   |
| Seguimiento del taller de capacitación de maestros rurales en conservación y manejo de humedales. Coyolito, Honduras. Taller de seguimiento organizado por PROARCA/Costas, CODDEFFAGOLF y el Ministerio de Educación de Honduras, con fondos de match de WWF bajo PROARCA/Costas. | Tabilo-Valdivieso, E. | Agosto de 1998 |

## 2.8 Administrative Documents

|   |                 |                |
|---|-----------------|----------------|
| PROARCA/Costas scorecard. Guatemala, Guatemala.   | Brown, M.       | July 1999      |
| PROARCA/Costas monitoring plan for FY98. Guatemala, Guatemala.  | Brown, M.       | January 1998   |
| Materials for the October 1998 Performance Review of PROARCA/Costas. Guatemala, Guatemala.            | PROARCA/Costas  | October 1998   |
| Third work plan (october 1998 – september 1999). Guatemala, Guatemala.                                | PROARCA/Costas  | October 1998   |
| Sixth progress report (first semester 1998). Guatemala, Guatemala.                                    | PROARCA/Costas  | July 1998      |
| Fifth progress report (second semester 1997). Guatemala, Guatemala.                                   | PROARCA/Costas. | January 1998   |
| Segundo plan de trabajo (octubre 1997 a septiembre 1998). Guatemala, Guatemala.                       | PROARCA/Costas  | September 1997 |
| Fourth progress report (first semester 1997). Guatemala, Guatemala.                                   | PROARCA/Costas  | July 1997      |
| Third progress report (fourth quarter 1996). Guatemala, Guatemala.                                    | PROARCA/Costas  | January 1997   |
| Second progress report (second and third quarter 1996, through September 1996). Guatemala, Guatemala. | PROARCA/Costas  | Octubre 1996   |
| First two-year work plan. Guatemala, Guatemala.   | PROARCA/Costas  | August 1996    |
| First progress report (fourth quarter 1995, first quarter 1996). Guatemala, Guatemala.                | PROARCA/Costas  | May 1996       |
| Start-up workplan for the coastal zone management component of PROARCA. Guatemala, Guatemala.         | PROARCA/Costas  | December 1995  |

|   |               |               |
|---|---------------|---------------|
| Lineamientos ambientales de PROARCA/Costas (borrador).<br>Guatemala, Guatemala.                           | Rodríguez, J. | November 1998 |
| Procedimientos para los Sub-acuerdos de Donación con<br>PROARCA/Costas. (borrador). Guatemala, Guatemala. | Uribe, S.     | Febrero 1998  |

### **3.0 PROARCA/LEPPI Publications**

#### **3.1 Document List (ARQ. MARIA ISABEL BOLAÑOS)**

1. Estudio de Prefactibilidad y Factibilidad  
Proyecto de Ampliación y Mejoramiento Sistema de Alcantarillado Sanitario – Trujillo, Colón
2. Informe Inicial  
Revisión y Actualización del Plan Maestro de Alcantarillado Sanitario del Sector Este de Choluteca
3. Informe Inicial  
Rehabilitación y Mejoramiento de las Obras Fuera de Sitio del Alcantarillado Sanitario del Sector Oeste de Choluteca
4. Perfil Básico Comunitario  
Diagnostico Socioeconómico Ambiental de la Ciudad de Choluteca
5. Estudio de Impacto Ambiental  
Consultoría para el Diseño del Sistema de Recolección de Desechos Sólidos entre los Municipios de Usulután, Puerto El Triunfo, Concepción Batres y Ereguayquín.
6. Informe Final Preliminar  
Consultoría para el Diseño del Sistema de Recolección de Desechos Sólidos entre los Municipio de Usulután, Puerto El Triunfo, Concepción Batres y Ereguayquín.

#### **3.2 Document List (ARQ. NADIA GAMBOA)**

1. Puerto Barrios, Izabal  
Informe Sobre Planteamiento de Alternativas y Selección de las Más Favorables  
Primera Etapa de la Consultoría Sobre Manejo de Desechos Sólidos
2. Puerto Barrios, Izabal  
Informe Sobre Planteamiento de Alternativas y Selección de las Más Favorables  
Primera Etapa de la Consultoría sobre Manejo de Desechos Sólidos.
3. Informe Final  
Consultoría para el Diseño del Sistema de Recolección de Desechos Sólidos de La Unión.
4. Estudio de Impacto Ambiental  
Informe Final Viabilidad Ambiental  
Proyecto Relleno Sanitario de Bocas del Toro
5. I Taller Regional  
Evaluación de Impacto Ambiental
6. Propuesta para la implementación del sistema de manejo Integral de los Residuos sólidos en la Isla de Bocas del Toro, Bastimento y Carenero

7. Estudio de Impacto Ambiental  
Informe Final Reconocimiento Ambiental  
Proyecto Relleno Sanitario de Bocas del Toro
8. Centro de Recuperación de Materiales  
Puerto Viejo – Manzanillo, Costa Rica
9. Primer Informe  
Consultoría para el Diseño del Sistema de Recolección de Desechos Sólidos de La Unión.
10. Relleno Sanitario – Diseño Final  
Consultoría para el Diseño del Sistema de Recolección y de Disposición final de los desechos Sólidos del Municipio de La Unión.
11. Estudio de Impacto Ambiental  
Consultoría para el Diseño del Sistema de Recolección y de Disposición Final de los Desechos Sólidos del Municipio de La Unión.
12. Proyecto Piloto – Informe Final  
Consultoría para el Diseño del sistema de Recolección de Disposición Final de los Desechos Sólidos del Municipio de La Unión.
13. Propuesta de Servicios Profesionales  
Consultoría para el Diseño del Sistema de Recolección de Desechos Sólidos de La Unión.

### **3.3 Central American Commission on Environmental and Development - Biodiversity, Forests and Land Use, List of Publications - PROBIO**

1. Legislación y Políticas sobre el Tráfico de Flora y Fauna Silvestre en Centroamérica.
2. Lista de Fauna de Importancia para la Conservación de Centroamérica y México.
3. Micronoticias de la Integración Ambiental: La Convección sobre el Comercio Internacional de Especies Amenazadas de Flora y Fauna Silvestre.
4. SIMEBIO: Un Sistema Mesoamericano de Información sobre Biodeversidad.
5. Documento de Inserción: Proyecto PROGOLFO.
6. Diagnóstico del Estado de los Recursos Biofísicos Socioeconómicos e Institucionales del Golfo De Fonseca.
7. Protocolo Regional de Acceso a los Recursos Genéticos y Bioquímicos en Centroamérica: Hacia la justa y equitativa distribución de los beneficios.
8. Micronoticias de la Integración: CONADIBIOS: Comisiones Nacionales de Diversidad Biológica.
9. Avances de las Estrategias Nacionales de Diversidad Biológica.
10. Micronoticias de la Integración: Programa Estratégico del Corredor Biológico Mesoamericano.
11. Talleres de Consulta e Infomación sobre el Corredor Biológico Mesoamericano a Grupos Indígenas y Campesinos de Centroamérica: Informe por País.
12. Plan de Acción del Sistema Arrecifal Mesoamericano.

### 3.4 Technical Studies and Reports - LEPPI

1. Consulting for the design of the Solid Waste collection system in Usulután, Puerto El Triunfo, Concepción Batres and Ereaguayquin - El Salvador (Preliminary Final Report). Contains Diagnosis of the political, legal, institutional, technical, financial, and economic background for the Solid Waste measures in Usulután. External consultant for CHF/LEPPI.
2. Consulting for the design of the Solid Waste collection system in Usulután, Puerto El Triunfo, Concepción Batres and Ereaguayquin - El Salvador (Environmental Impact Study). Contains Environmental description: Physical, Biological, and Human, as well as the Impact Evaluation and the Mitigation and residual Impact measures. External consultant for CHF/LEPPI.
3. Diagnosis of the Present Situation of the Solid Waste management in Antigua Guatemala, Jocotenango, Ciudad Vieja and Alotenango. Guatemala. Contains physical-biological features, Socioeconomic aspects, technical aspects of the service, and the description and analysis of the cleaning services. External consultant for CHF/LEPPI.
4. Integrated solid waste management San Juan Del Sur - Nicaragua. Contains costs of equipment, material and food for a Material Recovery Facility, construction of a Sanitary Landfill and complimentary work, training and technical assistance, micro enterprise operations, support team and publications. External consultant for CHF/LEPPI.
5. Revision and updating of the Sanitary Sewage master plan in Choluteca. Contains the evaluation of the sanitary designs of the collection systems, possible alternatives, and operational, material, and energy costs. External consultant for CHF/LEPPI.
6. Rehabilitation and improvement of the works out of the Sanitary Sewage site in Choluteca. Contains physical revision of the existing works, material costs, environmental conditions, and possible alternatives. External consultant for CHF/LEPPI.
7. Monthly, Quarterly, and Annual Report. LEPPI Informative Bulletin. Reports LEPPI activities to USAID, CCAD, and other PROARCA components. CHF/LEPPI Technical Team, CHF/HQ.
8. Workplans. To organize the activities LEPPI will carry out during the year. CHF/LEPPI, INR/USAID.
9. Environmental Action Plan. Puerto Barrios - Guatemala. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
10. Environmental Action Plan. Ixoán, Guatemala. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
11. Environmental Action Plan. Usulután - El Salvador. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
12. Environmental Action Plan. La Unión - El Salvador. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
13. Environmental Action Plan. San Juan Del Sur - Nicaragua. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
14. Environmental Action Plan. Choluteca - Honduras. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
15. Environmental Action Plan. Trujico - Honduras. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
16. Environmental Action Plan. Puerto Viejo - Costa Rica. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.

