



# Evaluation of EU Cooperation with Central America

**Final Report  
Volume III – Annexes 2 to 9**

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EUROPEAN COMMISSION

Directorate-General for Development and Cooperation — EuropeAid

EU Development Policy - Evaluation

**Evaluation of the European Union's  
co-operation  
with  
Central America  
(2007-2012)**

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## **1 MANDATE AND OBJECTIVES**

Systematic and timely evaluation of its programmes and activities is a priority<sup>1</sup> of the European Commission including legislation and other non-spending activities<sup>2</sup>. Evaluation is key to account for the management of the allocated funds, for informing the decision making process and for promoting a lesson-learning culture throughout the organisation and all stakeholders concerned.

Of great importance is the focus on the **outcomes and impact** of European Union (EU) actions in the context of its evolving cooperation policy with an increasing emphasis on **result-oriented approaches**<sup>3</sup>.

The evaluation of the European Union's co-operation with Central America is part of the 2012-2014 evaluation programme as approved by the Development Commissioner.

The main objectives of the evaluation are:

- to provide the relevant external co-operation services of the European Union and the wider public with an **overall independent assessment** of the European Union's past and current cooperation and partnership relations with Central America;
- to identify **key lessons** and to produce **recommendations** in order to inform the responsible decision makers notably in the EEAS and the Directorate-general for Development and Cooperation – Europeaid on how to improve the current and future European Union's strategies, programmes and actions.

Therefore, the guiding question should be to which extent the overall cooperation of the EU with Central America contributed to a change in the region's development and to the welfare of its population while taking into account the political priorities defined by the region itself.

## **2 BACKGROUND**

### **2.1 Regional context**

The regional cooperation of the EU with Central America covers six countries: the republics of Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama. Altogether these countries encompass a surface of 489,293 km<sup>2</sup> and a population of around 41.5 million inhabitants<sup>4</sup>. The region is situated in the tropics with temperate highlands. Besides the permanent risks caused by earthquakes and volcanoes, this climate zone is specifically exposed to the effects of climate change. Notably tropical storms and the ever stronger impact of the El Niño phenomenon cause huge damage to the citizens and the economy of the region.

As to the institutional set-up, there are several regional organizations, the major one being the Central American Integration System (SICA, since 1991) which is coordinating the overall

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<sup>1</sup> EU Financial Regulation (art 27); Regulation (EC) No 1905/2006; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Council Regulation (EC) No 215/2008.

<sup>2</sup> SEC(2007)213 "Responding to Strategic Needs: Reinforcing the use of evaluation"

<sup>3</sup> COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

<sup>4</sup> UNDP

integration process. Economic aspects and interests are the major driving forces in this process.

The EU Delegation in Managua, Nicaragua, holds the responsibility for regional cooperation.

### **2.1.1 A heterogeneous region**

Central American countries are characterized by pervasive citizen insecurity, mainly in the three northern countries (i.e El Salvador, Honduras and Guatemala), with negative consequences for private investments and social development. Despite a period of political resilience, the potential instability in certain countries is still very prominent and hampers attractiveness for investment in the whole region.

The social and economic development within the region is heterogeneous. On the one hand, Panama and Costa Rica are middle income countries and on the other hand, Nicaragua is the poorest country, after Haiti, in the entire region of Latin America and the Caribbean. According to the UNDP, in 2011 the Human Development Indices (HDI) varied from 58 in Panama to 131 in Guatemala<sup>5</sup>. The percentage of people living on US\$ 1.25 a day or less fluctuate from 0.7% in Costa Rica to 23.3% in Honduras<sup>6</sup>. The GDP per capita differs from US\$ 8,769 in Costa Rica to US\$ 1,239 in Nicaragua<sup>7</sup>. Income distribution continues to be very unequal throughout the region and also within countries.

Also the situation of food security and nutrition varies within the region. Within the evaluation period, there has been a major price fluctuation of basic food. For instance, the average price for a corn tortilla doubled in all countries with the exception of Panama. A very pronounced peak was observed in 2011. Although the severity of food emergencies and the vulnerability of populations have increased overall with the emergence of political conflicts, violence and natural disasters, the level of scarcity differs from one country to another. In four countries, malnutrition affects more than 10% of the population. Only in Costa Rica, this figure falls under 5%. The rural population reaches 41.4% of the overall population<sup>8</sup>. Among the rural population dedicated to family agriculture 6 out of 10 households are struggling with food and nutritional insecurity. Despite several on-going regional programmes, also financed by the EU<sup>9</sup>, 14.2% of the population is malnourished. In order to remedy the situation, the regional authorities are currently working on a regional framework on food security, one of the priorities targeted during the last SICA Summit of Heads of State on 14/12/2012.

The economic growth ranges from 10.5% in Panama to 1.4% in El Salvador in 2011 with a regional average of 4.5%. Although Central America so far did not suffer as much as other regions from the persistent financial crisis, the current trend in most countries is a slight decline in growth with an expected average growth rate of 3.75 – 4.00% for 2012. The share of remittances in the national GDP continues playing a major role in most countries of the

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<sup>5</sup> UNDP, HDI, <http://hdr.undp.org/en/statistics/hdi>

<sup>6</sup> idem

<sup>7</sup> Economic Commission for Latin America (ECLAC)

<sup>8</sup> Joint report of FAO and the *Programa Regional de Seguridad Alimentaria para Centroamérica*: "Centroamérica en cifras – Datos de Seguridad Alimentaria Nutricional y Agricultura Familiar", December 2011

<sup>9</sup> PRESANCA II (Regional programme on food security and nutrition for Central America), PRESISAN (establishment of an information system on food security and nutrition)

region (11 to 17%) with a smaller share in Costa Rica and Panama (1.5 and 1.8% respectively). Despite a 9% decrease in 2009, remittances grew again by 7% in US\$ over 2010 levels in 2011<sup>10</sup> and therefore remain an important factor in the region's economy.

As regards the major trade evolution under the period of review, the main trading partner for the region is by far the United States. The EU ranks in most countries as 3rd partner after intra-regional trade. Despite the challenges associated with the global economic downturn, growth in trade, including intra-regional trade, increased<sup>11</sup>. Since the Central America common market was established in 1960, intra-regional trade grew very dynamically (from 30 million USD in 1960 to 7 billion USD in 2011). All Central American countries registered significant growth in export value between 2010 and 2011. Despite these dynamic exports, in 2011 the region registered a significant negative trade balance of USD 26bn. The principal "culprit" is trade with the US which accounts for half of Central America trade deficit. Although progress in diversifying export products and markets has been achieved, several countries still need to move away from exporting basic agricultural goods towards exporting processed and higher value added products.

Investment flows continue to rise, and more initiatives to support small- and medium-sized businesses (SMEs) exist. It is estimated that the Central America region attracted in total USD 8.2 bn in FDI in 2011 (36% growth comparing to 2010).

The above confirms that although the global economic crisis weakened the region's development, it recovered quicker than other regions due to increasing intra-regional trade, improving performance of domestic markets, and the continuous flow of remittances.

In that context, the Association Agreement<sup>12</sup> between Central America and the EU signed in June 2012, is expected to serve as a catalyst for further deepening economic and political integration in the region by helping building a customs union, harmonizing trade rules, improving logistics and infrastructure, and enhancing regional coordination, as well as boosting trade between Central America and the EU.

### **2.1.2 Common challenges**

Despite its heterogeneous character, the countries of the region face common challenges. These include:

- increasing insecurity: drug trafficking, organized crime and gang violence, domestic violence;
- environmental deterioration and disaster preparedness: overexploitation of natural resources, loss of biodiversity (average loss of 52%) and exposure to the effects of climate change;

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<sup>10</sup> Multilateral Investment Fund (FOMIN), member of the IDB group "Remittances to Latin America and the Caribbean in 2011 – Regaining growth", 2012 (<http://idbdocs.iadb.org/wsdocs/getDocument.aspx?DOCNUM=36723460>)

<sup>11</sup> The most recent figures on the first semester 2012 can be found at the following link:  
<http://www.sieca.int/site/VisorDocs.aspx?IDDOC=Cache/17990000004603/17990000004603.swf>  
Figures shall be compared to DG Trade own statistics.

<sup>12</sup> "Agreement establishing an association between Central America, on the one hand, and the European Union and its Member States, on the other", signed on 29/06/2012

- reducing inequalities, poverty (social integration) despite increased social investment spending in all countries (40-60%) and education coverage;
- fighting hunger and malnutrition;
- stagnation in the improvement of the integration of most vulnerable groups: indigenous people, women;
- urban planning (58.6% urban population, growing trend)<sup>13</sup>.

Notably the high level of insecurity may put at risk the achievements the region has made over the past two decades, namely ending and recovering from civil wars, modest economic growth and advancements in building democratic institutions.

In order to tackle these challenges, governments in the region committed to drive regional integration forward as reflected in the bi-annual presidential declarations and attached action plans adopted at the summits of Head of State in 2011 and 2012. This integration process is articulated around five pillars for action consistent with the common challenges:

1. Democratic regional security (ESCA Regional security strategy for Central America);
2. Disaster management and climate change;
3. Social dimension of regional integration;
4. Economic regional integration;
5. Institutional strengthening (e.g. SICA-Secretariat General overall reform and financing).

These areas of action are coherent with the EU Agenda for Change and hence, the EU regional strategy is concentrating notably on pillars 1, 4 and 5. In the context of the coming EU Multiannual Financial Framework 2014-2020 and the related programming exercise, a full alignment is envisaged. Priorities 1, 2 and 4 are anticipated to be the main areas of action for the next Regional Strategy Paper 2014-2020.

## **2.2 European Union's cooperation with Central America**

The evolution of the EU's cooperation with Central America is marked by the following major political commitments and legal basis:

### ***2.2.1 Policy framework***

The cornerstone of the relations between the EU and Central America is the San José Dialogue. It was launched in 1984 with the objective of seeking solutions to the armed conflicts in the region by means of negotiations. Since then, the EU has made a significant contribution to peace, the democratization process, the socio-economic development of Central America and has supported regional integration.

In 1993, the two regions finalised the EU-Central America Framework Cooperation Agreement and in 2003 the Political Dialogue and Cooperation Agreement.

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<sup>13</sup> Economic Commission for Latin America (ECLAC)

In June 2012 an Association Agreement (AA) between the EU and Central America was signed. The AA comprises three pillars: political dialogue, cooperation, and a free-trade area. This is the first region-to-region agreement to be concluded by the European Union. The AA is expected to be instrumental in giving a boost to regional integration, consolidating democracy, increase trade and investment flows and improving the security situation in Central America.

Regional development and integration are therefore areas in which the EU is committed to invest efforts also in the future. This is also anchored in the 2011 Commission Communication, "Increasing the impact of EU Development Policy: An Agenda for Change". It sets out important new directions in the overall context of development cooperation. It stresses means on how to better address current challenges and deliver greater impact. Relations between the EU and partner countries and regions are based on and will promote shared values of human rights, democracy and the rule of law as well as the principles of ownership and of mutual accountability.<sup>14</sup>

### **2.2.2 Legal framework for development cooperation**

Until 2006 the legal basis for the Commission's development assistance to Central America was the *Council Regulation no.443/92 Asia, Latin America* (also called the ALA Regulation) of 1992. It stressed the need for regional cooperation, stating that "regional cooperation shall be considered a priority area for financial and technical assistance and an important sector for economic cooperation".<sup>15</sup>

Starting with the programming cycle 2007-2013, the new legal basis for cooperation in Central America is the *Regulation of the European Parliament and Council establishing an instrument for Development Cooperation (DCI)*<sup>16</sup>.

### **2.2.3 Cooperation instruments**

From 1984 – 2000, no concrete regional strategy was in place yet. Marked by an unstable and hostile political situation in the whole region, the interventions focused mainly on promoting reconciliation between the different governments of Central America as well as among the various adverse groups within the countries.

In the aftermath of Hurricane Mitch, in 1999 the European Community intervened via the Regional Programme for the Reconstruction of Central America (PRRAC) in water and sanitation, health, housing and education in Honduras, Nicaragua, El Salvador and Guatemala for a total amount of € 250 million.

The first regional strategy for Central America covered the period 2002 – 2006 with an amount of € 74.5 million and focused on three focal cooperation sectors: i) support to the process of regional integration implementation of common policies and institutional

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<sup>14</sup> Council Conclusions "Increasing the Impact of EU Development Policy: an Agenda for Change", 3166<sup>th</sup> Foreign Affairs Council meeting, Brussels, 14 May 2012

<sup>15</sup> An Evaluation of Regulation 443/92 was finalized in 2002, covering the period 1993-2000

<sup>16</sup> Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation



strengthening; ii) strengthening the role of civil society in the process of regional integration and iii) reducing vulnerability and improving environmental management.<sup>17</sup>

After the RSP 2007-2013 mid-term review (MTR), an indicative allocation of €95 million has been dedicated by the EU to Central America for the period 2010-2013 as follows:

- **Strengthening the institutional framework** for regional integration (€ 15 M  $\cong$  15%),  
  
through the project PAIRCA II (*Programa de apoyo a la integración regional Centramericana* – Programme supporting the regional integration in Central America);
  
- **Regional economic integration** (€ 67.5 M  $\cong$  71%), through projects supporting the  
  
integration process, the consolidated customs union and related harmonised policies; creation of a regional system of quality control and the introduction of sanitary and phytosanitary measures; preparation for the implementation of the free trade area under the Association Agreement between the EU and Central America; sustainable development of vulnerable cross-border areas focusing on climate change adaptation, management of natural resources and promotion of sustainable energy;
  
- **Regional security** (€ 12.5 M  $\cong$  14%) by promoting coordination between police,  
  
immigration and customs, cross-border security, in coherence with pillar 1 of the regional development strategy (see under 2.1.2).