17. Environmental Action Plan. Chililbre - Panama. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
18. Environmental Action Plan. Bocas del Toro - Panama. CHF/LEPPI Technical Team. Municipal authorities, Institutional Representatives, Local Communities.
19. Feasibility Study and Design of the Solid Waste treatment project for Puerto Barrios and Santo Tomás de Castilla, Guatemala. External Consultant for CHF/LEPPI.
20. Design of the Solid Waste collection system for La Unión, El Salvador. External Consultant for EPA, and CHF/LEPPI.
21. Environmental Impact Evaluation of the Sanitary landfills in La Unión, El Salvador. External Consultant for EPA, and CHF/LEPPI.
22. Study and design of two waste water treatment plants in Rio Escondido Puerto Barrios, Guatemala. External Consultant for EPA, and CHF/LEPPI.
23. Sanitary landfill design and recyclable material recovery facility Bocas Del Toro - Panama. LEPPI technician, External Consultant, Authorities Ministry of Environment ANAM Ministry of Tourism IPAT Government of Panama, EPA, CHF/LEPPI.
24. Environmental Impact Evaluation for the Solid Waste Project - Isla Colón Bocas Del Toro - Panama. External Consultant. Ministry of Environment ANAM, EPA, CHF/LEPPI.
25. Feasibility Study - Recyclable Material Recovery Facility design Puerto Viejo, Costa Rica. LEPPI technician, CHF/LEPPI.
26. Material Recovery Facility design Puerto Barrios - Guatemala. EPA, CHF/LEPPI's technician, External Consultant, CHF/LEPPI.
27. Material Recovery Facility and Micro Enterprise designs Chililbre - Panama. EPA, CHF/LEPPI's technician, External Consultant, CHF/LEPPI

### 3.5 EPA Documents (CCAD/PROLEGIS)

1. Principios de Evaluacion del Impacto Ambiental (Translation)\*
2. US EPA Team Visit to Guatemala: Assessment of Pesticide Regulatory Systems, Dec. 1996\*
3. Environmental Packaging Seminar, Guate., July 9, 1996\*
4. Integrated Waste Management Workshop, Guate., October 21-22, 1997\*
5. Elements of Effective Environmental Legal Regimes: Issues and Perspectives (Framework)\* - *Also sent electronically*
6. Spanish translation of item #5\*- *Also sent electronically*
7. Mini outline of Items #5 and 6\*
8. Guia de Regulaciones Para la Exportación de Productos Agrícolas No Tradicionales de America Latina y el Caribe (Translation)
9. Effective Regulation of Pesticides: Brief Synopsis of Legal Framework, Central America PASA Project (outline)
10. Tratando con los Medios Informativos

11. Desarrollo de un Plan de Coordinación: Plan Breve
12. Ejemplo de un Bosquejo de un Plan de Emergencia Para Materiales Peligrosos
13. Pcedimiento Para Muestras

### **Enforcement Documents**

14. Principios de Cumplimiento y Aplicacion de la Ley Ambiental, July 1992
15. Proceedings from the Managua Meeting: Creation of the Centroal American Enforcement Network [Sept. 29-Oct.5, 1996]
16. (Untitled) Nicaragua, last update: Oct. 31, 1996
17. (Untitled) Honduras, last update: April 1, 1997
18. Meeting of Environmental Law and Enforcement Experts — Central American and North American Networks of May 1997 in Washington, D.C. (A Report on the Meeting) — *Also sent electronically (but Hardcopy more complete)*
19. Estado de la Legislacion y Gestion Ambiental en Centroamerica (Documento claborado por Dr. Marco Gonzalez, PROLEGIS, CCAD, Guate., Feb, 1998)
20. La Auditoria Ambiental: Expericnica de lose Estados Unidos (Espquema del discurso de Larry Sperling en la Reunion de la Organización Centroamericana de las Controlarías, Nicar. 19-21 noviembre, 1997)
21. Aplicaion de la Ley Ambiental Dentro Del Sistema Juridica de los E.E.U.U. (Esquema del discurso de L. Sperling en la Tercera Conferencia de la Red Centroamericana de Expertos en Derecho Ambiental y su Aplicación, Honduras, 25-27 marzo, 1998)
22. La Auditoria Ambiental: Expericia de los Estados Unidos (Esquema del discurso de Larry Sperling en la Tercera Conferencia de la Red Centroamericana de Expertos en Derecho Ambiental y su Aplicación, Honduras, 25-27 marzo, 1998)

### **Enforcement Trip Reports**

23. Seminar for Belizean Judges Magistrates and Prosecutors and Meetings with Belize Ministry of Tourism and Environment on Environmental Enforcement (Belize, August,18-21, 1995)
  24. Meeting of the Central American Commission for Environment and Development (Panama, June 13-14, 1996)
  25. First meeting of the Central American Environmental Law and Enforcement Network (Nicaragua, Sept. 29-Oct.5, 1996)
  26. Central American Regional Environmental Law Course (Panama, April 28-May 2, 1997)
  27. First Congress of the Organización Centroamericana de Entidades de Fiscalizadores Superiores (Nicaragua, 19-21 Novemeber, 1997)
  28. Central America Network of Environmental Law and Enforcment Experts (Honduras, March 25-27, 1998)
- Hand-delivered to Roberto Morales on 8/26/99

### 3.6 Local Environmental Policy and Program Initiative Project (LEPPI) Documents

|  |  |                |
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| Aplicación de la Ley Ambiental Dentro del Sistema Jurídica de los EEUU.  | Lawrence Sperling<br>USEPA                                   | March, 1998    |
| Background Information on “Prior Informed Consent.”  | No author  | No date        |
| Central America Network of Environmental Law And Enforcement Experts – Trip Report (Honduras)  | Lawrence Sperling<br>Richard Trinidad<br>José Pablo González | March, 1998    |
| Central American Regional Environmental Law Course Trip Report   | Lawrence Sperling  | May, 1997      |
| Desarrollo de un Plan de Coordinación – PLAN BREVE   | No author  | No date        |
| Effective Regulation of Pesticides:<br>Brief Synopsis of Legal Framework – PASA Project  | PASA   | No date        |
| Ejemplo de un Bosquejo de un Plan de Emergencia Para Materiales Peligrosos   | No author  | No date        |
| Elements of Effective Environmental Legal Regimes – Issues and Perspectives  | Peter L Lallas   | May, 1997      |
| El Salvador Trip Report  | Jane Horton  | July, 1997     |
| Estado de la Legislación y Gestion Ambiental En Centroamérica  | Marco González<br>PROLEGIS, CCAD                             | February 1998  |
| First Congress of OCEFS: Environmental Auditing (minutes)  | No author  | November, 1997 |
| First Meeting of the Central American Environmental Law and Enforcement Network – Trip Report (Nicaragua)  | Lawrence Sperling  | October, 1996  |
| Honduras Database File   | No author  | April, 1997    |
| Informe del Taller Regional Para la Aplicación del Convenio de Rotterdam Sobre el Procedimiento de Consentimiento Fundamentado Previo (PIC) Aplicable a Ciertos Plaguicidas y Productos Químicos Peligrosos Objeto De Comercio Internacional (Workshop Report) | No author  | August, 1999   |
| La Auditoria Ambiental: Experiencia de los EEUU. Red Centroamericana de Derecho Ambiental y su Aplicación  | Lawrence Sperling<br>USEPA                                   | March, 1998    |
| La Auditoria Ambiental: Experiencia de los EEUU. Reunión de la Organización Centroamericana de las Contralorias  | Lawrence Sperling<br>USEPA                                   | November, 1997 |
| Lista de Participantes al I Seminario Sobre Legislación Ambiental y su Aplicación  | No author  | October, 1996  |
| Meeting of the Central American Commission for Environment and Development – Trip Report   | Lawrence Sperling  | June, 1996     |

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|--|--|-----------------|
| Meeting of Environmental Law & Enforcement Experts<br>Central American and North American Networks of<br>May 1997 in Washington, D.C. (Meeting Report)                       | USAID/G-CAP<br>CCAD<br>USEPA               | May, 1997       |
| Municipal Solid Waste Pilot Project Proposal   | USEPA                                      | No date         |
| Nicaragua Database File  | No author                                  | October, 1996   |
| Principios de Cumplimiento y Aplicación de la<br>Ley Ambiental   | USEPA: Office of Law<br>Enforcement        | July, 1992      |
| Principios de Evaluación de Impacto Ambiental:<br>Taller LEPP/AID, El Salvador (Workshop Agenda)   | No author                                  | July, 1998      |
| Principios Para La Evaluación de Impacto Ambiental:<br>Training Manual   | USEPA                                      | July, 1996      |
| Procedimiento Para Muestras  | No author                                  | No date         |
| Proceedings from the Managua Meeting: Creation of<br>the Central American Enforcement Network  | No author                                  | No date         |
| Reunión de Coordinación de Organismos Regionales<br>E Internacionales Relacionados con Plaguicidas   | OIRSA                                      | July, 1997      |
| Reunión de Coordinación y Seguimiento a la Propuesta<br>“Disposición de Plaguicidas en Países en Desarrollo.”  | No author                                  | June, 1998      |
| Reunión de Jefes de Registro/Responsables de<br>Programas de Plaguicidas   | OIRSA                                      | March, 1999     |
| Reunión de Jefes de Registro/Responsabilidades<br>De Programas de Plaguicidas  | OIRSA                                      | May, 1998       |
| Seminar for Belizean Judges Magistrates and Prosecutors &<br>Meetings with Belize Ministry of Tourism and Environment<br>On Environmental Enforcement – Trip Report (Belize) | George Hays, Lawrence<br>Lawrence Sperling | August, 1995    |
| Seminario de Alternativos para Tratamiento de<br>Aguas Servidas (Seminar Agenda)   | No author                                  | September, 1998 |
| Solid Waste Management Pilot Project<br>Scoring Sheet for Bocas del Toro, Panama   | USAID/EPA                                  | No date         |
| Talking Points on Negotiations of a Treaty to Address<br>Persistent Organic Pollutants (POPs)  | No author                                  | No date         |
| Tratando con los Medios Informativos   | No author                                  | No date         |
| USAID/EPA Central America Participating<br>Agency Service Agreement – Trip Report  | Benjamin Franco                            | April-May, 1998 |
| USAID/EPA Central America Participating Agency<br>Service Water Quality Technical Assistance – Pilot<br>Project Proposals  | USEPA                                      | No date         |
| USAID/EPA Central America Participating Agency<br>Service Water Quality Technical Assistance –<br>Pilot Project Addendum   | USAID/EPA                                  | No date         |



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|--|------------------------|----------------|
| USAID/EPA PASA Scope of Work   | USEPA                  | July, 1996     |
| USEPA Team Visit to Guatemala:<br>Assessment of Pesticide Regulatory Systems   | USAID/USEPA<br>PROARCA | December, 1996 |
| Usulután Municipal Solid Waste Management<br>Environmental Impact Assessment Review by USEPA<br>and FLDEP Solid Waste Team | USEPA/FLDEP            | No date        |

## **APPENDIX 5: Workshop Minutes**

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## Results of the Workshop for Feedback on the Results of the Evaluation to Stakeholders

### *Primer Día: Resultados del Trabajo en Grupos Guatemala, 9 de Noviembre de 1999*

Luego, de la presentación del Informe de los Hallazgos y Conclusiones Preliminares del Equipo Evaluador realizado por la mañana, el cual se basó en cuatro Componentes principales, se procedió a trabajar el 7 grupos relacionados a los componentes evaluados. El trabajo consistió en responder a preguntas claves que servirán al Equipo Evaluador como insumo de los contrapartes del PROARCA, en la preparación de recomendaciones a tomar en cuenta en el diseño de la próxima fase del Proyecto PROARCA.

#### **Resultados de los Grupos de Trabajo 1 y 2:**

Los primeros dos grupos pertenecientes a las instancias USAID/G-CAP y Bilaterales, y un representante de la CCAD, y quienes respondieron a las siguientes preguntas:

1. ¿Cómo debe ser la relación y metodología entre AID/G-CAP y bilaterales para el diseño y operación de PROARCA II?
2. ¿Cómo debe ser la relación entre USAID-G-CAP y CCAD para el diseño y operación de la nueva FASE?
3. ¿Relación CCAD- Ministros en nuevo programa?
4. ¿Cuáles deberían de ser las Prioridades regionales en PROARCA II?
5. ¿Cuáles son los mecanismos para garantizar la sustentabilidad?

#### **A. Grupo 1 – USAID/G-CAP y Bilaterales--CCAD**

1. ¿Cómo debe ser la relación y metodología entre USAID/G-CAP y bilaterales para el diseño y operación de PROARCA II?

*Principio:*

- No toda actividad regional debe tener una expresión nacional
- Comunicación de doble vía

*Como métodos:*

- Comunicación constante
- Participación en procesos
- Coordinación (buscando oportunidades de trabajo conjunto)

2. ¿Cómo debe ser la relación entre USAID-G-CAP y CCAD para el diseño y operación de la nueva FASE?

- En el diseño de amplia participación (Trabajo conjunto y coordinado)
- Recordar reglas de AID
- En la operación de coordinación y seguimiento (CCAD ó DGMA –SICA- no ejecutan)

3. ¿Cuáles deberían de ser las Prioridades regionales en PROARCA II?

*Deben ser producto de un procedo con Base en:*

- ALIDES, AGENDA 21 para Centroamerica, CONCAUSA, y PLANES ESTRATEGICOS CCAD/US-AID

*Como Temas Prioritarios:*

- Biodiversidad
- Cambio climático
- Prevención de contaminación
- Ordenamiento ecológico–económico del territorio
- Manejo y conservación de agua
- Bosques
- Producción sostenible
- Agua

*Condición para regionalidad:*

- Repasar CONCAUSA
- Hacer consultas nacionales (bilaterales AID más Autoridades)
- DGMA SICA y USAID –G-CAP integran lo regional
- Procurar más enfoque (menos dispersión) que PROARCA

## 4. ¿Cuáles son los mecanismos para garantizar la sustentabilidad?

*Como Principio:*

- No puede haber una receta única un menú de opciones puede incluir:
- Capacitar capacitadores más compromiso político para continuar el proceso.
- Incorporar incentivos económicos para la aplicación de leyes y políticas generadas.
- Capacitar beneficiarios en sustentabilidad financiera y promover “matching” como instrumento económico en el programa.
- Crear y poner en práctica sistemas de auto evaluación y monitoreo en manos de beneficiarios.
- Promover sistemas de generación de ingresos y recuperación de costos.
- Apoyar Redes de Trabajo.
- Establecer mecanismos de comunicación para difundir y promover la adopción de los productos del programa.

**Integrantes del Grupo de Trabajo No. 1**

Phil Jones  
 Nestor Windevoxhel  
 Rolando Quiñones  
 Roberto Morales  
 Albert Korgi  
 Martín Schwarz

**B. Grupo 2: USAID/G-CAP y BILATERALES--CCAD**

## 1. ¿Cómo debe ser la relación y metodología entre G-CAP y bilaterales para el diseño y operación de PROARCA II?

## Diseño:

- Consideración Marco de resultados de misiones
- Aclarar prioridades regionales de G-CAP y CCAD
- Involucrar Misiones en visualizar problemas regionales

## Operación:

- Revisar planes de trabajo en conjunto con CCAD y las misiones.

2. ¿Relación USAID/G-CAP--CCAD?

- Mantener transparencia y compartir información dentro de la nueva visión del programa.
- Mantener el partnership bajo concepto “Matrimonio con libertad”.
- Posibilidad de firmar nuevo convenio SICA.

3. ¿Relación CCAD- Ministros en nuevo programa?

- CCAD permite comunicación más abierta con los ministros
- Consultas con la sociedad civil

4. ¿Prioridades PROARCA II?

- Aplicar, en forma concentrada, las metodologías y herramientas exitosas de PROARCA I (ejemplo: enfoque en 2 cuencas compartidas combinando marrón-verde-azul)
- Énfasis sobre cumplimiento acuerdos internacionales y leyes nacionales
- Enfoque comercio-ambiente.

5. ¿Sostenibilidad?

- Intensificar aplicación de mecanismos ligados al mercado en por del ambiente (como manejo producción de café, turismo, producción limpia, servicios ambientales).

**Integrantes del Grupo No. 2**

Carmen Aída González

Jan Laarman

Ronald Vargas

Pamela Teel

Joao de Queiroz

Arturo Villalobos

Laura Cornwell

Robert Thurston

**Resultados de los Grupos de Trabajo 3, 4, 5, 6 y 7**

Los próximos 5 grupos de trabajo Costas (3 y 4), CAPAS (5 y 6), y LEPP/PROLEGIS (7) respondieron a las siguientes preguntas:

1. ¿Cuál sería la definición del grupo de regionalidad?
2. ¿Cuáles serían los temas prioritarios en un nuevo proyecto regional, y cuáles áreas geográficas incluiría y por qué?
3. ¿Cómo piensa que este componente debería estar relacionado con otros componentes de PROARCA?
4. ¿Considera que existe espacio para otras instancias, socios y mecanismos de tipo regional que podrían ser incorporados al nuevo proyecto?, ¿Cuáles de estos recomienda y por qué?
5. ¿Qué procesos y mecanismos de comunicación, promoción y divulgación considera que serían efectivos implementar en un proyecto regional?
6. ¿Qué estrategias y mecanismos de mercado (proyectos productivos) y financiamiento sugiere que deberían ser promovidos por los proyectos regionales para garantizar la sostenibilidad de mediano y largo plazo de las acciones?

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**GRUPO No. 3: Costas**

## 1. ¿Regionalidad?

- Integración extranfronteriza fundamentada en intereses comunes de los países de América Central

## 2. ¿Temas y áreas geográficas prioritarias?

- Manejo integral marino costero
- Cuencas Hidrográficas
- Areas protegidas

*Sitios de más vulnerabilidad:* (i) San Juan, (ii) Bocas/Manzanillo, (iii) Golfo de Honduras, (iv) Golfo de Fonseca, y (v) Mosquitia de Honduras-Nicaragua

## 3. ¿Relación entre Componentes?

- Coordinar acciones para no desperdiciar esperanza y recursos y optimizar mediante un comité que defina políticas de seguimiento en la región.

## 4. ¿Espacio para otras instancias, socios y mecanismos?

- Si existe el espacio u consideramos necesario la coordinación con los diferentes actores involucrados a través de alianzas estratégicas y convenios.

## 5. ¿Comunicación, promoción y divulgación?

- Crear un centro de informática regional de doble vía, aprovechando la infraestructura ya existente.

## 6. ¿Estrategias y mecanismos de financiamiento y sostenibilidad?

- Capacitación y financiamiento para desarrollar alternativas de producción sostenible.
- Promoción y divulgación a través de la red informática.