The main **cross-cutting issues** under the current RIP are: gender, labour, transparency and good governance.

Other relevant financing available to Central America during the period 2007-2012 includes:

1) *The thematic programmes of the DCI:*

- ✓ Investing in People
- ✓ Environment and Sustainable Management of Natural Resources including Energy
- ✓ Food security
- ✓ Non-State Actors and Local Authorities in development
- ✓ Migration and Asylum
- ✓ Social and Human Development
- ✓ Gender

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<sup>17</sup> See also the evaluation report on the cooperation period 1996-2006:

[http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/2007/1092\\_docs\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2007/1092_docs_en.htm)

2) *Other EU Instruments covering Central America at regional level:*

- ✓ Instrument for the Promotion of Democracy and Human Rights (EIDHR)
- ✓ Instrument for Stability (IfS)
- ✓ EU Food facility

3) *Latin America Regional Programmes:* In most of these programmes, all 6 Central American countries are participating although with a different emphasis.

- ✓ ALBan (High level scholarships to Latin America)
- ✓ ALFA III (Building the future on education)
- ✓ AL-INVEST (support to the internationalisation of Latin American SMEs)
- ✓ @LIS (Promotion of the information society)
- ✓ URB-AL (Encourage experience exchanges between local authorities in Latin America and the EU)
- ✓ EuroSocial II (Social cohesion in Latin America)
- ✓ EUROCLIMA (Climate change regional cooperation programme)
- ✓ PRALCEA (Latin American network of knowledge centres in the water sector)
- ✓ LAIF (Latin American Investment Facility)

### **3 SCOPE**

#### **3.1 Legal, temporal and thematic scope**

##### **3.1.1 Legal scope**

The evaluation should cover the overall engagement with Central America including agreements, political dialogue, the co-operation framework and any other official commitments. This concerns notably all the financing instruments relevant to the region: the DCI (ALA), both the regional and thematic programmes as indicated above; the instruments EIDHR, IfS and the EU Food facility as well as relevant Latin America regional programmes.

The recommendations should also be guided by the proposals set out in the Agenda for Change of 2011 to increase impact in development cooperation. Recommendations should be made taking into account the new programming cycle 2014-2020 and in view of the future implementation of related interventions. Changes in the European Union institutional set-up with the creation of the European External Action Service (EEAS) and their potential impact on EU cooperation with the region should be taken into account.

##### **3.1.2 Temporal scope and evaluation criteria**

The evaluation covers the European Union's co-operation strategy with Central America and its implementation during the period 2007-2012.

The evaluation will assess:

- the relevance and coherence<sup>18</sup> of the European Union's co-operation strategy for the period 2007-2013; in that context the evaluator should also briefly examine to which extent the regional strategy is coherent and complementary to the bilateral strategies per

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<sup>18</sup> For the definition of relevance and coherence as evaluation criterion see annex 5.

country with the view to build conclusions towards the new programming 2014-2020 while keeping the focus clearly on the regional strategy;

- the implementation of the European Union's co-operation, focusing on impact, sustainability, effectiveness and efficiency for the period 2007-2012 and on intended effects for the period under the programming cycle 2007-2013. It should be noted that the implementation of some relevant interventions under the former programming period may still be on-going within the evaluation period and should therefore also be taken into account;
- the consistency between programming and implementation;
- the value added<sup>19</sup> of the European Union's interventions (at both the strategic and implementation levels);
- the 3Cs: coordination and complementarity of the European Union's interventions with other donors' interventions (focusing on EU Member States<sup>20</sup>); and coherence<sup>21</sup> between the European Union's interventions in the field of development cooperation and other European Union policies that are likely to affect the partner region.

### **3.1.3 Thematic scope**

The evaluation should assess the following focal sectors and other important areas of European Union co-operation with Central America:

- Strengthening the regional institutional system;
- Regional economic integration, including the setting-up of a consolidated customs union and the preparation for the implementation of the Association Agreement;
- Regional security including cross-border management, fight against organized crime and prevention;
- Environment, disaster preparedness, mitigation of climate change effects, management of natural resources and promotion of sustainable energy.

Based on the evolving EU cooperation framework, political and policy dialogue should be taken into consideration.

As to the Latin America regional programmes a selection of the most relevant programmes to take into account for this evaluation will take place during the inception phase. Consultants are invited to make reasoned suggestions in their technical offers.

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<sup>19</sup> See annex 5.

<sup>20</sup> Notably Germany and Spain

<sup>21</sup> This definition of coherence refers to its definition under the 3Cs (see annex 5).

The contractor should also consider whether the cross-cutting<sup>22</sup> issues gender, labour, transparency and good governance were taken into account in the programming documents and the extent to which they have been reflected in the implementation modalities.

Interventions funded by the European Commission Humanitarian Office (ECHO) and/or the European Investment Bank (EIB) are not part of the evaluation scope. However, coherence and complementarity between these interventions and the strategy/ies evaluated must be examined.

Donor coordination should be thoroughly analysed, particularly regarding cooperation between the EU and Member States, other donors like the USA, notably in the context of the Regional Security Strategy, and international and regional organisations, such as the Central American Bank for Economic Integration (CA-BEI), the Inter-American Development Bank (IADB) or UNDP (specifically in the framework of programmes such as PAIRCA II, PRESISAN II and PRESISAN). In the context of regional programmes, the EU is collaborating and coordinating very closely with international organisations (IOs). The EU signed a contribution agreement with UNODC for IfS in 2012 and is still managing many projects with IOs such as World Bank, World Food Programme, FAO, UNWTO and UNOPS.

The results of completed evaluations (mid, final or ex-post) covering European Union interventions are important material upon which the Contractor is expected to build, especially the last regional evaluation of 2007, as well as the mid-term review of the Regional Indicative Programme 2007-2013 and country level evaluations<sup>23</sup>.

The possibility to integrate SICA Member States, such as Belize, into the future regional strategy could also be focused by the mission.

The coherence with the neighbouring regional strategy of the EU cooperation with the Caribbean should briefly be examined as regards regional economic integration with a view of future inter-regional coordination in that area.

#### **4 METHODOLOGY AND DELIVERABLES**

The overall methodological guidance to be used is available on the web page of the DG DEVCO Evaluation Unit under the following address:

[http://ec.europa.eu/europeaid/how/evaluation/methodology/index\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/methodology/index_en.htm)

The basic approach to the assignment consists of three *main phases*, which encompasses several methodological stages. *Deliverables* in the form of reports<sup>24</sup> and slide presentations should be submitted at the end of the corresponding stages.

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<sup>22</sup>Cross-cutting issues are those of the European Consensus on Development (Article 101): Human rights; Gender equality; Democracy; Good governance; Children's rights; Indigenous people's rights; Environment sustainability; Combating HIV/AIDS

<sup>23</sup> Inter alia the contractor should build on the last regional evaluation (2007) as well as on the following country level evaluations regarding the Commission's cooperation with: El Salvador (2010), Honduras (2012) and Nicaragua (2009).

<sup>24</sup> For each Report a draft version is to be presented. For all reports, the contractor may either accept or reject through a *response sheet* the comments provided by the Evaluation manager. In case of rejection the contractor must justify (in writing) the reasons for rejection. When the comment is accepted, a reference to the text in the report (where the relevant change has been made) has to be included in the response sheet.

The table below summarises these links:

<i>Evaluation phases:</i>	<i>Methodological stages:</i>	<i>Deliverables<sup>25</sup>:</i>
1. <u>Desk phase</u>	<ul style="list-style-type: none"> <li>• Inception: Structuring of the evaluation</li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Slide presentation</i></li> <li>➤ <i>Inception report</i></li> </ul>
	<ul style="list-style-type: none"> <li>• Data collection</li> <li>• Analysis</li> <li>• Preparation of the field phase</li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Desk report</i></li> </ul>
2. <u>Field phase</u> (Mission in the region)	<ul style="list-style-type: none"> <li>• Data collection</li> <li>• Verification of the hypotheses</li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Slide presentation</i></li> </ul>
3. <u>Synthesis phase</u>	<ul style="list-style-type: none"> <li>• Analysis</li> <li>• Judgements</li> </ul>	<ul style="list-style-type: none"> <li>➤ <i>Draft final report</i></li> <li>➤ <i>Final report</i></li> <li>➤ <i>Executive Summary</i></li> <li>➤ <i>Slide presentation at the dissemination seminar</i></li> <li>➤ <i>Quality control note</i></li> </ul>

All reports will be written in English. The final main report and the executive summary are to be translated into Spanish. The reports must be written in Arial or Times New Roman minimum 11 and 12 respectively, single spacing. Inception and desk reports will be delivered only electronically. The final report will also be delivered in hard copies. The executive summaries in English and Spanish will be delivered separately in electronic form. The electronic versions of all documents need to be delivered in both editable and not editable format.

#### 4.1 The desk phase

The desk phase comprises two components: i) the inception stage covering a ***presentation*** and the delivery of the ***inception report*** and ii) a second stage which ends with the production of the ***desk report***.

The assignment will start with a mission of the Team leader to Brussels for a briefing session.

##### 4.1.1 Presentation of the intervention logic & evaluation questions (Inception meeting)

The contractor shall prepare a ***slide presentation*** including logical diagram(s), the evaluation questions and when possible judgement criteria.

The main work consists in:

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<sup>25</sup> The contractors must provide, whenever requested and in any case at the end of the evaluation, the list of all documents reviewed, data collected and databases built.

- Identifying and prioritizing the co-operation objectives as observed in relevant documents regarding the European Union's co-operation with Central America and translate these specific objectives into intended results.
- Reconstructing the intervention logic of the EU in the framework of its co-operation with Central America. The reconstructed logic of the EU intervention will be shaped into one or more logical diagrams (objective/impact diagrams). The diagrams should be accompanied by a narrative explanation.
- Defining the Evaluation Questions. The logical diagram(s) will help to identify the main evaluation questions which are presented with explanatory comments.

The evaluation questions should be limited to a maximum of ten, covering the seven evaluation criteria: *relevance, effectiveness, efficiency, impact, sustainability* (5 DAC criteria), plus *coherence* and the *European Union's value added*. Besides these evaluation criteria, the evaluation questions will also address: cross-cutting issues and the 3Cs (coordination, complementarity and coherence). More information on the main principles for drafting evaluation questions, on the evaluation criteria and on key issues can be found in Annexes 5 and 6.

An inception meeting will be held with the reference group in Brussels to discuss the *slide presentation* and to validate:

- the intervention logic according to official documents (and using logical diagrams);
- the evaluation questions (and when possible, judgement criteria).

#### **4.1.2 The inception report**

Taking into account the outcome of the inception meeting, the contractor must deliver an *inception report* which should contain the following elements:

- the regional background/context (political, economic, social, etc.) and the cooperation context between the European Union and Central America;
- a concise description of the European Union's cooperation rationale with Central America;
- the intervention logics (both faithful and logically reconstructed) of the European Union's cooperation with the region;
- the validated evaluation questions (upon validation by the Evaluation unit, the evaluation questions become contractually binding); a limited number of appropriate judgment criteria<sup>26</sup> per evaluation question and a limited number of quantitative and/or qualitative indicators related to each judgment criterion;
- an inventory of spending and non-spending activities carried out by the EU during the period to be finalised in the desk report;

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<sup>26</sup> All judgment criteria used should contribute to providing the answer to the respective evaluation question.

- a proposal outlining suitable methods of collection and analysis of data and information, indicating any limitations;
- a detailed work plan for the next phases.

If necessary, the report will also suggest modifications to contractual provisions inter alia for the following points:

- the final composition of the evaluation team; and
- the final work plan and schedule.

#### **4.1.3 The desk report**

Upon approval of the inception report, the contractor will proceed to the last stage of the desk phase and will present a **desk report** which should include at least the following elements:

- the agreed evaluation questions with judgement criteria and their corresponding quantitative and qualitative indicators;
- a first analysis and first elements of answer to each evaluation question and the assumptions to be tested in the field phase;
- the progress in the gathering of data. All basic and documentary data should be collected during the desk phase. The complementary data required for analysis and for data collection during the field mission must be clearly identified. This complementary data should only serve to cross-check and validate the documentary data collected beforehand.
- a comprehensive list of EU activities finalised and a list of activities examined during the desk phase, bearing in mind that activities analysed in the desk phase must be representative<sup>27</sup>;
- the terms of reference of the field mission including i) the methodological design, the evaluation tools to be applied, appropriate methods to analyse the information, indicating any limitations; and ii) a work plan for the field phase: a list with brief descriptions of activities for in-depth analysis in the field and its reasoning. The evaluators must explain their representativeness and the value added of the planned visits.