**Integrantes del Grupo No. 3**

Víctor Hugo Martínez  
Rafael Sambula  
Kennet Serapio  
Daniel Joseph  
José Pérez  
Ruben Navarro  
Luis Sandolval

## Grupo No. 4: Costas

### 1. Regionalidad?

- Un bloque geográfico de países

### 2. Temas y áreas geográficas prioritaria?

- Manejo de APS
- Educación ambiental (por ejemplo especie en peligro)
- Monitoreo ambiental
- Capacitación corto y largo plazo

*Area más vulnerable:* Golfo de Honduras y Golfo Fonseca

### 3. ¿Relación entre Componentes?

- Comunicación e intercambios, y evitar duplicidad (por ejemplo políticas/análisis de brechas)

### 4. ¿Espacio para otras instancias?

- Utilizar alianzas de ONG locales – fondos canalizados sin burocracias.

### 5. ¿Procesos y mecanismos de comunicación, promoción y divulgación?

- Uso de INTERNET
- Participación en eventos internacionales de mercadeo
- Créditos a participantes locales para micro empresas
- Ecoturismo

#### **Integrantes del Grupo 4**

Ovel Leonardo  
Peter Hearne  
Will Maheia

## GRUPO No. 5: CAPAS

### 1. Regionalidad:

- Proceso de toma de conciencia de sentirnos un solo territorio, con metas que lleven a un desarrollo ambiental, económico y social, similar en con de los países de la región a través de actividades que se rijan bajo un marco general de política y legislación.

### 2. Temas prioritarios:

- Es importante un compromiso de largo plazo. Importante el seguimiento.
- Consercación privada (áreas aledañas a a.p.e. y el área del corredor biológico.
- Fortalecimiento institucional (organizaciones, comunidad)
- Mercadeo por-ambiental
- Fortalecimiento y mercadeo del ecoturismo
- Promoción, capacitación y control de la legislación ambiental (agricultura orgánica)

3. Relación del componente con los otros de PROARCA:

- Identificar programas y actividades en común, que permita el intercambio de experiencias y un mercadeo general del programa.

4. Espacio para otras instancias?

- Sí, la participación de otras instancias a través de convenios de cooperación que permita acceder recursos económicos, información básica y aplicable en los proyectos que se ejecutan o ejecutarán. (Universidad, centros de investigación, otras ONG locales, BM, PNUD, BID, Corredor, etc.).

5. Procesos y mecanismos de comunicación

- Boletines integrales
- Pulicación de informes técnicos
- Crear estrategias de comunicación; suplementos, trabajo con periodistas, programas de radio.
- Hojas informativas.
- Páginas WEB Internacional
- Giras y visitas a los medios

6. Estrategias y mecanismos de mercado – asegurar sostenibilidad a largo plazo

- Compromisos a largo plazo
- Gestión comercial a lo interno de las organizaciones con procesos de acompañamiento.
- Certificación
- Gestión empresarial
- Misiones comerciales
- Mejoramiento de la calidad de productos
- Ferias internacionales
- Intercambio de experiencias

**Integrantes del Grupo 5**

Mauramatha Zeas  
Martha Marín  
Julio Barquero  
Gabriel Valle  
Martha Ayala

**GRUPO No. 6: CAPAS**

1. Definición (Criterios) de Regionalidad?

- Que las experiencias desarrolladas sean replicables en otros países de la región.
- Que incluya temas claves y compartidos en la región
- Que permitan la integración geográfica y temática (ejemplo bioregión)



## 2. Temas Prioritarios:

- Fortalecer los procesos administrativos en los controles en el ámbito ambiental y penal.
- Fortalecer los sistemas de administración y manejo de áreas protegidas (analizar modelos de administración existentes y que hayan sido exitosos)
- Fomentar el desarrollo de actividades productivas sostenibles en áreas de amortiguamiento de áreas protegidas (ej. Agricultura orgánica, bancos de créditos).
- Dar continuidad a acciones específicas resultantes de proyectos que hayan sido exitosos.

## 3. Relaciones con otros componentes de PROARCA:

- Fomentando el desarrollo de proyectos modelos de manejo integral debtri de pasreas protegidas que incluya aspectos de manejo ambiental y legal (ej. Mejores prácticas de conservación, EIA)

## 4. Espacio para otras instancias:

- Sí, y recomendamos incluir: Consejos de Senderon Mesoamericanos, Consejo de Desarrollo Sostenible, Cámara Empresiarables, Grupos de base, ONG's, insituciones, etc. Se debe inventariar los grupos que trabajan en la región para conocer posibles socios, temas de trabajo común, proyectos ehecutados, conocer u compartir experiencias, compartir esfuerzos.

## 5. Procesos y Mecanismos:

- Boletín electrónico y escrito mensual
- Fortalecer la red de ocios del programa
- Fomentar el intercambio tecnológico de experiencias

## 6. Estrategia y mecanismos de mercado:

- Establecer capital semilla a través de fideicomisos
- Bancos de céditos (individuales. Comunitarios, microempresas)
- Acciones de seguimiento de los proyectos que se ejecutan (desde el proceso productivo hasta el proceso de comercialización).
- Centros de información sobre mercados, productos.

### **Integrantes Grupo 6**

Roxana Salazar  
 Roberto Haggés Chan  
 Maritza Rivera  
 Dilia Santamaría  
 Juan Francisco Martínez  
 Eduardo Do Paso

## **GRUPO No. 7: LEPP/PROLEGIS**

### 1. Regionalidad:

- Grupo que abarca varios países Centroamericanos y otros, con características comunes (culturales, ecológicos y económicos), para compartir, resolver y armonizar problemáticas ambientales y de manejo de recursos naturales.

2. Temas Prioritarios:

- Lo importante es que la temática del proyecto regional responda a intereses comunes, que exista armonización e integración de todos los componentes afines en cada uno de los países involucrados por ende armonicen los diferentes actores (públicos, privados, ONG, sociedad civil).

3. Relaciones con otros componentes de PROARCA:

- Deben de promoverse una relación estrecha entre los diferentes componentes de PROARCA ya que todo va relacionado, ej: Las normas que se generan en un componente son las bases del componente que operatiza las acciones a programa para identificar puntos coincidentes.

4. Espacio para otras instancias:

- Debe existir una coordinación y participación con grupos ambientalistas, grupos locales, comités gestores, y con otras fuentes cooperates que ejecuten proyectos regionales (corredor biológico mesoamericano, Sistema Arrecifal Mesoamericano, Proglf, otras), con instancias públicas (Ministerio de Educación, Salud, ANAM, Agricultura), ONG, Empresas privadas y otras de la sociedad civil.
- *¿Por qué?*: Para ampliar la información del proyecto, evitar duplicidad de esfuerzos y lograr una mayor eficiencia y complementariedad de las acciones.

5. Procesos y mecanismos:

- Debe existir una comunicación sistemática entre los ejecutores de los proyectos (local, nacional) con representantes de la CCAD, en cada uno de los países y los enlaces de los proyectos. Las comunicaciones y coordinaciones deben darse a nivel nacional y regional.

6. Estrategias y mecanismos de mercado:

- Los proyectos productivos deben ser auto-sostenibles es decir que el financiamiento debe ser otorgado como capital semilla, el proyecto debe ser sostenible con el tiempo. Debe ayudarse a los ejecutores del proyecto a través de:

- \*Capacitación gerencial
- \*Asesoría técnica y transferencia de tecnología
- \*Promoción de los productos
- \*Publicidad

**Integrantes del Grupo No. 7**

Miriam Mendoza  
Antonio Fuentes  
Violeta Larde  
Luis Mou Sue  
Marianela Rocha

## **Segundo Día: Resultados del Trabajo sobre Temas Guatemala, 9 de Noviembre de 1999**

Para llegar a los resultados que se presentan en éste documento, se inició en los mismos Grupos de Trabajo del primer día con la identificación de temas prioritarios, usando para ello el trabajo extraído del documento del Taller del primer día (véase arriba). Cada Grupo desarrollaron 5 a 6 puntos. Estos puntos fueron compartidos y organizados en agrupaciones de 6 temas similares, los cuales son:

- PROTECCION Y CONSERVACION DE SISTEMAS ECOLOGICOS PRIORITARIOS
- ALIANZAS Y COORDINACION
- FORTALECIMIENTO INSTITUCIONAL
- PRODUCCION Y MERCADEO PRO-AMBIENTAL
- COMUNICACIÓN
- LEGISLACION AMBIENTAL

### **TEMA 1: PROTECCION Y CONSERVACIÓN DE SISTEMAS ECOLOGICOS PRIORITARIOS**

*¿Por qué es importante?*

- Areas vulnerables, biodiversidad, valor económico

*¿Cómo afecta positivamente la próxima fase de un proyecto ambiental?*

- Mejorar sistemas de producción
- Mejorar la calidad de vida
- Mantener procesos ecológicos

*Enfoques de Acción:*

1. Manejo Integrado de Cuencas Prioritativas
2. Fortalecer sistemas de Administración y Manejo de A.P.
  - 2.1 Conservación privada
  - 2.2 Formulación Planes de Manejo
3. Contaminación Ambiental
4. Mercadeo Pro-ambiental

*Recomendaciones:*

Locales:

- Sistemas importantes para la producción y calidad de vida
- Establecimiento y/o fortalecimiento de sistemas de capacitación

Nacionales:

- Establecer sistemas de monitoreo y evaluación
- Fortalecimiento institucional a las instancias de administración
- Fortalecer procesos de planificación estratégica

Regionales:

- Priorizar áreas transfronterizas
- Ecosistemas especiales y únicos en la región
- Fortalecer Procesos de Planificación Estratégica

## **TEMA 2: ALIANZAS Y COORDINACION**

*¿Por qué es importante y cómo afecta positivamente la próxima fase de un programa ambiental?*

- Ampliar impacto y sostenibilidad
- Mejorar uso de recursos disponibles
- Establecer credibilidad y sinergia con otros actores

*Enfoques de Acción:*

- Red de información e intercambio técnico
- Redes y Alianzas para la movilización de recursos (humanos y financieros)
- Coordinación institucional para mantener transparencia, comunicación, expectativas y responsabilidades claras.
- Comité o red dentro del programa con participación de todos los actores principales.