The scope and the agenda of the field missions contained in the desk report need to be translated into Spanish in order to facilitate the preparation of the field missions.

The contractor will present and discuss the desk report with the reference group in a meeting in Brussels. The report will be finalised on the basis of the consolidated comments received.

The field mission cannot start without the authorisation of the evaluation manager.

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<sup>27</sup> The representativeness must address the different dimensions (percentage of funds, sample size and choice – diversity, illustration of the chosen interventions ...) in order to allow a robust analysis.

## 4.2 The field phase (mission to the region (several countries))

The fieldwork shall be undertaken on the basis set out in the desk report. For this evaluation **field missions** should cover a minimum of 4 countries including Nicaragua, El Salvador and Guatemala. The offers will be based on 5 countries visited by an average of 3 experts each, 5 working man-days per country, representing a total of 105 per diem with an average value of 175 €, considering the same duration of stay in each country. The work plan and schedule of the missions will be agreed in advance (in principle at least three weeks before the mission starts). If in the course of the fieldwork it appears necessary to substantially deviate from the agreed approach and/or schedule, the contractor must ask the approval of the Evaluation manager before any changes can be applied. At the conclusion of the field mission the contractor will present the preliminary findings of the evaluation:

- (1) to the EU Delegation holding the regional responsibility (Nicaragua), during a de-briefing meeting; and
- (2) to the reference group in Brussels with the support of *a slide presentation*.

## 4.3 The synthesis phase

### 4.3.1 The draft final report

The contractor will submit the **draft final report** in conformity with the structure set out in annex 2. Comments received during de-briefing meetings with the EU Delegation and the reference group must be taken into consideration.

The **draft final report** will be discussed with the reference group in Brussels. The offer will be based on a one day presence of 3 experts (inclusive the Team leader) and to include one per diem per expert.

Following the meeting with the reference group, the contractor will make appropriate amendments to the draft final report based on the consolidated comments sent by the evaluation manager.

### 4.3.2 The final report

The contractor will prepare the **final report** taking into account the consolidated comments expressed by the reference group. The final report must be approved by the Evaluation manager before it is printed. The final main report should be translated into Spanish.

20 hard copies each of the English and Spanish language versions of the **final main report** (without annexes) as well as 5 copies of the annexes must be sent to the Evaluation Unit. An electronic support (CD-ROM) should be added to each printed final main report (PDF format).

The evaluators must provide all relevant data gathered during the evaluation in the most appropriate format (electronic or paper). The Evaluation Unit must also receive the executive summary, in both editable and non-editable electronic version in English and Spanish.

The Evaluation Unit will make a formal judgement on the quality of the evaluation in the "Quality Assessment Grid" (see annex 3) to be sent to the contractor before publication.



#### **4.3.3 The dissemination seminar**

The approved final report will be presented at a one-day *dissemination seminar* in El Salvador, headquarter of the SICA General Secretariat, using *a slide presentation*. The purpose of the seminar is to present the results, the conclusions and the recommendations of the evaluation to all the main stakeholders (EU Member States, partner countries' representatives, civil society organisations, European institutions and other donors etc.). The slide presentation is considered as a product of the evaluation. The offer will be based on a one day presence of the Team leader and one key expert as well as 3 per diems per person.

For the seminar, *50 hard copies* of the Spanish version of the main report have to be produced and delivered to the premises of the seminar (the exact number of reports and delivery date will be specified by the evaluation manager). For the purpose of the offer, 50 copies will be quoted but only the number requested will be eligible for payment. The electronic version of the report (inclusive the annexes) will be provided to the Evaluation Manager.

The contractor shall submit *minutes* of the seminar; these minutes as well as the updated slide presentation will be included as an annex of the Final Report. The seminar logistics (room rental, catering etc.) will be covered outside the terms of this evaluation contract. No costs relating to the logistics for the seminar are to be included in the offer.

#### **4.3.4 The quality control note**

The contractor shall submit a *quality control note* explaining how quality control was addressed during the evaluation and how the Consortium has built on lessons learned from previous evaluations (maximum 5 pages).

### **5 RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION**

The Evaluation Unit is responsible for the management and the supervision of the evaluation. The progress of the evaluation will be followed closely by a reference group consisting of members of all concerned services in the Commission and EEAS, as well as the EU Delegation in Nicaragua, holding the regional responsibility, under the Evaluation Unit's chairmanship.

The reference group will:

- discuss draft reports produced by the evaluation team;
- ensure the evaluation team has access to and consults all information sources and documentation on activities undertaken;
- discuss and comment on the quality of work done by the evaluation team;
- provide feedback on the findings, conclusions and recommendations of the evaluation.

### **6 THE EVALUATION TEAM**

The evaluation team as such is expected to possess expertise in:

- **evaluation methods and techniques in general** and, if possible, of evaluation in the field of external relations and development cooperation. At least one member of the team needs to be fully familiar with the Commission's methodological approach (*cf. Evaluation Unit's website*):

[http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm)).

- expertise in the region of Central America;
- the following fields: **regional integration** (from an economic and governance perspective); **trade**; **security**; **environment, management of natural resources**; **disaster preparedness**; **climate change and sustainable energy**;
- the working knowledge (written and verbal) of the following language(s): **English (reporting language) and Spanish**.

The key skills are indicated **in bold**. In their absence, the 80 points threshold may not be reached.

It is expected that the team leader will be an expert of Category Senior.

The team composition should be justified and the team coordination should be clearly described. A breakdown of working days per expert is to be provided.

Evaluators must be independent from the programmes/projects evaluated. Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the Evaluation manager for further analysis and appropriate measures.

The team will have excellent writing and editing skills. The contractor remains fully responsible for the quality of the report. Any report which does not meet the required quality will be rejected regardless of its content.

## **7 TIMING**

The project implementation is due to start in September 2013. The expected duration is of 12 months. As part of the methodology, the framework contractor must fill-in the timetable in the Annex 4.

## **8 OFFER FOR THE EVALUATION**

The offer will be itemised to allow the verification of the fees compliance with the Framework contract terms as well as, for items under h to k of the contractual price breakdown model, whether the prices quoted correspond to the market prices.

The total length of sections 2, 3 and 4 of the technical offer (Framework contract, Annexe 1, section 10.3. b) may not exceed 15 pages (font minimum Times New Roman 12 or Arial 11).

## **9 ANNEXES**

The contracting authority reserves the right to modify the annexes without prior notice.

## **ANNEXES**

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### **ANNEX 1: Indicative documentation to be consulted for the purpose of the evaluation by the selected contractor**

#### **General documentation**

- Council Regulation No 443/92 of 25 February 1992 on financial and technical assistance to, and economic cooperation with the developing countries in Asia and Latin America (ALA)
- Regulation (EC) No. 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation (DCI)
- Communication from the Commission "On a new EU-Latin America partnership on the eve of the 21st century", COM (1999) 105 final
- Communication from the Commission to the Council and the European Parliament "Follow-up to the first summit between Latin America, the Caribbean and the European Union", COM (2000) 670 final
- Framework Cooperation Agreement between the European Economic Community and the Republics of Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama, signed in 1993, entered into force in 1999
- Political Dialogue and Co-operation Agreement between the European Community and its Member States, on the one part, and the Republics of Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama of October 2003
- Association Agreement between the EU and Central America, signed in June 2012
- Other Communications of the European Union on development policy, including the "Agenda for Change" (COM (2011) 637 final) and the "European Consensus on Development" (2006/C 46/01)
- Regulations

#### **Region**

- CRIS<sup>28</sup> (information on the projects), ROM<sup>29</sup> and other databases concerning the financed projects, engagements, payments, etc.;
- Regional Programming for Central America, Regional Strategy Paper 2007-2013
- Regional Indicative Programmes (RIP) 2007-2010 and 2011-2013
- Annual Action Programmes
- Mid-Term Review of the Regional Strategy for Central America (2007-2013)
- Evaluation of the EC Regional Cooperation in Central America (2007)

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<sup>28</sup> Common RELEX Information System

<sup>29</sup> Results Oriented Monitoring

- Country level evaluations regarding the Commission's cooperation with: El Salvador (2010), Honduras (2012) and Nicaragua (2009)
- Joint Communiqués of Ministerial meetings (San José Dialogue)
- EU-Central America Framework Cooperation Agreement, 1993
- EU-Central-America Political Dialogue and Cooperation Agreement, 2003
- Association Agreement between the EU and Central America, signed in June 2012
- Cooperation strategies
- Key regional government planning and policy documents including the Regional Development Strategy and its bi-annual action plans adopted at the summits of Head of State in 2011 and 2012
- Other key regional planning and policy documents including the Regional Security Strategy for Central America (ESCA)
- Relevant documentation provided by the local authorities and other local partners, financial backers, etc.
- Projects evaluation reports
- Relevant documentation provided by the local authorities and other local partners, etc.
- Other donors and OECD/DAC documentation.

The following will be provided to the selected contractor:

- Access to the information contained in the ROM system for an evaluation;
- Template for the cover page.

## **ANNEX 2: Overall structure of the final report**

The overall layout of the **final report** is:

- Executive summary (1);
- Context of the evaluation and methodology;
- Evaluation questions and their answers (findings);
- Conclusions (2); and
- Recommendations (3).

Length: The final main report may not exceed 70 pages (using the same layout as the executive summary) including the cover page, the table of content, the lists of annexes and abbreviations but excluding annexes. The content must have a good balance between the main report and the annexes; each annex must be referenced in the main text. Additional information regarding the context, the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

### (1) Executive summary

The executive summary of the evaluation report may not exceed 5 pages (3.000 words). Experience shows that it is the executive summary which is read most by the wider public. It must therefore present the below elements in a concise and coherent way using clear and simple language. It should be structured as follows:

- a) 1 paragraph explaining the objectives and the challenges of the evaluation;
- b) 1 paragraph explaining the context in which the evaluation takes place;
- c) 1 paragraph referring to the methodology followed, spelling out the main tools used (data on the number of projects visited, number of interviews completed, number of questionnaires sent, number of focus groups conducted, etc.);
- d) The general conclusions related to sectorial and transversal issues on one hand, and the overarching conclusion(s) (for example on poverty reduction) on the other hand;
- e) 3 to 5 main conclusions should be listed and classified in order of importance; and
- f) 3 to 5 main recommendations should be listed according to their importance and priority. The recommendations have to be linked to the 3 to 5 main conclusions.

### (2) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the evaluation criteria.
- The general conclusions related to sectorial and transversal issues and the overarching conclusion(s) (for example on poverty reduction).
- Specific conclusions on each financial instrument indicated in the ToR section "3.1.1. Legal scope". These conclusions will focus on effectiveness, efficiency, added value, complementarity and synergies with other financial instruments.
- The chapter on "Conclusions" must enable to identify lessons learnt, both positive and negative.

### (3) Recommendations

- Recommendations should be substantiated by the conclusions.
- Recommendations have to be grouped in clusters (groups) and presented in order of importance and priority within these clusters.
- Recommendations have to be realistic and operational.
- The possible conditions of implementation (who? when? how?) have to be specified and key steps/action points should be detailed when possible.

### **Annexes (non exhaustive)**

- Regional background;
- Methodological approach;
- Information matrix;
- Monograph, case studies;
- List of documents consulted;
- List of institutions and persons met;
- People interviewed;
- Results of the focus group, expert panel, etc.;
- Slide presentations for the dissemination seminar and the seminar minutes.

### **CONTENT AND EDITING**

The Final report must:

- be consistent, concise and clear;
  - be well balanced between argumentation, tables and graphs;
  - be free of linguistic errors;
  - include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text;
  - contain an executive summary as explained above (in both English and Spanish linguistic versions).
  - be typed in single spacing and printed double sided, in DIN-A-4 format.
- The presentation must be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout).
  - Reports must be glued or stapled; plastic spirals are not acceptable.
  - The contractor is responsible for the quality of translations and their conformity with the original text.