*Recomendaciones:*

Regionales:

- Todo esto es principalmente regional

## **TEMA 3: FORTALECIMIENTO INSTITUCIONAL**

*¿Por qué es importante?*

- Garantiza Sustentabilidad
- Permite a las organizaciones participar efectivamente en la ejecución del programa
- Permite especialización
- Concuera con políticas de gobiernos

*¿Cómo afecta positivamente la próxima fase de un proyecto ambiental?*

- Asegura implementación exitosa
- Reduce costos de operación del programa
- Enfocado en socios claves

*Recomendaciones:*

Locales:

- Enfocar en grupos comunitarios
- Enfocar en ONG locales
- Apoyo a gobiernos locales
- Fortalecer alianzas entre actores locales (e.i. TRIGOM, TRINANCIONAL GF . CVC, comités gestores ETC.)
- Brindar apoyo técnico a los asesores de los programas

- Disponer de asesores ó facilitadores de sitio en cada país en que se hacen intervenciones transfronterizas.

Nacionales:

- Fortalecer Capacidad de trabajo conjunto entre gobierno nacionales y organizaciones locales

Regionales:

- Fortalecer alianzas en sitios transfronterizos
- Promover posibles alianzas regionales
- Fortalecer redes y sus miembros
- Brindar asistencia a organizaciones regionales de diferentes sectores (ONG, OG, sector privado).

#### **TEMA 4: PRODUCCION Y MERCADEO PRO-AMBIENTAL**

*¿Por qué es importante?*

- Para garantizar la sostenibilidad social, económica y ambiental

*¿Cómo afecta positivamente la próxima fase de un proyecto ambiental?*

- Incremento de la participación de los actores dentro del sector económico.

*Enfoque de Acción:*

- Ecoturismo
- Café Orgánico
- Agricultura Orgánica
- Forestería certificada
- Producción limpia
- Mejoramiento de sistemas de producción
- Acceso a la tierra
- Secuestro carbono
- Servicios Ambientales, biodiversidad, agua, belleza sencilla
- Cacao ecológico

*Recomendaciones:*

Locales:

- Capacitación tecnológica y gestion financiera y administrativa
- Acceso al crédito
- Acceso a medios de comunicación
- Información de mercados
- Infraestructura de transporte
- Organización comunitaria
- Promoción

## Nacionales:

- Capacidad de certificado (Capacitación a técnicos)
- Políticas gubernamentales de apoyo
- Capacitación
- Medios de información

## Regionales:

- Intercambio de experiencias entre países
- Promoción y mercadeo intra extra regional (de productos de exportación regionales)
- Certificación "Ambiental" para garantizar el acceso de los productos y servicios regionales a los mercados internacionales.
- Información
- Educación al consumidor

**TEMA 5: COMUNICACIÓN***¿Por qué es importante?*

- Dar a conocer, informar, educar, formar, concientizar, y dirigir a la opinión pública y grupos meta sobre la importancia de cambiar actitudes en el uso, conservación y protección de los recursos naturales de la región.

*¿ Como afecta positivamente la próxima fase de un proyecto ambiental?*

- Permitirá que existan fuentes de información general y específica en temas de conservación y esfuerzos realizados en la región.
- Permitirá que la comunidad de donantes conozcan el esfuerzo y temas prioritarios en el manejo y uso y conservación de los recursos naturales en la región
- Permitirá la integración de otros grupos al proceso de conservación (sector privado)

*Enfoque de Acción:*

- Fortalecer la comunicación a través de un Boletín Electrónico y escrito mensual
- Diseñar un nuevo programa de comunicación y difusión
- Giras de promoción
- Crear red de informática regional
- Crear vínculos y mecanismos de acceso a todos niveles de apoyo que vayan más allá del financiamiento del proyecto
- Líneas de crédito para alternativas productivas compatibles
- Contactos con inversionistas
- Préstamos concesionarios a municipalidades
- Trabajo estratégico que apoye al nivel de campo con ONGs, y al nivel político con gobiernos, para que las autoridades comprendan y apoyen: (i) lo que hacen las ONGs; y (ii) los problemas ecológicos

*Recomendaciones:*

## Locales:

- Poner en práctica los programas de comunicación (\*) homogenizarla
- Tomar en cuenta los aspectos sociales y culturales
- Definir los medios de información en cada caso

## Nacionales:

- Poner en práctica los programas de comunicación

## Regionales:

- Poner en práctica los programas de comunicación

**TEMA 6: LEGISLACION AMBIENTAL***¿Por qué es importante?*

- Modificación de conductas sociales
- PROARCA apoyan al cumplimiento de CONCAUSA en legislación ambiental

*¿Cómo afecta positivamente a la próxima fase de un proyecto ambiental?*

- Armonización y aplicación de la ley
- Resolución alternativas de conflictos
- Aplicación de acuerdos internacionales y leyes nacionales

*Enfoque de Acción:*

- Fortalecer procesos administrativos y judiciales con capacitación a:

- \*Autoridades Competentes
- \*Municipalidades
- \*Grupos de Base

*Recomendaciones:*

## Locales:

- Identificación de autoridades competentes y la capacidad local

## Nacionales:

- Desarrollar incentivos para el cumplimiento de la ley

## Regionales:

- Armonización para facilitar la aplicación de la ley

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## Evaluation of the Central American Regional Environmental Program (PROARCA)

*Results of the Workshop for Feedback on the Results of the Evaluation to Stakeholders*

**Hotel Radisson Villa Magna  
Ciudad de Guatemala, Guatemala  
9 y 10 de Noviembre de 1999**

### AGENDA

#### Martes

#### 9 de Noviembre

- 08:00-08:30** Inscripción de Participantes  
**08:30-08:45** Inauguración del Taller  
 - George Carner, Director, USAID/Programa Centroamericano  
 - Ronald Vargas, Director Adjunto, CCAD  
**08:45-09:00** Presentación de los objetivos y metodología del taller  
 - Kim Alire, Facilitadora del Taller  
**09:00-09:30** Presentación de los objetivos y metodología empleada en la evaluación  
 - Carlos Rivas, Jefe del Equipo Evaluador  
**09:30-10:30** Presentación de los hallazgos y conclusiones principales de la evaluación  
 - Componente Costas, Jurij Homziak  
 - Componente CAPAS, Sergio Zelaya  
**10:30-11:00**  
**Café**  
**11:00-12:00** Presentación de los hallazgos y conclusiones principales de la evaluación  
 - Componente LEPP/PROLEGIS/EPA, Paul Dulin  
 - Gerenciamiento del Proyecto por USAID y CCAD, Carlos Rivas  
**12:00-12:30** Preguntas-respuestas sobre la presentación del equipo Evaluador  
**12:30-13:00** Explicación de la metodología a ser empleada en los Grupos de Trabajo  
 - Kim Alire, Facilitadora  
**13:00-14:00** Almuerzo servido en el Hotel Radisson  
**14:00-15:30** 1<sup>st</sup> Sesión en los Grupos de Trabajo  
**15:30-15:45**  
**Café**  
**15:45-17:30** 2<sup>nd</sup> Sesión en los Grupos de Trabajo  
**17:30-18:00** Preparación en rotafolio de los resultados de los trabajos en Grupo

#### Miércoles

#### 10 de Noviembre

- 08:00-09:30** Presentación de los resultados por los Grupos de Trabajo  
**09:30-12:00** Discusión abierta de los resultados de los Grupos de Trabajo y su relación con el trabajo del Equipo Evaluador [*Café abierto a partir de 10:00*]  
 - Kim Alire, Facilitadora  
**12:00-12:30** Plenaria Final y Clausura del Taller  
 - Equipo Evaluador  
**12:30-13:30** Almuerzo servido en el Hotel Radisson



## **APPENDIX 6: Terms of Reference**

UNITED STATES OF AMERICA  
AGENCY FOR INTERNATIONAL DEVELOPMENT

1. Country of Performance: GUATEMALA  
Adv. & Asst. Services Yes [ ] No [X]
2. Contract OUT-LAG-I-801-99-00013, Task Order No. B13  
(Incorporating FAR and AIDAR Clauses)

NEGOTIATED PURSUANT TO THE FOREIGN ASSISTANCE ACT OF 1961,  
AS AMENDED, AND EXECUTIVE ORDER 1-1223

- |   |  |
|---|--|
| <p>3. CONTRACTOR (Name and Address):</p> <p>ASSOCIATES IN RURAL DEVELOPMENT<br/>110 Main Street, Four Floor<br/>P.O. Box 1397<br/>Burlington, VT 05402 USA</p> <p>TIN: 03-0265647<br/>DUNS: 00-403-5127</p> | <p>4a. ISSUING OFFICE:<br/>REGIONAL CONTRACTS OFFICE<br/>USAID/G-CAP<br/>UNIT 3323<br/>APO AA 34024</p> <p>4b. ADMINISTRATION OFFICE:<br/><br/>Same as 4a.</p> |
|---|--|

- |  |  |
|--|--|
| <p>5. TECHNICAL OFFICE:<br/>PHILIP JONES<br/>PROARCA OFFICE<br/>USAID/G-CAP<br/>UNIT 3323 APO AA 34024</p> | <p>6. PAYING OFFICE. SUBMIT INVOICE TO:<br/>FINANCIAL MANAGEMENT OFFICE<br/>USAID/G-CAP<br/>Unit 3323<br/>APO AA 34024</p> |
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|---|---|
| <p>7. EFFECTIVE DATE:<br/>See block 11b</p> | <p>8. ESTIMATED COMPLETION DATE:<br/>01/15/2000</p> |
|---|---|

- |   |   |
|---|---|
| <p>9. ACCOUNTING AND APPROPRIATION DATA;<br/>Request ID: 596-0180-90015<br/>Activity Title: PROARCA EVALUATION<br/>Organization ID:<br/>Resource Category: 410463<br/>Account Number: 729/01021<br/>Budget Plan Code: LDV99925596KG13</p> | <p>Amount obligated:<br/>Ceiling Price:</p> |
|---|---|

10. The United States of America, represented by the Contracting Officer Signing this order, and the Contractor agree that: (a) this Order is issued Pursuant to the Contract specified in Block 2 above and (b) the entire Contract between the parties hereto consists of this order and the Contract Specified in Block 2 above.