### ANNEX 3: Quality assessment grid

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Good	Very good	Excellent
<b>1. Meeting needs:</b> Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
<b>2. Relevant scope:</b> Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
<b>3. Defensible design:</b> Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
<b>4. Reliable data:</b> To what extent are the primary and secondary data selected adequate? Are they sufficiently reliable for their intended use?					
<b>5. Sound data analysis:</b> Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
<b>6. Credible findings:</b> Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
<b>7. Validity of the conclusions:</b> Does the report provide clear conclusions? Are conclusions based on credible results?					
<b>8. Usefulness of the recommendations:</b> Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
<b>9. Clearly reported:</b> Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?					
<b>Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.</b>					

## **ANNEX 4: Timing**

*To be filled by the contractors and submitted as part of the methodology*

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings/Communications</i>
Desk phase			
Structuring stage	Slide presentation (intervention logic, EQs and 1 <sup>st</sup> set of JC)		RG Meeting
	Draft Inception report		RG meeting
	Final Inception report		
Desk study	Draft Desk report		RG Meeting
	Final Desk report		
Field phase			De-briefing meeting with the Delegation(s)
	Slide Presentation		RG Meeting
Synthesis phase (and dissemination seminar)			
	1 <sup>st</sup> Draft final report		RG Meeting
	2 <sup>nd</sup> Draft final report		
	Final report and other deliverables		Dissemination seminar in the region (El Salvador)

*RG: Reference Group*



## **ANNEX 5: Evaluation criteria and key issues**

(1) Definitions of the **five OECD-DAC evaluation criteria** can be found at the following address:

<http://www.oecd.org/dac/evaluationofdevelopmentprogrammes/daccriteriaforevaluatingdevelopmentassistance.htm>

(2) **Relevance**: the extent to which an intervention's objectives are pertinent to needs, problems and issues to be addressed.<sup>30</sup>

(3) **"Coherence"** is used in two different contexts: as an evaluation criterion and as part of the 3Cs (key issues).

i. *The definitions of coherence as evaluation criteria:*

**Coherence**<sup>31</sup>: the extent to which the intervention logic is not contradictory/the intervention does not contradict other intervention with similar objectives

ii. *Provisions regarding the 3Cs (key issues):*

Development cooperation is a shared competence between the European Community and the Member States. The EU competence on development cooperation was established in law by the adoption of the Maastricht Treaty in 1992. To guide its practical implementation the Maastricht Treaty established three specific requirements: *coordination, complementarity and coherence* – the “*three Cs*”. These commitments are reaffirmed in the "European Consensus for Development"<sup>32</sup>. The legal provisions with regard to the 3Cs remain largely unchanged in the Lisbon Treaty. They offer basic definitions of the various concepts involved as can be seen in the box below.

### **Lisbon Treaty**

*Art. 208 (ex Art. 177 TEC)*

1. "Union policy in the field of development cooperation shall be conducted within the framework of the principles and objectives of the Union's external action. The Union's development cooperation policy and that of the Member States complement and reinforce each other.

Union development cooperation policy shall have as its primary objective the reduction and, in the long term, the eradication of poverty. The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries."

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<sup>30</sup> Evaluating EU activity - Glossary p.101 (Relevance, p. 108):

[http://ec.europa.eu/dgs/secretariat\\_general/evaluation/docs/eval\\_activities\\_en.pdf](http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/eval_activities_en.pdf).

While, according to the DAC Glossary the **relevance** is the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. The terms '**relevance and coherence**' as European Union's evaluation criteria cover the DAC definition of 'relevance'.

<sup>31</sup> Evaluating EU activity - Glossary p.101 (Coherence: p.102):

[http://ec.europa.eu/dgs/secretariat\\_general/evaluation/docs/eval\\_activities\\_en.pdf](http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/eval_activities_en.pdf)

<sup>32</sup> (2006/C 46/01)

*Art, 210 (ex Art, 180 TEC)*

1. "In order to promote the complementarity and efficiency of their action, the Union shall coordinate their policies on development cooperation and shall consult each other on their aid programmes, including in international organisations and during international conferences. They may undertake joint action. Member States shall contribute if necessary to the implementation of Community aid programmes.

2. The Commission may take any useful initiative to promote the coordination referred to in paragraph 1."

**Coordination:** In EC policy documents the distinction is made between three levels of coordination: (i) policy coordination; (ii) operational coordination and (iii) coordination in international forums.

**Complementarity:** The obligation to ensure complementarity is a logical outcome of the fact that development cooperation is a shared competence between the EC and the Member States. Over time, the concept was linked to a better distribution of roles between the Commission and the Member States on the base of their respective comparative advantages. This interpretation is also the basis for the Code of Conduct on Complementarity (2007) emphasizing the need for a „division of labour“ (DOL) between the various European actors in delivering aid.

**Coherence:** One such typology distinguishes between (i) coherence/incoherence of European development policy itself; (ii) coherence/incoherence with the partner region's policies; and (iii) coherence/incoherence between development co-operation policies and policies in other fields<sup>33</sup>.

(4) **Value added of the European Union's interventions:** The criterion is closely related to the principle of subsidiarity and relates to the fact that an activity/operation financed/implemented through the Commission should generate a particular benefit.

There are practical elements that illustrate possible aspects of the criterion:

- 1) The European Union has a particular capacity, for example experience in regional integration, above that of EU Member States.
- 2) The European Union has a particular mandate within the framework of the '3Cs' and can draw Member States to a greater joint effort.
- 3) The European Union's cooperation is guided by a common political agenda embracing all EU Member States.

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<sup>33</sup> In recent years, the concept of „policy coherence for development“ (PCD) has gained momentum, in the European Consensus (2005) PCD was defined as “ensuring that the EU takes account of the objectives of development cooperation in all policies that it implements which are likely to affect developing countries, and that these policies support development objectives.” (par. 9).

## **ANNEX 6: Principles regarding the drafting of evaluation questions**

### **Main principles to follow when preparing evaluations questions (EQs)**

- (1) Limit the total number of EQ to 10 for each evaluation.
- (2) In each evaluation, more than half of EQs should cover specific actions and look at the chain of results. Avoid too many questions on areas such as cross cutting issues, 3Cs and other key issues, which should be covered as far as possible in a transversal way, introducing for example specific judgement criteria in some EQs.
- (3) Within the chain of results, the EQs should focus at the levels of results (outcomes) and specific impacts.
  - Avoid EQs limited to outputs or aiming at global impact levels.
  - In the answer to EQs, the analysis should cover the chain of results preceding the level chosen (outcomes or specific impacts).
- (4) EQs should be focused and addressing only one level in the chain of results.
  - Avoid vague questions where follow-up questions are needed (questions à tiroirs).
  - Avoid questions dealing with various levels of results (for example looking at outcomes and specific impacts in the same EQ).
- (5) The 7 evaluation criteria should not be present in the wording of the EQs.
- (6) General concepts such as sustainable development, governance, reinforcement, etc. should be avoided.
- (7) Each key word of the question must be addressed in the answer.
  - Check if all words are useful.
  - Check that the answer cannot be yes or no.
  - Check that the questions include a word calling for a judgement.
- (8) Every EQ must be accompanied by a limited number of judgement criteria; some of them dealing with cross cutting and some key issues (see point 2 above).
- (9) A short explanatory comment should specify the meaning and the scope of the question.



## **Annex 3 : Analysis of the Regional Cooperation with Central America**

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This section is an overview of the development cooperation assistance that has been provided to the region and its integration process by the EU and other donors. It first presents the EU support to the Central America region through regional strategies (RSP) as well as through others EU funding instruments (DCI), throughout the 2007-2013 period. Then, for comparison with the total regional aid, we look at EU bilateral aid (CSP) to the members of the region. Then this chapter will analyse the support from other multilateral and bilateral donors over the same period, at the regional level only.

### **Regional development assistance to Central America from the EU**

#### **The general framework for EU development cooperation**

The European Community's development cooperation is based on Article 177 of the Treaty Establishing the European Community. The Article requires for EU cooperation to foster the sustainable economic and social development of developing countries, the smooth and gradual integration of these countries into the global economy and the fight against poverty. In addition, the European Community is tasked to use its development policy and cooperation to contribute to the development and consolidation of democracy and the rule of law in partner countries, and to an increased respect for human rights and fundamental freedoms.

In November 2005 the Council, the representatives of the Governments of the Member States, the European Parliament and the Commission approved "The European Consensus on Development". For the first time in the history of EU development cooperation, this Consensus provided a common vision for development cooperation of both Member States and actors at the Community levels. It states that the prime objective of Community development policy is the eradication of poverty in the context of sustainable development, including pursuit of the Millennium Development Goals (MDGs), along with the promotion of democracy, good governance and respect for human rights. In line with the principles espoused in Article 177 of the Treaty Establishing the European Community, the Consensus also stresses the importance of partnership with the developing countries and of promoting good governance, human rights and democracy with a view to more equitable globalisation.

The Consensus also reaffirms the commitment to promote policy coherence for development, i.e., to take into account the objectives of development cooperation in all policies that are likely to affect developing countries, and to ensure that these policies

support the development objectives of the EU. It reiterates the principle of ownership of development strategies and programmes by partner countries and advocates enhanced political dialogue plus a more prominent role for civil society in development cooperation.

### **The specific framework for EU cooperation with Latin and Central America**

In December 2006, the European Community created a new Development Cooperation Instrument (DCI), on the basis of Article 179 of the above-mentioned Treaty, establishing the European Community. Central America is eligible to participate in cooperation programmes financed under the DCI.<sup>1</sup>

In 2004, delegates of the 2004 Guadalajara Summit between Latin America, the Caribbean and the EU agreed that EU cooperation should emphasize multilateralism, regional integration and social cohesion (reducing poverty and combating inequalities and exclusion) as the main priorities for policy dialogue and cooperation. These objectives were to be turned into specific programmes of action in Central America through country-level initiatives for social cohesion and regional-level initiatives for regional integration.

In December 2005, in its Communication on “A reinforced European Union-Latin America partnership”, the Commission restated its aim of a strategic partnership with the entire region and stressed the need for policy dialogues, targeted cooperation, promotion of trade and investment and closer alignment of cooperation with the political agendas and needs of recipient countries.

In addition, EU cooperation with Central America has been shaped by the San José Dialogue, launched in Costa Rica in 1984, which has remained the principal channel for political dialogue between the two regions. Originally, this annual dialogue was set up to support the peace processes and efforts of democratization in the region. However, subsequently, the Dialogue was expanded to include other issues, such as economic and social development. In 1993, the six Central American countries and the Commission signed a Regional Development Cooperation Framework Agreement that eventually came into effect in 1999. This “third generation” agreement covered cooperation in a broad range of sectors and provided for the establishment of a Joint Committee to oversee its implementation along with subcommittees for detailed examination of specific sectors under the Agreement.

In December 2003 a new Political Dialogue and Cooperation Agreement was signed by the EU and CA. Its ratification by all signatories was concluded in December 2011. The Agreement institutionalises the San José Dialogue and expands cooperation to include areas such as migration and counter-terrorism.

In addition, the 2003 Cooperation Agreement also opened the door to begin the preparatory work for a more comprehensive Association Agreement between the two

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<sup>1</sup> European Parliament and Council Regulation (EU) No. 1905/2006 of 27 December 2006 establishing a financial instrument for development cooperation.

regions, which had been established as a common strategic objective at the EU-Latin American Countries Summit in Guadalajara of May 2004. At the Vienna Summit in May 2006, and based on the positive outcome of a joint evaluation of the regional economic integration in Central America carried out during 2005 and 2006, the Heads of State and Governments of the European Union and of Latin America and the Caribbean decided to launch negotiations of an Association Agreement between the EU and CA, including a free trade area. On that occasion, Central America reaffirmed its commitment to enhance the economic regional integration, including the establishment of a customs union.

Negotiations for the EU-CA Association Agreement (AA) were concluded in 2010, during the EU-LAC Summit in Madrid, resulting in the first region-to-region agreement concluded by the EU. The AA covers political dialogue, cooperation, and trade-related issues of the EU-CA relationship. On the side of the EU, expectations were that the Agreement would help to boost regional integration, the consolidation of democracy, and an improvement of the security situation in Central America. The AA was initialled in Brussels in March 2011 and signed in June of 2012. Ratification of the agreement continued until 2013, when the first of its parts became operational.

## **Rationale of EU cooperation with Central America**

The rationale of EU cooperation for the period from 2007 until 2013 is grounded in the main priorities and principles that had emerged out of the political dialogue of the European Union with Central America, and Latin America overall. The Regional Programming Document for Latin America (2007 – 2013)<sup>2</sup> had specifically pledged to seek greater linkages between political priorities as decided at the cooperation summits, and the objectives of regional cooperation. In keeping with this pledge, the objectives of EU technical cooperation for that period were formulated to respond to the priorities for policy dialogue and cooperation that had been agreed during the 2004 Guadalajara Summit, namely multilateralism, regional integration and social cohesion.