- |   |   |
|---|---|
| <p>11a. NAME OF CONTRACTOR;<br/>ASSOCIATES IN RURAL DEVELOPMENT<br/>BY:<br/>NAME:<br/>TITLE:<br/>DATE:<br/>OUT-LAG-1-801-99-00013 D.O. No.813</p> | <p>11b. UNITED STATES OF AMERICA<br/>Agency for international Development<br/>BY:<br/>NAME: BRADEN W. ENROTH<br/>TITLE: Contracting Officer (RMS)<br/>DATE:</p> |
|---|---|

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## 1.1 BACKGROUND

### A: Description of the Strategic Objective:

In December 1994, President Clinton and the Central American Presidents signed the Conjunta Centroamericana - USA ("CONCAUSA") agreement. Through CONCAUSA, the United States became the first extra-regional partner of the Central American Alliance for Sustainable Development. The Alliance provides a strategic framework for collaboration with environmental issues throughout Central America. The Regional Environmental Program for Central America (PROARCA) is the vehicle for making the United States commitment to the Alliance a reality. The Central American Commission for Environment and Development (CCAD) is the lead Regional counterpart organization in implementation of PROARCA to assure Central American ownership and leadership of the PROARCA Program in line with the mandates of CONCAUSA and the Central American Alliance for Sustainable Development.

PROARCA's Strategic Objective (SO) entails the development and consolidation of a Central American system of protected areas and the promotion of a strengthened regional regulatory and enforcement framework for environmental protection. These constitute two major elements of the Central American Alliance for Sustainable Development (ALIDES) and of the CONCAUSA Agreement. To accomplish this, the SO team is pursuing 3 Intermediate Results: 1) Improved Consolidation of the Central American Protected Areas System; 2) Increased Local Empowerment for Stewardship of the Environment and Natural Resources in Target Areas; and 3) Central American Environmental Policy Frameworks Harmonized and Strengthened. PROARCA also encompasses three components closely aligned with these three Intermediate Results: 1) Central America Protected Areas System (PROARCA/CAPAS); 2) Coastal Zone Management (PROARCA/Costas); and 3) Environmental Protection and Legislation. (LEPPI and EPA).

The SO provides support to host country governments, NGOs, and USAID/Bilaterals in Central America. The PROARCA strategy is based on the strengthening of NGOs, community based organizations and host government capacity to manage natural resources at four key trans-boundary geographic sites: The Gulf of Honduras (Belize-Guatemala-Honduras); The Gulf of Fonseca (El Salvador-Honduras-Nicaragua); La Mosquitia (Nicaragua-Honduras); and Gandoca/Bocas del Toro (Costa Rica Panama). There are other selected PROARCA sites where bilateral missions, objectives require regional contributions.

### B. Description of PROARCA's components:

#### (1) Central American Protected Areas System (CAPAS)

The objective of this component is the consolidation of a Central American System of Protected Areas and the gradual ecological restoration and sustainable use of areas surrounding them. CAPAS works in collaboration with the Central American Commission for Environment and Development (CCAD) and bilateral USAID Missions to implement activities to identify national systems of protected areas to be included in a regional system; analyze legal and policy frameworks for effective protected areas management; analyze mechanisms for financial sustainability of these areas; and provide for information dissemination and exchange in support of the regional protected areas system.

The CAPAS' component is divided into two phases. CAPAS I began in July 1996 through a performance-based contract with International Resources Group (IRG), and ended in July 1998. The results expected to be accomplished in CAPAS I were: 1) Increased Protection of Biodiversity and habitat within key parks and protected Areas; 2) Demonstration of Economic Viability of Compatible Uses in Buffer Areas; 3) Increased regional Environmental Awareness, Commitment and Consensus; and 4) Transfer of Skills to Counterpart institutions. Primarily a Team Leader, a Grants Manager/Project Administrator and a Protected Areas Specialist provided long-term technical assistance. Approximately 60 person-month of short-term technical assistance on various aspects of biodiversity conservation were also provided during phase 1. In addition, CAPAS I implemented a US\$ 350,000 competitive small grants program throughout Central America.

CAPAS II began in July 1988, at this time USAID extended its contract with IRG through September 2000. Implementation of activities directly related to protected areas is conducted through a sub-contract with the Nature Conservancy. CAPAS II targets six results: 1) Improved Protection and Management of Key Public and Private Protected Areas; 2) Improved Cross-country Harmonization of Policies and Strategies to Protect and Manage Flora and Fauna in Central America; 3) Improved Conservation Policies and Practices on Private and Indigenous Lands in and near Protected Areas in Central America; 4) Expanded market Access for Central American Agricultural, Forest, Ecotourism Products/ Services that Meet High Environmental Standards; 5) Enhanced Knowledge and Skills in Topics Important for Biodiversity Conservation in Central America; and 6) Strengthened initiatives of the CCAD Executive Secretariat. CAPAS II long-term technical assistance is provided by a Team Leader (a US citizen), all other long-term members are Central Americans, totaling 17 members, including office support staff. Key team members for the purposes of this evaluation are: a Communication Specialist, a Project Administrator, a Natural Resources Policy Specialist, an Environmental Marketing Specialist, a Protected Areas Specialist, a Capacity Building Specialist, and a Small Grants Program Manager.

Other CAPAS' important partners include environmental authorities (ministries and departments) in the seven Central American countries. CAPAS also coordinates with well established NGOs and PVOs and with producers and marketers of environmentally friendly services and products such as organic coffee certification entities, organic coffee cooperatives, and associations of tour operators, lodge and private reserve owners. CAPAS is required to coordinate closely with the other two PROARCA components. CAPAS relies on short-term contracts with Central American consulting firms for implementation.

## (2) Coastal Zone Management (Costas)

The Central American coasts contain abundant biological diversity. These areas have a very high ecological, economic and social value due to the habitats, unique species and the natural resources within these areas that are important sources of income for the livelihood of local communities and the support to the national economies. The Central American coastal and marine areas are particularly threatened by: water pollution, over-exploitation of fisheries resources, population growth, infrastructure development primarily for tourism, mangrove destruction and, in general, the lack of appropriate planning of coastal zone development.

The Coastal Zone Management Component, Costas, was established to promote integrated coastal management in Central America. The goal of Costas is to strengthen local capacity for the conservation and effective management of

coastal and marine resources. The project focus on four trans-boundary priority sites, selected for their ecological and economic importance: 1) Gulf of Honduras (Belize, Guatemala and Honduras); 2) Miskito Coast (Honduras and Nicaragua); 3) Gulf of Fonseca (Honduras, Nicaragua, El Salvador); and 4) Gandoca/Bocas del Toro (Costa Rica and Panama). A consortium of recognized international organizations in the environmental field: The Nature Conservancy (TNC), World Wildlife Fund (WWF), and the University of Rhode Island Coastal Resources Center (CRC/URI) implement this component through a Cooperative Agreement with USAID. These organizations work to strengthen governance and policies related to coastal zone management and the designated protected areas. Simultaneously, Costas works with communities to demonstrate, adapt and disseminate effective models for protection of coastal resources. At the regional level, Costas' staff support the sites by promoting international collaboration for the management and protection of shared resources and by strengthening national policy implementation. The regional priorities are based on local needs; commonalties identified across sites and opportunities for sharing lessons learned.

Costas' activities are implemented primarily through a grants program through which sub-grants are awarded to local NGOs and other concerned parties. Costas, like CAPAS, is required to coordinate with CCAD, USAID/G-CAP and USAID/Bilateral Missions in Guatemala, Honduras, El Salvador, Nicaragua and Panama. Important partners include environmental authorities (ministries and departments) in each country. Costas also works in partnership with other regional institutions/initiatives such as: the Central American Commission of Marine Authorities (COCATRAM) and the Mesoamerican Reef Initiative. Costas' technical assistance is provided by eight long-term staff, all Central Americans. The key positions for the purposes of this evaluation are: The Team Leader (specialist in Coastal Resources), the Project Administrator, the Project Coordinator (specialist in Monitoring & Evaluation), the Policy Advisor, and four Regional Site Technical Assistants (RSTAs) based in the four trans-boundary priority sites. This team supports the achievement of four results, two at the regional level: 1) Regional and National dialogue and Collaboration for Integrated Coastal Zone Management Strengthened, and 2) Tools, Methods and information directed to strengthen regional capabilities, disseminated; and two at the site level: 3) Participatory Management of Resources for coastal-marine biodiversity protection/conservation, and 4) institutional arrangements and institutions strengthened.

### (3) Environmental Protection and Legislation

This component seeks to: 1) harmonize and strengthen regional and national environmental policy frameworks, 2) Strengthen institutions to address pollution problems, and 3) raise awareness of public sector officials and private sector organizations about the need to meet World Trade Organization (WTO) and the Free Trade Area of the Americas (FTAA) requirements.