## **Quantitative analysis of EU regional assistance to Central America**

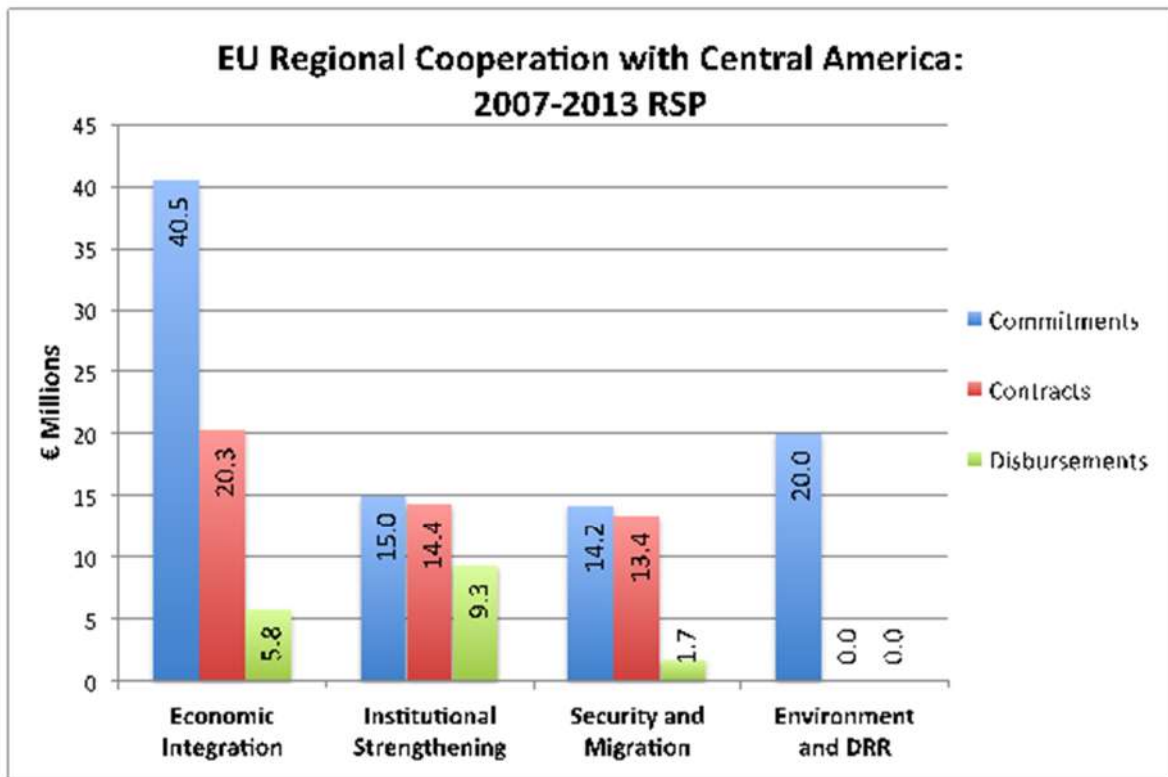
### *EU regional assistance under the 2007-2013 RSP*

As to EU assistance to Central America at regional level, and in order to have an overall view of regional interventions under the 2007-2013 Regional Strategy Paper (RSP), we looked at all committed amounts under the RSP over the entire period, either already disbursed, or to be disbursed, that is to say, committed but still under formulation. So below is presented the sum of all disbursed amounts under the RSP - already funded and effectively implemented - to which are added committed amounts - projects or programmes that are being developed and approved under the RSP, but not yet disbursed.

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<sup>2</sup> European Commission: Regional Programming Document Latin America 2007 – 2013, 12.07.2007 (E/2007/1417).

Figure 1: EU regional assistance under the 2007-2013 RSP



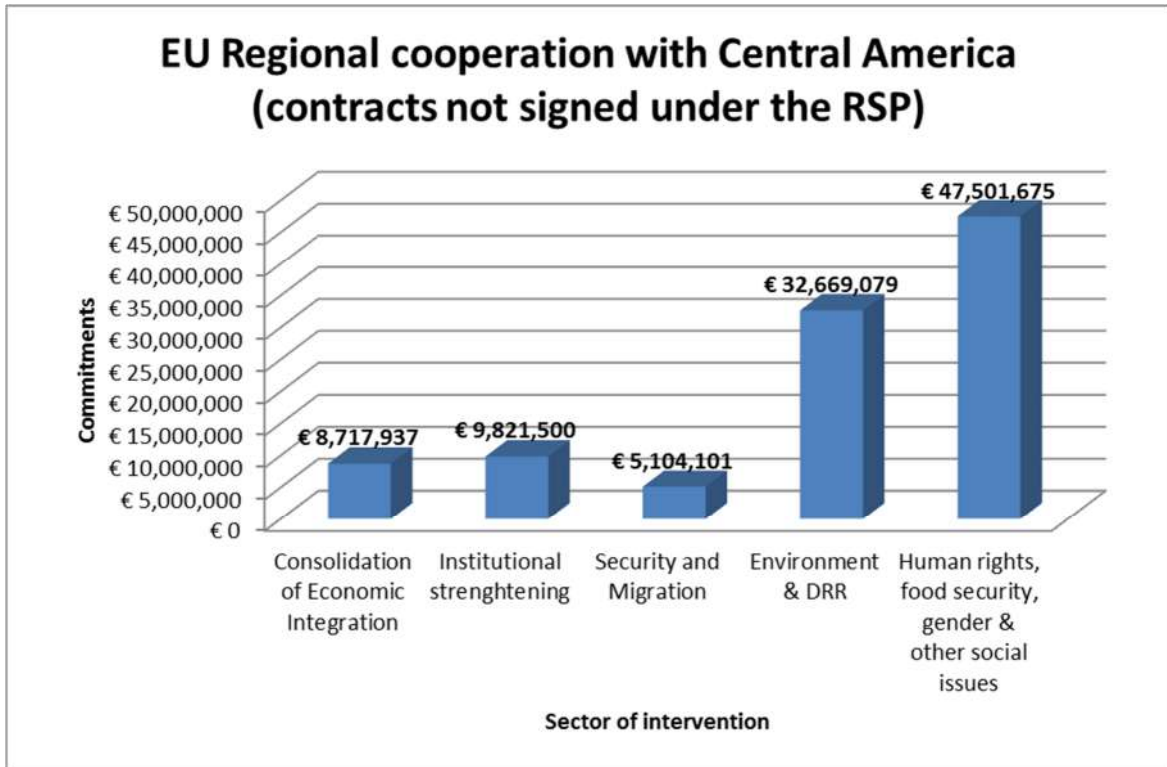
### *EU Regional assistance to Central America through other budgetary lines*

In addition to the three focal sectors (see above) emphasized in the RSP, the EU provided assistance in a number of other areas, partly financed under its geographic cooperation, and partly through the diverse thematic and regional budget lines.<sup>3</sup>

<sup>3</sup> Some regional assistance analysed in this section might have been decided before 2007 but have been effectively disbursed after 2007, and are therefore included in this analysis (i.e. PRESANCA I, PREVDA, CONSUAC).



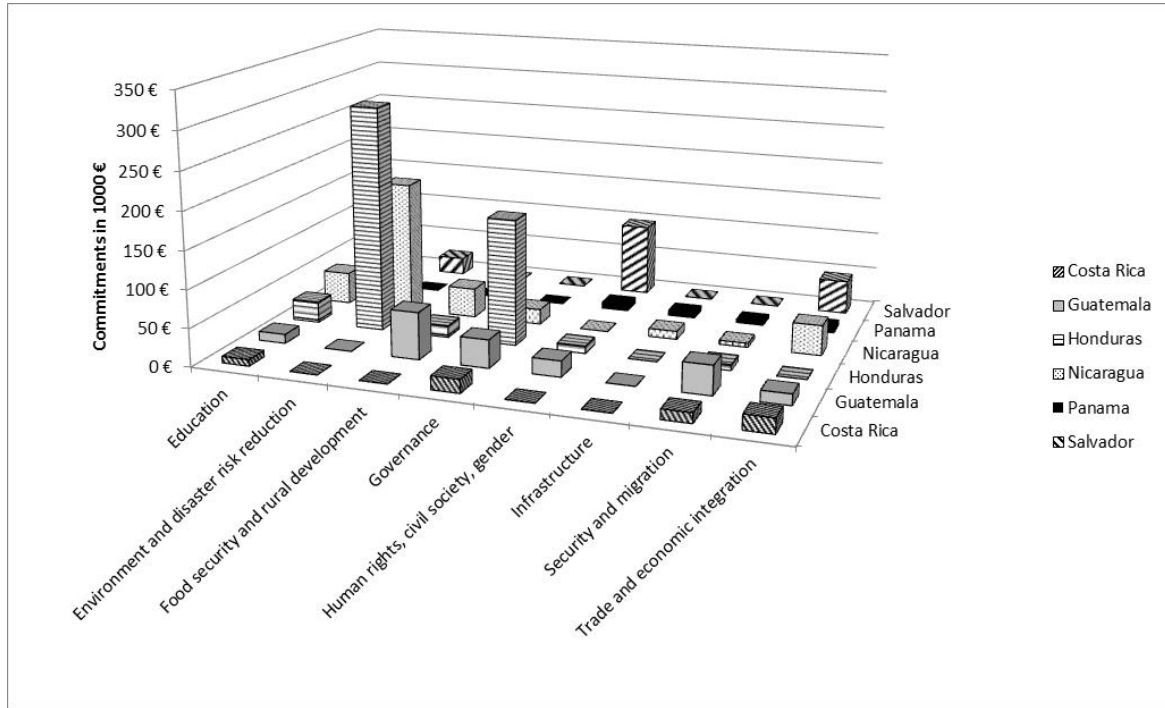
**Figure 2: EU regional cooperation with Central America other than RSP, 2007 - 2013**



### **Bilateral development assistance to Central America countries from the EU**

Between 2007 and 2013, total amount committed by the EU for bilateral cooperation with Central America countries was about € 1.328 million, showing that bilateral cooperation remains the preferred cooperation instrument in the region. Bilateral cooperation with Central American countries is much more diverse than the regional cooperation, as shown in the diagram below (for a list of all bilateral cooperation projects with Central America see Annex 9 and for a description of the focal sectors of bilateral cooperation see Annex 7 in Volume 3 to this report).

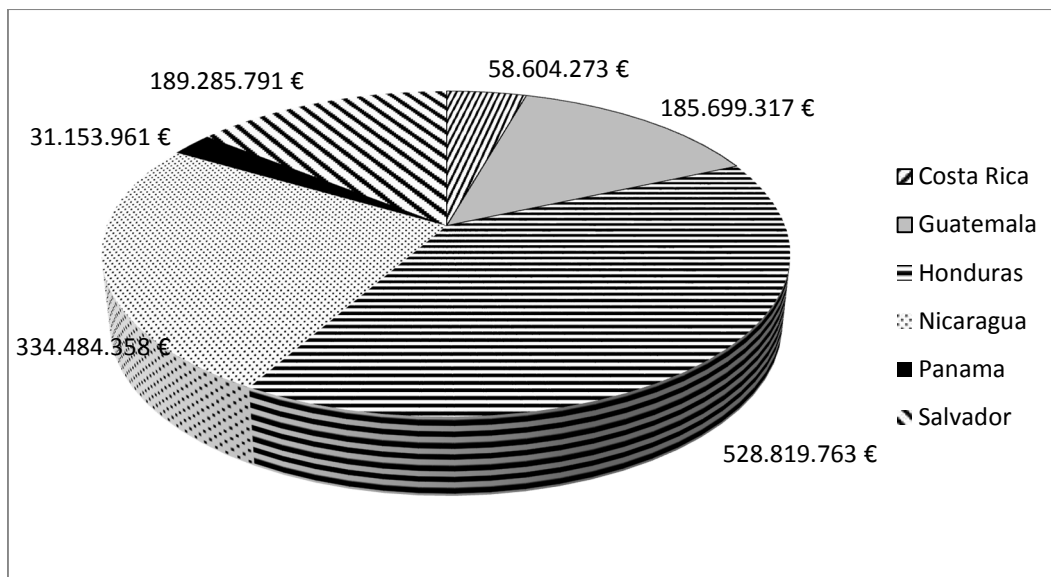
**Figure 3: EU bilateral cooperation with Central America, committed amounts by sector, 2007 - 2013**



EU bilateral cooperation commitments 2007-2013	Costa Rica	Guatemala	Honduras	Nicaragua	Panama	Salvador
Education	8.500.000 €	12.000.000 €	28.044.187 €	42.515.681 €	0 €	25.000.000 €
Environment and disaster risk reduction	0 €	0 €	300.100.000 €	176.449.981 €	0 €	23.128.223 €
Food security and rural development	0 €	62.300.000 €	15.861.632 €	39.229.946 €	0 €	0 €
Governance	17.704.273 €	37.274.730 €	167.171.500 €	20.252.736 €	0 €	0 €
Human rights, civil society, gender	0 €	21.031.431 €	10.000.000 €	0	10.000.000 €	96.155.363 €
Infrastructure	0 €	0 €	0 €	10.855.065 €	7.845.083 €	0 €
Security and migration	13.000.000 €	38.579.662 €	7.642.444 €	5.350.000 €	5.480.499 €	0 €
Trade and economic integration	19.400.000 €	14.513.494 €	0 €	39.830.949 €	7.828.378 €	45.002.205 €
<b>Total</b>	<b>58.604.273 €</b>	<b>185.699.317 €</b>	<b>528.819.763 €</b>	<b>334.484.358 €</b>	<b>31.153.961 €</b>	<b>189.285.791 €</b>

EU bilateral cooperation with Central America is also very diverse as to beneficiaries' countries. The EU committed from € 185 million to € 528 million during the period to Guatemala, El Salvador, Nicaragua and Honduras, while commitments to Panama and Costa Rica reached respectively € 31 million and € 58 million.

**Figure 4: EU bilateral cooperation with Central America, committed amounts by country, 2007 - 2013**



### **Regional development assistance to Central America from other donors**

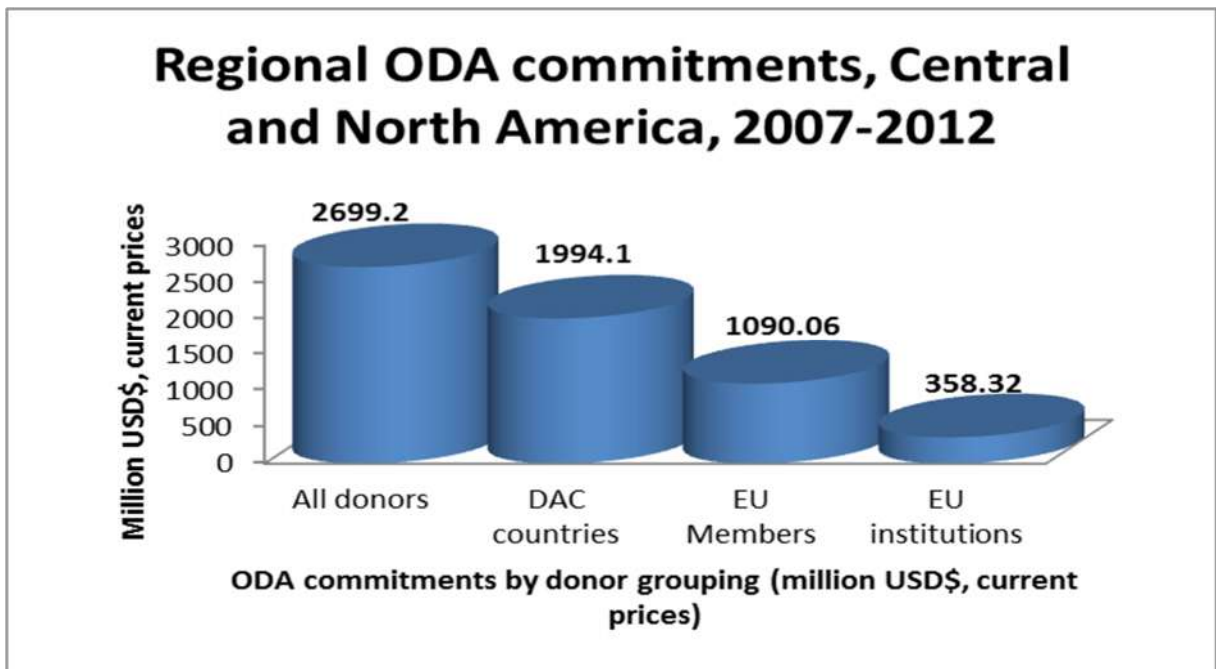
Regional cooperation is only a small part of the overall official development assistance that has been given to Central America over the time period covered by this evaluation. According to OECD/ DAC data, regional aid commitments to Central and North America (thus including Mexico)<sup>4</sup> accounted for only 15 percent of the total ODA for the six Central American countries included in this evaluation.<sup>5</sup>

EU assistance has accounted for about 14 percent of total regional ODA commitments to Central and North America over the 2007 – 2012 time period, and for about 32 percent of regional commitments from EU Member States.

<sup>4</sup> The OECD/ DAC database (<http://www.oecd.org/dac/stats/idsonline.htm>) does not provide data on regional cooperation for Central America online, but only for Central and North America, thus including Mexico.

<sup>5</sup> According to OECD/ DAC data, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama were received commitments of US\$ 13.27 billion dollars in ODA over the period from 2007 to 2011 (data for 2012 were not yet available).

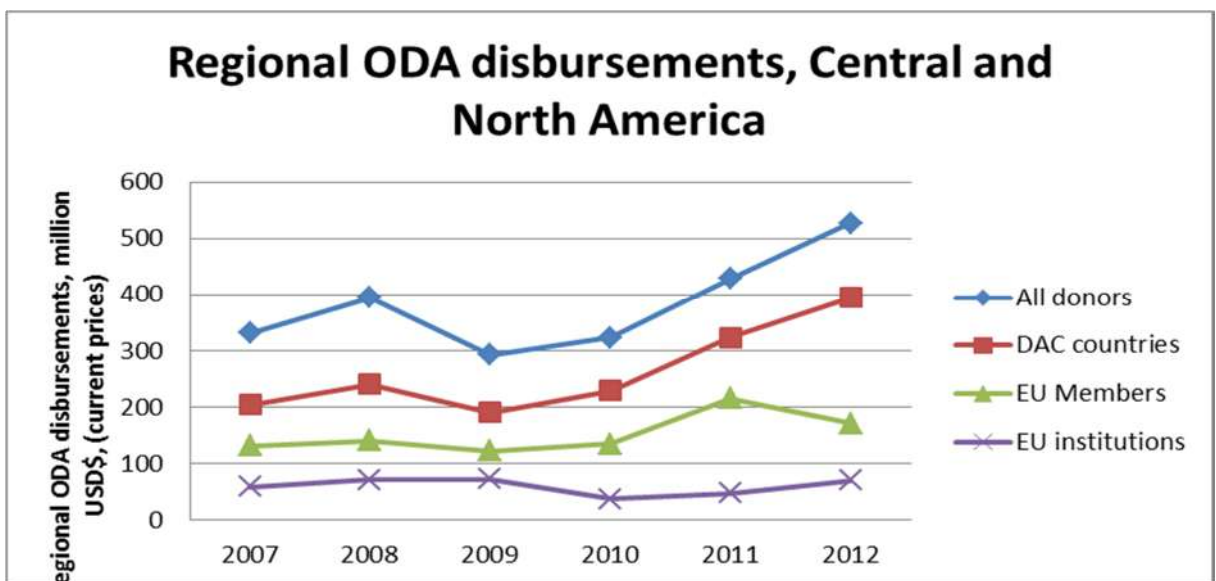
Figure 5: Regional ODA commitments, Central & North America, 2007 - 2012



Source: OECD/ DAC Aid Statistics (<http://www.oecd.org/dac/stats/idsonline.htm>), extracted: 03.01.2014

In terms of disbursements, total ODA flows to Central and North America have increased by about 60 percent between 2007 and 2012, from approximately US\$ 331 million in 2007 to US\$ 528 million in 2012. Annual disbursements of EU regional assistance have fluctuated slightly; from a high of US\$ 73 million in 2009 to a low of US\$ 38 million in 2010.

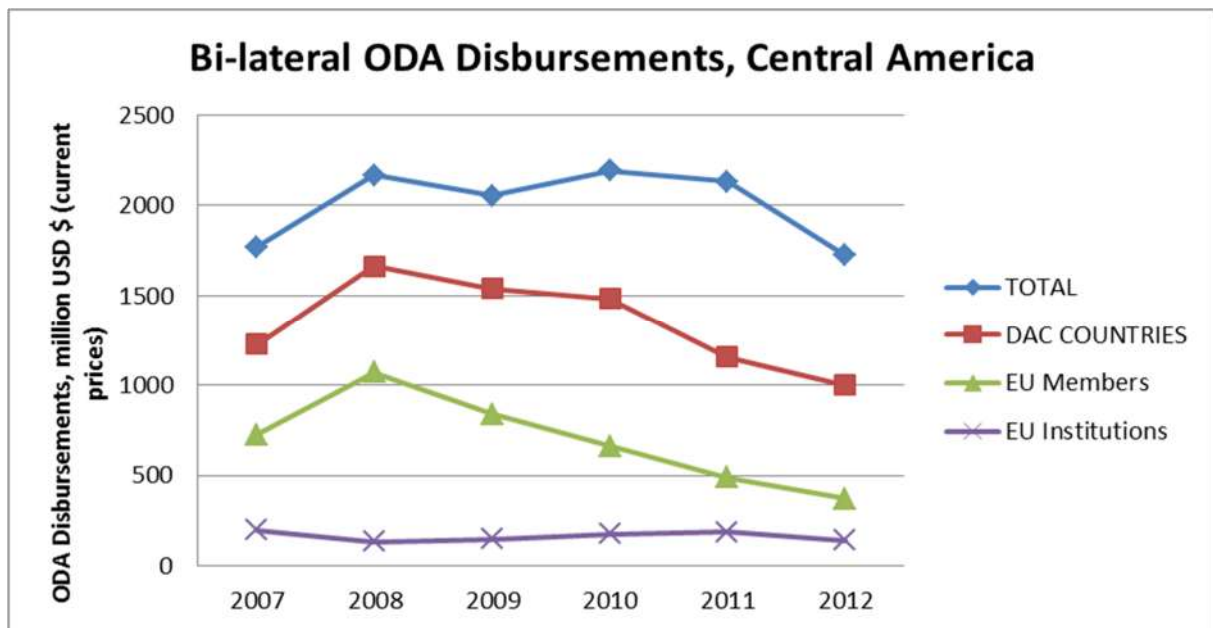
Figure 6: Regional ODA disbursements, Central & North America, 2007 – 2012



Source: OECD / DAC Aid Statistics (<http://www.oecd.org/dac/stats/idsonline.htm>), extracted: 03.01.2014

Over the same period, total disbursements of bilateral ODA to the six countries included in this evaluation<sup>6</sup> overall remained stable, with an increase in 2010 that was compensated by a drop in 2012. At the same time, disbursements of ODA to the same group of countries by EU Member States have declined, from about US\$ 1.7 billion in 2008 to approximately US\$ 370 million in 2012. Disbursements of bilateral support from the EU have declined significantly over these years by about 30 percent between 2007 and 2012 (from approximately US\$ 196 million in 2007 to US\$ 141 million in 2012).

**Figure 7: Bilateral ODA disbursements to selected Central American countries<sup>7</sup>, 2007 – 2012**



Source: OECD / DAC Aid Statistics (<http://www.oecd.org/dac/stats/idsonline.htm>), extracted: 03.01.2014

<sup>6</sup> Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama.

<sup>7</sup> Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama

## Summary of the EU cooperation rationale and analysis of the intervention logic 2007 - 2013

The following section presents a description and analysis of the rationale of the EU cooperation with Central America, and of the intervention logic of the EU, covering the period from 2007 until 2013.

### Analysis of the Intervention Logic, 2007 – 2013

In order to refine the scope of this regional evaluation, i.e. by development a set of evaluation questions, corresponding judgment criteria and indicators, our evaluators examined the intervention logic of the EU cooperation strategy for the evaluation period. This analysis progressed through two separate phases:

- An examination of the main components of the EU strategy, faithful to the formulation of the strategic documents themselves, without an examination of the logical consistency of the strategy. Section 0, Section 0 and Section 0 present and describe the main components of the EU cooperation strategy, as they were presented in the respective strategic documents.<sup>8</sup>
- The logical reconstruction of the intervention logic of EU cooperation with Central America, by examining the logical consistency of the strategy, and the coherence between its components. Figure 8 below is a result of this logical reconstruction. It provides an overview of the overall strategy, and puts its individual components into the context of the overall cooperation. Section 0 then presents some observations that have resulted from the analysis and logical reconstruction of the EU cooperation strategy.

### Main components of the intervention logic of EU cooperation, 2007 – 2013

In line with the rationale for EU-Central American cooperation between 2007 and 2013, the Regional Strategy for Central America of the European Union centred on one main objective: to support the process of political, economic and social integration in order to facilitate the negotiations and the eventual signing of the Association Agreement (AA) between the EU and CA. With this objective in mind, the EU committed its *geographic cooperation* to the following focal sectors thematic areas:

- 1) The EU pledged to support the **strengthening of the institutional system for regional integration system**, namely the SICA system of agencies. The assistance was intended to help reinforce the capacity of selected SICA agencies (e.g., SG-SICA<sup>9</sup>, PARLACEN<sup>10</sup>, CC-SICA<sup>11</sup>, the Court of Justice, and other institutions directly

<sup>8</sup> The 2007 – 2013 Regional Strategy Paper, the 2010 Mid-Term Review of the RSP, and the associated second Regional Indicative Programme for EU-Central American Cooperation, and selected programme documents.

<sup>9</sup> *Secretaría General del Sistema de la Integración Centroamericana.*

<sup>10</sup> Central American Parliament.

involved in regional integration), improve coordination between agencies, and help to consolidate the legal bases of the system, facilitate the development of effective financing mechanisms, and help develop the technical competence and human resources. Key interventions in this regard were *PAIRCA I* and *PAIRCA II*.<sup>12</sup>

- 2) EU support was also supposed to help **enhance the economic integration of Central America**, namely by facilitating the creation and consolidation of the Central American Customs Union, and by helping to put in place other policies to strengthen the common market in CA to help remove non-tariff barriers to trade. The later area included support to the development of a World Customs Organisation (WCO) Framework of Standards to secure and facilitate global trade; sanitary and phytosanitary (SPS) measures, the development of a regional approach to technical regulations on goods (based on international standards) to promote the free movement of goods across the region. The most important interventions in this sector included the “*Programa Regional de apoyo a la integración económica centroamericana y a la implementación del Acuerdo de Asociación*” (PRAIAA) (aimed, among other things at the institutional strengthening of SIECA), the “*Programa de Apoyo a la Creación de un Sistema Regional de Calidad y a la Aplicación de Medidas Sanitarias y Fitosanitarias en Centroamérica*” (PRACAMS), the programme “*Apoyo al desarrollo del sector privado en Centroamérica*” (ADESEP) and the programme “*Consolidación de la Unión Aduanera Centroamericana*” (CONSUAC).
- 1) Lastly, the EU pledged to support **improvements in regional governance and security matters**, to help mitigate negative impacts from increased free movement of goods, capital and persons across the region and across borders. Important EU-financed programmes in this area include the “*Programa Regional de Seguridad Fronteriza en América Central*” (SEFRO) and the “*Programa de Apoyo a la Estrategia de Seguridad de Centroamérica*”.