Three results are targeted under the component; 1) Promotion of pollution prevention and cleaner production over end-of-pipe treatment wherever possible; 2) Effective public participation in problem identification, problem-solving, rulemaking, and right-to-know; and 3) Mechanisms and professional networks for effective technology transfer established.

This component is comprised of the following activities:

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a. Environmental Risk Assessment and Prioritization

USAID/G-CAP through a buy-in to USAID/PRIDE, commissioned a Regional Comparative Risk Assessment (CRA). During this assessment, Central American countries determined that solid waste, waste water and pesticide contamination are the principal national pollution threats in the region. The analysis and corresponding Action Plan were developed through a highly participatory process, including national and regional workshops and the participation of experts from various sectors (academia, private sector, NGOs, community-based organizations and government agencies). The Regional Action Plan constitutes the programming framework for PROARCA's Participating Agency Service Agreement (PASA) with the U.S. Environmental Protection Agency (USEPA).

b. Local Environmental Policy and Program Initiative (LEPPI) or Community Action Planning

Under a Cooperative Agreement between USAID/G-CAP and the Cooperative Housing Foundation (CHF), work is being carried out in pollution management in ten pilot municipalities throughout Central America. The locations are Puerto Barrios and Ixcán (Guatemala), Usulután and La Unión (El Salvador), Bocas del Toro and Chilibre (Panama), Choluteca and Trujillo (Honduras), Puerto Viejo-Manzanillo (Costa Rica), and San Juan del Sur (Nicaragua). The methodology implemented through this activity includes the following steps: a) community identification of pollution problems that affect health; b) election of the Environmental Steering Committee with the participation of the public sector and civil society; c) formulation of a Community Environmental Profile which provides baseline information for performance assessment; d) identification of the most effective actions in addressing pollution problems; e) establishment of a strategy, an action plan and monitoring system to address the problems; and f) preparation of feasibility studies and implementation of pilot projects.

c. Upward environmental legislative harmonization and enforcement

The Environmental Legislation activity provides technical assistance to national legislatures and executive branches corresponding to the introduction and adoption of national environmental laws and regulations. The program brings about the regional networking of Central American environmental legal authorities, including public attorneys, legal advisors, prosecutors, judges and controllers, and provides training and technical assistance to these sectors in environmental law and enforcement. Regional and national policy frameworks are being harmonized and strengthened under the leadership of the CCAD's PROARCA-funded Environmental Legislation and Biodiversity sub-activities in coordination with PROARCA partners US EPA, CAPAS and Costas.

The Biodiversity sub-activity promotes the ratification and compliance by the Central American governments of international and regional environmental agreements. Through CCAD-sponsored regional networks the program coordinates such initiatives as the development of national and regional biodiversity strategies, electronic information-sharing and dissemination, the establishment of regional norms on the illegal trafficking of endangered species, and unified regional positions on access to genetic resources.

#### d. Pollution prevention

The pollution prevention activity comprises three sub-activities: the US EPA in coordination with the CCAD has conducted 1) workshops. This training (targeted to Government inspectors, prosecutors and legal advisors) has focused on environmental legislation, enforcement, standards, monitoring, impact assessments, environmental auditing, economic incentives, and voluntary compliance; 2) Technical expertise has been provided to Governments and private sector on cleaner production; and 3) An informational network has been established, where Governments and private sector can access information related to pollution prevention legislation, expertise and state of the art technology.

#### C. PROARCA Management

A core SO Team, and an expanded SO team, which includes key partners, manages the PROARCA program. The team is based in USAID/Guatemala-Central American Program's offices located in Guatemala City. The core SO team meets every week to coordinate activity design, implementation and monitoring issues. During these meetings, the acqllisitcn and assistance actions are also reviewed with the Regional Contracting Office. The Expanded So Team meets formally twice a year through the PROARCA round

UPS.

##### 1.2 TITLE

Evaluation of the Central American Regional Environmental Program  
-PROARCA-

##### 1.3 OBJECTIVE

To carry out a Project Evaluation in Central America under the Central American Regional Environmental Program -PROARCA- Strategic Objective

##### 1.4 STATEMENT OF WORK

The contractor shall carry out the external evaluation for the regional environmental program (PROARCA). PROARCA is a five-year, \$25 million program, which seeks to promote the Increased- Effectiveness in Regional. stewardship of the Environment and Key Natural Resources in Target Areas. The purpose of this evaluation is: 1) assess and document PROARCA's impacts /benefits in Increasing Effectiveness in Regional Stewardship of the Environment and Key Natural Resources in Target Areas; and 2) provide guidance and recommendations, based on the successes and lessons learned-during the evaluation, for USAID's design of FROARCA phase. 11. The external evaluation is one component of PROARCA's evaluation strategy, which also includes annual internal performance reviews of its components and reporting/monitoring material that has been produced during the life of PROARCA.

The evaluation is divided in to two parts: A) components evaluation, and B) CCAD-USAID/G-CAP Partnership Evaluation. The contractor will address some 5strategic/generic issues for parts. A and B of the evaluation:

- Identify activities, institutions, and geographic areas that show success or promise in terms of greater measurable impact and sustainability of the, interventions in order that they become permanent and wide-spread;



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- Recommend how the team can eliminate activities and approaches that show neither success nor promise;

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- Assess the effectiveness of efforts to involve women and indigenous groups, and, where necessary, recommend actions to promote greater involvement;
- Assess the extent of the coordination and integrated management in Central America as a system, as distinct from a collection of separate national efforts, hereafter referred to as regionality; and
- Synergy among PROARCA: components, USAID bilateral Missions, regional organizations, NGOs, host country governments, other donors.
- Identify other partnerships (and the selection criteria) that the Regional Program could enter into in the future that would facilitate achievement of its results;
- Examine the options and rationale for the various funding mechanisms that are available (performance-based contracts, grants, cooperative agreements), should a future CAPAS-Costas-LEPPI like activity be implemented.

#### Part A. Component Evaluation

The evaluation team will address some management and technical issues across the components:

- Assessment of the cost-effectiveness and agility of the management structures, technical assistance delivery structures and institutional arrangements used by the components' central office in Guatemala City as compared to alternative structures;
- Assessment of the effectiveness of the consortium mechanism to implement activities
- Assessment of the effectiveness of the partnership between USAID/G-CAP and the consortiums
- Assessment of the timing and quality of the technical assistance provided by home office to the Guatemalan offices and the field;
- Assessment of each components' effectiveness to meet established results;
- Assessment of components' activities complementarity;
- Assessment of the appropriateness in approaches and partnerships to achieve results under each component;
- Assessment of the effectiveness, from a regional conservation perspective, in selecting geographical areas;
- Assessment of the appropriateness in working exclusively in trans-boundary protected areas and ecosystems.
- Assessment of the types of activities not related, to trans-boundary areas or

resources that should be carried out by a regional environmental program. What criteria should be used to determine whether a program should be implemented by a regional instead of a bi-lateral program?;

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- Assessment of the effectiveness of the dissemination of the tools, methods and reports that each component has developed/ utilized; and

- Assessment of the effectiveness and sustainability of the regional institutional and technical networks supported by PROARCA's components.

A.1. Evaluation questions specific to CAPAS

1. How effective has been CAPAS' use of regional technical expertise through consulting arrangements? What is the quality of products and services provided? Has the dissemination of these products been effective? Can
2. Is the process used to announce, review, and select proposals for CAPAS' Small Grants Program appropriate?
3. Was the composition of the program's review committee appropriate from both the technical and the institutional point of view?
4. Were the criteria for selecting the NGOs appropriate?
5. Is the process used to secure approval by government institutions appropriate? Is CAPAS's seeking approval of appropriate government entities? Does government involvement create the possibility for politicization of the grant-award process? How can this possibility be minimized?
6. What is the recipients' view of the Small Grants Program?

A.2. Evaluation questions specific to Costas

Examine the effectiveness of the regionalization of integrated coastal zone management best practices

Examine the implementation and effectiveness in the identification/support and replication of mechanisms for international/trans-boundary collaboration

Assess the timeliness and quality of the technical assistance provided by Costas' Guatemalan office to the Regional site Technical Assistants

Assess the timeliness and quality of the technical assistance provided by the Regional Site Technical Assistants to local partners

Examine the strategy used for the small grants program and its effectiveness. What are the recipient's views of it?

Examine the selection criteria for choosing local partners (NGOs)

Examine the effectiveness and timeliness of the process used by Costas to review proposals from local partners (technical, financial and programmatic).

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Is the process used to secure approval for proposals by government institutions appropriate? Is Costas seeking approval of appropriate government entities? Does government involvement create the possibility for politicization of grant-award process? How can this possibility be minimized?

A.3. Evaluation questions specific to Environmental Protection and Legislation

*I. Evaluation questions specific to LEPPI*

1. How well known is LEPPI at the national and regional governmental levels?
2. How representative has LEPPI's choice of sites been in terms of political, ethnic, cultural, and geographic considerations?
3. How effective has been the methodology implemented by LEPPI to identify community's pollution problems and solutions?
4. Do steering committees feel competent to replicate the process without LEPPI's assistance?
5. How well has LEPPI coordinated with PROARCA's components? How could this coordination be enhanced?

*II. Evaluation questions specific to CCAD's Environmental Legislation and Biodiversity activities*

1. Have these activities contributed to the fulfillment of the CONCAUSA commitments?
2. Are these activities fulfilling the regional and national demands in the eyes of the national ministries of environment and natural resources, and other key clients?
3. How well have the CCAD's Environmental Legislation and Biodiversity activities coordinated with PROARCA's components? How could this coordination be enhanced?

*III. Evaluation questions specific to US EPA PASA*

1. Is the training and technical assistance provided by US EPA Relevant to achieve the upward harmonization of environmental legislation in Central America?
2. Are regional and national counterparts satisfied with the technical level of this training and technical assistance?