In addition to the three focal sectors (see above) emphasized in the RSP, the EU provided assistance in a number of other areas, partly financed under its geographic cooperation, and partly through the diverse thematic and regional budget lines:

- 2) The European Union has supported several interventions to help **improve the food security situation in Central America**. Regional support complemented the significant bilateral assistance the EU had provided to individual countries in the region.<sup>13</sup>
- 3) The EU also has supported **disaster risk reduction and integrated risk management (largely with regard to environmental disasters)** through a variety of interventions. The largest programme, the “*Programa Regional de Reducción de la Vulnerabilidad y Degradación Ambiental*” (PREVDA, € 24.3 million) was designed to help create a strategic and operational alliance between SICA agencies related to Risk

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<sup>11</sup> *Comité Consultivo del Sistema de la Integración Centroamericana*

<sup>12</sup> For information on volume and implementation period of the respective programmes and projects, please consult Annex 8 in Volume 3 of this report.

<sup>13</sup> At national level, the EU had made significant financial commitments in food security in Guatemala (Rural development and food security, approx. € 25 million; Sectoral budget support food security (approx. € 33.8 million; additional support through thematic budget line), Honduras (food security budget support, approx. € 14 million), and Nicaragua (PRODESA, € 6.5 million).

Management (CEPREDENAC<sup>14</sup>), Integrated Management of Water Resources (CRRH<sup>15</sup>) and Environmental Management (CCAD<sup>16</sup>). In addition, PREVDA also financed institutional strengthening in relevant institutions at national level, and aimed at promoting integrated river basin management at local level. Other, smaller project, financed in part under the Environmental and Natural Resources Thematic Programme (ENTRP) of the EU aimed at promoting appropriate sustainable resource management practices in selected (cross-border) areas of Central America, such as the Golfo de Fonseca (bordering El Salvador, Honduras and Nicaragua), or the Coco River Basin on the border between Honduras and Nicaragua.

### ***Changes to the EU strategy after the 2010 Mid-Term Review of the RSP***

The mid-term review of the implementation of the 2007 – 2013 RSP (2010) found that certain aspects of the situation in Central America had shifted sufficiently to warrant a realignment of the European support strategy. In particular the economic crisis and associated job losses, increasing environmental concerns linked to effects from climate change and the precarious security situation in the region were seen to increase the social and environmental vulnerability of the Central American societies. The EU concluded that it was necessary to help Central American stakeholders to make social, economic and environmental benefits of regional integration more concrete by helping to address some of the social and environmental concerns in the region, focusing in particular on specific cross-border regions.

While the EU decided that it was not necessary to provide additional funds to support institutional strengthening of regional integration organisations (i.e., in particular SICA)<sup>17</sup>, the EU nonetheless increased the financial volume available under the second Regional Indicative Programme (RIP) from originally € 31 million to € 51 million.

€ 44 million of this money were assigned to the support of regional integration, in part to continue the work on economic integration that had begun under the first RIP of the 2007 – 2013 RSP. However, to respond to the increased social and environmental vulnerability in the region, the EU complemented its focus on economic integration with a second cluster of issues, evolving around the sustainable development of vulnerable (cross-) border areas; with a focus on climate change adaptation, management of natural resources, and promotion of sustainable energy. The major programme associated with this focal area for the second RIP is the “*Programa de desarrollo local integral transfronterizo de Golfo de Fonseca*” (GOLFONSECA), with a financial volume of € 20 million.

€ 7 million of the funds of the second RIP were committed to support regional security, focusing on the border areas of the region. According to the RIP, the specific objectives of this component included, among other things, the improvement of the availability and

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<sup>14</sup> *Centro de Coordinación para la Prevención de los Desastres Naturales en América Central*

<sup>15</sup> *Comité Regional de Recursos Hídricos.*

<sup>16</sup> *Comisión Centroamericana de Ambiente y Desarrollo*

<sup>17</sup> PAIRCA II had already been funded with resources from the first Regional Indicative Programme.



exchange of intelligence on cross-border movements; the strengthening of cooperation between the authorities in charge of cross-border control (customs, police, justice) and law enforcement agencies of Central American countries (as well as related human resource development). The main programmes associated with this component are the SEFRO – *Programa Regional de Seguridad Fronteriza en America Central and CASAC (Apoyo a la lucha contra la tenencia ilícita y trafico de armas de fuego en Centro America y Paises Vecinos)*. After the Guatemala Conference € 14 million were committed to assist Central American stakeholders with the implementation of the Central American Security Strategy that had been adopted in 2011 and were dedicated to support the two pillars, institutional strengthening and the prevention of violence, as part of the “*Programa de Apoyo a la Estrategía de Seguridad de Centroamérica*”.

### **Main cross-cutting issues of the EU regional strategy 2007 – 2013**

The RSP 2007 – 2013 emphasized that cooperation between the EU and CA should be based on a set of four main cross-cutting issues:

- 1) The principle of social equality, and the promotion of equal opportunities and avoidance of exclusion of particular groups from social or economic opportunities;
- 2) Environmental sustainability, being aware of the repercussions that natural disasters have had for Central American societies; the extraordinary biodiversity of the region, and the environmental vulnerability of its eco-systems;
- 3) Support to civil society, enhancing its participation in political and societal matters surrounding regional integration, in order to increase its ownership of the integration process;
- 4) Migration, justice and home affairs; helping to reduce the vulnerabilities of people to human trafficking, illegal migration and other sources of insecurity.

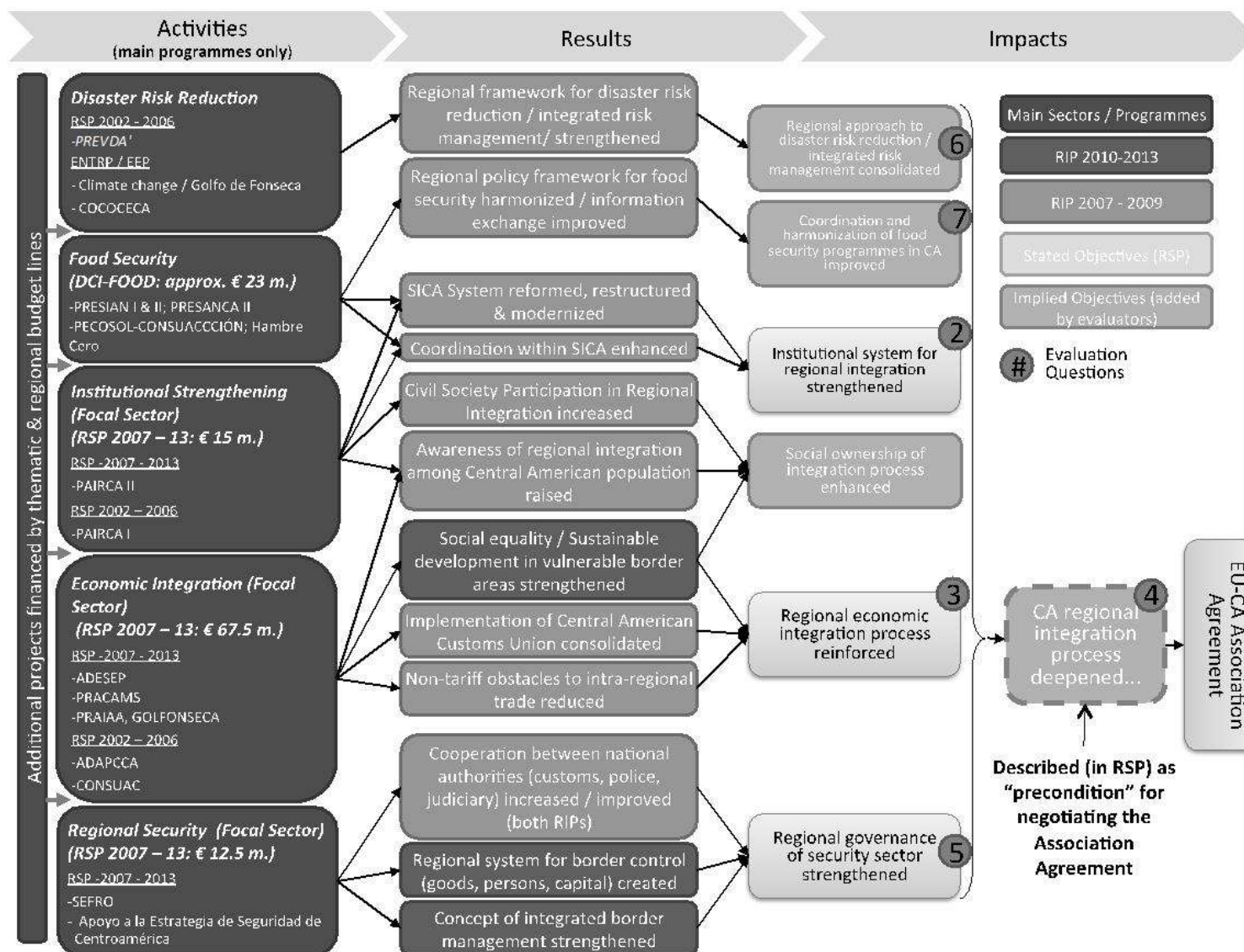
Other concerns mentioned as cross-cutting issues are decentralisation, promotion of information technology, the fight against corruption, promotion of and respect for human rights (such as children’s rights, indigenous people, core labour standards, etc.) and HIV/AIDS and sexual and reproductive health.

The RIP for the period 2011- 2013 also provides a comprehensive list of different cross-cutting issues of EU cooperation:

- *Gender, labour and other human rights, transparency, good governance* - to be addressed as part of support to economic integration, the consolidation of the Central American Customs Union and harmonization of trade-related policies;
- *Gender, environment, natural disaster prevention, labour rights* – to be mainstreamed into EU support to aid in the sustainable development of vulnerable (cross-) border areas;
- *Human rights and good governance* – as an aspect of EU support to improve regional security.

The figure below provides an overview of the main components of the EU intervention logic associated with European regional cooperation with Central America for the period from 2007 until 2013.

**Figure 8: Partial EU intervention logic / reconstructed diagram of expected effects for regional cooperation with Central America, RSP 2007 - 2013**



### ***Analysis and logical reconstruction of the intervention logic 2007 - 2013***

This section provides a first analysis of the intervention logic of the regional cooperation strategy of the EU, highlighting the main underlying patterns in the intervention logic and pointing to issues that are judged to be particularly salient for the success of EU cooperation.

#### ***Regional integration as overarching theme of EU support between 2007 and 2017***

The deepening of Central American regional integration is clearly the central theme of the EU regional cooperation strategy for the 2007 – 2013 programming period, in keeping with the rationale of the cooperation (see Section 0 above). The EU has invested a significant part of its resources to help strengthen some of the key SICA institutions, most notably under PAIRCA I and II. In addition, however, EU assistance in almost all of the sectors and thematic areas is aiming at the development or strengthening of the capacity of the Central American integration system for contributing to and coordinating a regional response to the various political, economic and social issues that Central American stakeholders and the population as a whole have been facing:

- EU support to economic integration is centred on the intention to strengthen the capacities of the relevant regional integration organisations, such as SIECA, and other organisations associated with the Central American Customs Union, and the removal of non-tariff barriers to trade;
- Support for increased regional security was designed to help strengthen the organisational capacities available within SICA (targeting, among others, the Central American Security Commission, and the Democratic Security Unit) to contribute to and coordinate a regional response to the current security issues Central America is facing;
- EU-financed efforts to address disaster risk reduction and improve integrated risk management (associated mainly with risks from natural disasters) also primarily targets the relevant SICA bodies (CEPREDENAC, CCAD, CRRH), with the aim of facilitating their adoption of an expanded portfolio of tasks in these policy areas;
- Even programmes financed by thematic budget lines, such as PRESANCA<sup>18</sup> II and PRESIAN II, were designed in large part to strengthen the organisational capacities of the relevant SICA bodies, in the case of food security of SG-SICA, INCAP<sup>19</sup>, and CCR-SAN<sup>20</sup>.

#### ***Importance of coherence, complementarity and coordination among EU regional development interventions and other policies***

With EU-financed interventions supporting a wide range of SICA bodies across different thematic areas and sectors, it is of particular importance to consider the extent to which the EU was able to ensure the appropriate coherence, complementarity and coordination of

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<sup>18</sup> *Programa Regional de Seguridad Alimentaria y Nutricional.*

<sup>19</sup> *Instituto de Nutrición de Centro América y Panamá.*

<sup>20</sup> *Comité Consultivo Regional para Seguridad Alimentaria Nutricional.*

the programmes and projects it has financed itself; and with related interventions financed by Member States and other donors.