3. To what degree is the knowledge obtained through regional training courses and technical assistance being applied by the participants?
4. How well has the US EPA program coordinated with the other PROARCA components? How should such coordination be enhanced?

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#### Part B. CCAD-USAID/G-CAP Partnership Evaluation

The CCAD, through its Environmental Directorate, is USATD/G-CAP's primary partner. The CCAD was involved in the design of PROARCA and participates in the components' annual performance evaluations. PROARCA's components also provide direct support to some of CCAD's activities such as assistance to the development of an environmental action plan for Central America and region climate change related meetings

##### B.1. Evaluation questions specific to PROARCA-CCAD partnership

- What form should the USAID/G-CAP-CCAD partnership take in the future?
- What objectives, activities, institutional arrangements, and geographic areas should form the basis for a future partnership (in the context of the, CONCAUSA and the Mesoamerican Corridor)?
- Are the policy/legislation activities of the partnership focused on the significant environmental policy/legislation issue of Central America?

##### B.2. Questions related to partnerships and collaboration with PROARCA's components

1. To what extent has the relationship between PROARCA's components and CCAD contributed to the achievement of the components' results?
2. What specific activities/ results under PROARCA's components have benefited from the relationship with CCAD? What components or activities need to be implemented with greater CCAD participation? What components or activities may be implemented with minimal CCAD participation?

#### 1.5 ACCOUNTING AND APPROPRIATION DATA

|                         |                 |
|-------------------------|-----------------|
| MAARD No.               | 596-0180-90015  |
| BUDGET PLAN CODE:       | LDV99925596KG13 |
| APPROPRIATION:          | 729/01021       |
| Total Amount Obligated: |                 |
| PROJECT No.             | 596-0180.10     |

#### 1.6 REPORTS/DELIVERABLES

The evaluation shall result in the completion of the following Deliverables:

1. *Revised methodology* of the external evaluation following review of documentation, discussion with USAID, CCAD and partners in country. The contractor shall submit the revised methodology by the end of the start up and document review week.

2. *Detail work plan for the overall assignment.* This shall include dates and schedules for presentation of each product. The contractor shall submit the detail work plan by the end of the start up and document review week.

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3. *Field site reports to USAID and CCAD on findings following the first and the last field visits stages.*
4. *The final report including:*
  - a) An executive summary (six pages maximum).
  - b) Presentations of findings, conclusion-s and recommendations per component, and field sites.
  - c) A strategy and action plan for improving PROARCA's impact on biodiversity conservation, pollution prevention and community based integrated coastal zone management to include:
    - c.1) An assessment of the most successful approaches implemented through CAPAS, Costas, LEPPi, the EPA and the CCAD's activities.
    - c.2) Specific actions to enhance PROARCA's effectiveness and impact based on the findings of the evaluation.
    - c.3) Suggestions for a strategy for sharpening the focus of PROARCA in Phase II, based on the successes in Phase 1. What new components, approaches or activities should be considered for support under PROARCA II from 2001 to 2005? What activities should the program keep supporting? How could PROARCA streamline, simplify and enhance the effectiveness of project management structures?
5. *Final presentation.* photographs taken at project sites that illustrate findings and recommendations are desirable, including slides, prints, "power point". These materials, delivered to USAID/G-CAP as products, will be used in presenting information on the program to partners following completion of the evaluation. The contractor will organize this final presentation with USAID/G-CAP assistance and guidance. The event will take place in Guatemala City after the submission of the final report.

#### 1.7 TECHNICAL DIRECTIONS

Technical Directions during the performance of this task order shall be provided by the Cognizant Technical Officer (CTO) specified in block 5 of the cover page pursuant to Section G.13 of the IQC contract.

#### 1.8 TERM OF PERFORMANCE

- a. Work shall commence on the date noted in Block 7 of the cover page. The estimated completion date is reflected in Block 8 of the cover page.
- b. Subject to the ceiling price of this task order and the prior written approval of the Technical Officer (5ee Block No. 5 on the Cover Page), the contractor may extend the estimated

completion date, provided that the extension does not cause the elapsed time for completion of the work, including the furnishing of all deliverables, to extend beyond 30 calendar days from the original estimated completion date. Prior to the original estimated completion date, the contractor shall provide a copy of the Technical Officer's written approval for

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1.8 (Continued)

any extension of the term of this task order to the

Contracting Officer; in addition, the contractor shall attach a copy of the Technical Officer's approval to the final voucher submitted for payment.

- c. It is the contractor's responsibility to ensure that the Technical Officer-approved adjustments to the original estimated completion date do not result in costs incurred that exceed the ceiling price of this task order. Under no circumstances shall such adjustments authorize the contractor to be paid any sum in excess of the task order.
- d. Adjustments that will cause the elapsed time for completion .01 the work to exceed the original estimated completion date by more than 30 calendar days must be approved in advance by the Contracting Officer.

1.9 WORKDAYS ORDERED

| a. Functional Labor Category & Specialist                               | Workdays Ordered | Burdened Daily Rate | Fixed Total |
|---|------------------|---------------------|-------------|
| 1. U.S. Personnel   |                  |                     |             |
| NATURAL RESOURCE MANAGEMENT SPECIALISTS & PLANNERS<br>PAUL DULIN        | 37.0             |                     |             |
| NATURAL RESOURCE MANAGEMENT SPECIALIST & PLANNERS<br>JURIJ HOMZIAK      | 37.0             |                     |             |
| SUPPORT STAFF<br>REBECCA BUTHERFIELD                                    | 6.0              |                     |             |
| 2. CCN Personnel  |                  |                     |             |
| NATURAL RESOURCE MANAGEMENT SPECIALISTS & PLANNERS<br>CARLOS JOSE RIVAS | 49.0             |                     |             |
| ECONOMIST/ENVIRONMENTAL POLICY SPECIALIST<br>SERGIO A. ZELAYA           | 37.0             |                     |             |

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|               |       |
|---------------|-------|
| SUPPORT STAFF | 37.0  |
| TBD           |       |
| Total         | 203.0 |

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1.9 (Continued)

- b . The individuals identified above are designated as key personnel pursuant to Section F.6 of the contract.
- C. Subject to the ceiling price established in this delivery order and the prior written approval of the Technical Officer, the contractor may adjust the number of workdays actually employed in the performance of the work by each position specified in this order. The contractor shall attach a copy of the Technical Officer's approval to the final voucher submitted for payment.
- d. It is the contractor's responsibility to ensure that the Technical officer-approved adjustments to the workdays ordered for each functional labor specialist do not result in costs incurred which exceed the ceiling price of this delivery order. Under no circumstances shall such adjustments authorize the contractor to be paid any sum in excess of the ceiling price.

1.10 CEILING PRICE

\*Indirect Cost Rates shall be applied in accordance with section B-14 of the basic IQC.

The contractor will not be paid any sum in excess of the ceiling Price.

1.11 USE OF GOVERNMENT FACILITIES AND PERSONNEL

(a) The contractor and any employee or consultant of the contractor is prohibited from using U.S. Government facilities (such as office space or equipment), or U.S. Government clerical or technical personnel in the performance of the services specified in the task order, unless the use of Government facilities or personnel is authorized in advance, in writing, by the Contracting Officer.

(b) If at any time it is determined that the contractor, or any of its employees or consultants, have used U.S. Government facilities or personnel either in performance of the contract itself, or in advance, without authorization in writing, by the Contracting Officer, then the amount payable under the contract shall be reduced by an amount equal to the value of the U.S. Government facilities or personnel used by the contractor, as determined by the contracting officer.

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(c) If the parties fail to agree on an adjustment made pursuant to this clause it shall be considered a "dispute" and shall be dealt with under the terms of the "Disputes" clauses of the contract.

1.12 DUTY POST

The Duty Post for this task order is Guatemala with travel throughout Central America.

1.13 ACCESS TO CLASSIFIED INFORMATION

The contractor will not have access to classified information.

1.14 LOGISTIC SUPPORT

The contractor shall-be responsible for all logistic support needed to successfully complete the contract.

1.15 WORKWEEK

The contractor is authorized up to a six-day workweek in the field with no premium pay.

1.16 AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this order is 000.

1.17 METHOD OF PAYMENT

Payment will be made in accordance with FAR clause 52.232.7, "Payment Under Time-and-Materials and Labor-Hour-Contracts, (Feb 1997) and AIDAR clause 752.7003 "Documentation for Payment (Nov 1998)

1.18 PAYMENT OFFICE

Payment will be made by the Financial Management Office, USAID/G-CAP as specified in block 6 of the cover page.

1.19 SPECIAL CLAUSE

ORGANIZATIONAL CONFLICT OF INTEREST

This task order calls for the Contractor to furnish important services in support of evaluation of PROARCA. In accordance with the principles of FAR Subpart 9.5 and USAID policy, THE CONTRACTOR SHALL BE INELIGIBLE TO FURNISH, AS A PRIME OR SUBCONTRACTOR OR OTHERWISE, IMPLEMENTATION SERVICES UNDER ANY-CONTRACT OR TASK ORDER THAT RESULTS IN RESPONSE TO FINDINGS, PROPOSALS, OR RECOMMENDATIONS IN AN EVALUATION REPORT WRITTEN BY THE CONTRACTOR. THIS -PRECLUSION WILL APPLY TO ANY SUCH AWARDS MADE WITHIN 18 MONTHS OF USAID ACCEPTING THE REPORT, unless the Head of the Contracting Activity, in consultation with USAID's Competition Advocate, authorizes a waiver (in accordance FAR 9. 503) determining that preclusion of the Contractor from the implementation work would not be in the Government's interest.