Helping Central American stakeholders to improve the coordination among the large number of different SICA bodies is among the specific and overall objectives of many EU-financed programmes.<sup>21</sup> A clearer division of labour in the highly differentiated institutional network of SICA is often referred to as an important prerequisite for allowing SICA to assume a greater range of responsibilities in the coordination of regional affairs, and to increase its standing and legitimacy vis-à-vis its national counterparts. At the same time, the multitude of interventions that the EU (and other donors) have used to finance and technically support SICA organisations might have increased the accountability of the benefitting organisations to the EU and its implementing partners, and might thus have affected the functioning of SICA's internal accountability (and coordination) mechanisms.

Under these circumstances, it would have been important for the EU that its various interventions aimed at capacity building within SICA were well coordinated, coherent and complementary. This evaluation therefore will examine this aspect in a transversal way in most of its evaluation questions.

***The importance of linking changes at regional, national and local levels***

In addition to strengthening the organisational capacities of Central America's regional integration organisations (RIOs) (see above), the EU also intended to help Central American stakeholders to affect tangible changes in societal, economic and environmental conditions in the region, such as:

- EU support to economic integration aimed at enhancing intra-regional trade, and related economic opportunities for Central American businesses;
- Support of regional security was intended to lead to tangible changes in the way that Central American Member States addressed current security concerns;
- Interventions to address disaster risk reduction and improve the integrated management of risks associated, among other things, with natural disasters were meant to help change associated practices and policies at national and local level, including practices related to the management of natural resources, management of water resources at local level.

In addition, the EU has been financing a number of programmes under its regional cooperation that pursue changes in socio-economic conditions “on the ground”, i.e. in communities and cross-border regions across Central America. The € 20 million GOLFONSECA programme is one example of these types of programmes.

In any of these cases, the success of EU support depends to a large measure on the extent to which the EU and its implementing partners were able to appropriately target their interventions at the regional, national and local levels in Central America:

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<sup>21</sup> Such as PAIRCA II, for example

- To ensure its success, EU regional cooperation would have had to help strengthen the capacity of the appropriate regional integration organisations in line with their organisational mandates, while ensuring that external funding does not negatively affect the ability of RIOs to improve their internal coordination (see above, on the importance of coherence, complementarity and coordination of EU support);
- In most sectors and thematic areas of EU support, the eventual development results of regional support depend at least as much on the priorities and actions of national-level stakeholders as on the capacities of Central America's RIOs. In order to affect sought-after socio-economic changes in Central American societies, the EU and its partners would have had to appropriately bring on board national governments, business associations, civil society organisations and other stakeholders in the respective cooperation programmes. In other words, tangible changes in security, food security, disaster risk reduction, and environmental protection depend on the willingness of national stakeholders to harmonize policies, invest in common administrative structures and resources, share information, and to adapt national practices in the respective sectors.
- The same can be said about the significance of the local level for the success of EU regional cooperation. Disaster risk reduction and management practices, economic practices, security-related practices all grow out of activities and priorities of local authorities, businesses and communities "on the ground". In most of the sectors covered by EU regional cooperation, therefore, the ability of implementing partners to bring on board local stakeholders will have a significant influence on the ultimate success of the respective interventions.

Based on the above consideration, this evaluation will closely examine the different mechanisms that the EU and its implementing partners have used to establish the necessary linkages between the regional, national and local levels in the context of the EU-financed interventions.

#### ***The salience of identified cross-cutting issues***

Both the RSP and the two RIPs emphasize a wide range of cross-cutting issues (see Section 0 above). Many of these, such as social cohesion and the promotion of equal social and economic opportunities, touch directly on some of the key themes of the political dialogue between Latin and Central America over the last few decades. During the 2004 Guadalajara Summit between Latin America, the Caribbean and the EU, delegates agreed that EU cooperation should emphasize increased social cohesion, through the reduction of poverty, and of inequalities and exclusion of marginalized groups from socio-economic opportunities (see Section 0). Other cross-cutting issues must be seen as important pre-conditions for advances in social equality in the region, such as, for example, support to civil society (to enhance its participation in political and social matters), or the reduction of vulnerabilities of people in the region to human trafficking, illegal migration and other sources of insecurity.

Finally, environmental sustainability, another cross-cutting issue of EU cooperation, has particular significance for EU-supported efforts to reduce the region's vulnerability to natural disasters. At the same time, EU actions in areas such as trade or economic integration has the potential for creating additional pressures on Central America's natural

environment, as economic actors seek new opportunities to capitalize on the stock of the region's resources.

The centrality of these themes in political dialogue, and their salience for the region's social, economic and environmental stability, makes it particularly important for the EU to adequately mainstream all identified cross-cutting issues in its cooperation. Past experience with the mainstreaming approach of the EU, as well as of other donors, has shown that this can be a challenging endeavour. While cross-cutting issues are often clearly identified in higher level strategies, they are often neither adequately translated into operational terms (during programme and project planning), nor properly pursued and tracked during implementation, monitoring and evaluation. Our evaluators therefore propose to examine the treatment of cross-cutting issues in a separate evaluation question (dealing with the mainstreaming of cross-cutting issues as a programming mechanisms), and to analyse the results-dimension of key cross-cutting issues in the individual thematic evaluation questions (e.g. on economic integration, food security, disaster risk reduction, etc.).

### **Evolution of EU cooperation from previous programming period (2002 – 2006)**

The following sections briefly describe the evolution of focal sectors from the 2002 – 2006 programming period to the 2007 – 2013 period and revisit the recommendations of the last evaluation of EU regional cooperation with Central America.

#### ***Continuity and changes in EU cooperation priorities since 2002 - 2006***

In many ways, the cooperation strategy of the European Union upholds key priorities of the previous programming period. As in the 2007 – 2013 period, regional integration was also the key focal sector during the earlier years. Specifically, the EU had pledged to support the institutional consolidation of the SICA system, and the implementation of common policies at regional level. At the end of that programming period, the EU still considered this support to be “relevant”, and “boosted by a very real demand for regional cooperation”<sup>22</sup>.

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<sup>22</sup> EU Regional Strategy Paper for cooperation with Central America, 2007 – 2013.

Comparing the other two focal sectors of the 2002 – 2006 Regional Strategy with the Strategy for the subsequent period suggests a certain shift of priorities, however:

- While supporting a strengthened role of civil society in the regional integration process was framed as a focal sector in the 2002 – 2006 Regional Strategy Paper, the 2007 – 2013 Strategy treats this topic as a cross-cutting issue. Similarly, the reduction of vulnerability and improved environmental management were addressed as the third focal sector in the 2002 – 2006 Strategy. The subsequent RSP (2007 – 2013), however, lists these topics among the cross-cutting issues, as well;
- In their place, the 2007 – 2013 strategy now emphasizes a) support to more economic integration, and b) assistance to help improve regional security, to mitigate possible negative impacts from the free movement of goods, capital and people across Central American borders.

### ***Recommendations of the evaluation of EU cooperation from 2002 – 2006 for the programming period 2007 – 2013***

The recommendations of the previous evaluation of EU regional cooperation with Central America (2007) affirmed the overall thematic thrust of the previous European cooperation strategy and also of some of the major components of the 2007 – 2013 RSP. In their final report, the evaluators argued for the continued EU engagement in regional integration in Central America, and even called for an intensification of support in several areas, such as economic integration and the “institutional dimension of integration”, including the rationalization of SICA. Moreover, the evaluation called for the EU to assume a leadership role in external support of institutional, social and economic integration.

At the same time, the evaluation also called for tying continued support of SICA to the commitment of SICA organisations to improve their ability to transparently manage their resources and to implement their plans and programmes. Central American States should commit to increasing financing of their regional bodies.

Other recommendations seem to be at odds with the observed shift in priorities between the 2002 – 2006 strategy and the 2007 – 2013 RSP. While the recommendations of the previous regional evaluation called for intensified support to help civil society participate in the regional integration process, this topic was not included in the focal sectors of EU cooperation with Central America. The same was true for disaster prevention and environmental conservation.

This evaluation will examine the extent to which the recommendations from the previous evaluation were considered in the implementation of the 2007 – 2013 Strategy. A summary of the recommendations from that evaluation can be found in the box below.

**Table 1: Recommendations of 2007 Evaluation of EC regional cooperation in Central America (summary)**

<p><b><u>At political and strategic level</u></b></p> <ol style="list-style-type: none"><li>1) <b>Intensify the support to the economic integration process through political dialogue and regional co-operation, as well as promotion of harmonization of common policies.</b></li><li>2) <b>Adjust the strategy to the liberalisation requirements of both the EU –CA Association Agreement and the CAFTA-RD.</b> Strengthen and deepen integration progresses of recent years, particularly concerning the the customs union, implementation of a distribution mechanism for customs-derived revenue, common standards regarding free trade of services, investment system, property rights and solution of trade differences. Promote common policies to increase the competitiveness of Central American economies and to face asymmetries between the partners, in response to the liberalisation requirements deriving from CAFTA-RD and the future Association Agreement.</li><li>3) <b>Pay more attention to the institutional dimension of integration.</b> Support institutional reform and rationalization of SICA; strengthen intra- and inter-sectoral coordination of implementing SICA agencies (CEPREDENAC, CCAD, CRRH); Respect and strengthen CC-SICA as supreme representation body for regional civil society.</li><li>4) <b>Tie regional cooperation to effective implementation of the regional organisations' plans and programs,</b> to the effective participation of Central American States in the financing of their regional bodies, and to the transparent management of their resources.</li><li>5) <b>Strengthen actions aimed at disaster prevention and environmental conservation,</b> given the region's vulnerability to natural disasters.</li><li>6) <b>Define new approaches to include more recent issues (migration and security) into the regional cooperation.</b></li></ol> <p><b><u>At operational and management level</u></b></p> <ol style="list-style-type: none"><li>7) <b>Follow the more complex regional programmes (PAIRCA, ADAPCCA) through a close and permanent monitoring from the Delegation,</b> to allow their reorientation and adaptation to changes in context and to ensure impact.</li><li>8) <b>Strengthen mainstreaming (including at operational level) and the development of internal concepts and criteria for disaster risk management.</b></li><li>9) <b>Emphasize greater participation of civil society in all processes,</b> including in initiatives related to the customs union, common policies, etc.; also through increased involvement with regional networks of Central American and European civil society.</li></ol> <p><b><u>Coordination and complementarity</u></b></p> <ol style="list-style-type: none"><li>10) <b>EC should assume leadership role in supporting the institutional, social and economic integration.</b></li><li>11) <b>Strengthen the SG-SICA leadership as well as the regional aid coordination mechanisms</b> in the context of the Vienna Initiative's implementation.</li><li>12) <b>EC and Member States must fulfil their commitments on aid coordination and complementarity.</b></li><li>13) <b>Improve coordination with other donors involved in disaster prevention.</b></li></ol>
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## Annex 4 : EU intervention by Evaluation Questions

This annex presents lists of the different EU projects and programmes in relation to the different evaluation questions covered by this evaluation. This information is meant to help the reader to understand the scope of EU cooperation in relation to the different evaluation questions.

**Table 1: Programmes financed in the area of human rights, gender and other cross-cutting themes**

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
ADM-MULTI	Geographic	219991	Study and Workshop on Social Protection in Central America	2009	€ 130 328	€ 130 328
DCI-HUM	Thematic	266483	Primero Aprendo (PA) en Centro América	2011	€ 996 250	€ 640 866
DCI-HUM	Thematic	266436	Promoción del respeto de los derechos e integración social de los Niños y Niñas trabajadores en los basureros y en las calles de los Municipios de Tegucigalpa, San Pedro Sula y Managua	2011	€ 826 850	€ 534 232
EIDHR	Thematic	140199	Evaluacion Final del Programa Plurianual de Democracia y Derechos Humanos en America Central	2007	€ 49 401	€ 49 401
EIDHR	Thematic	266775	CAPDEM-Plataforma de Defensores de Derechos Humanos de Migrantes Centroamericanos.	2011	€ 799 554	€ 719 599
EIDHR	Thematic	167628	Fortalecimiento de la participación de la sociedad civil y de la niñez en la construcción de la democracia en Centro América.	2011	€ 1 440 000	€ 442 329
EIDHR	Thematic	296824	EIDHR 2011 Annual Action Programme - Without country based support schemes, targeted projects and EOMs	2012	€ 609 130	€ 216 424
			Total		€ 4 851 513	

**Table 2: Programmes financed in the area of environment and disaster risk reduction**

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
ALA	Geographic	117028	Programme Régional de Réduction de la vulnérabilité et de la dégradation Environnementale	2006	€ 18 400 500	€ 18 400 500
ALA	Geographic	223041	Evaluación de Medio Termino -PREVDA-	2009	€ 95 294	€ 95 294
ALA	Geographic	286685	Evaluacion FINAL programa PREVDA	2012	€ 93 457	€ 93 457
DCI-ALA	Geographic	235419	Financial Audit of Programa Regional de Reducción de la Vulnerabilidad y Degradación Ambiental - PREVDA	2010	€ 31 449	€ 31 449
DCI-ENV	Thematic	229122	Energy and Environment	2009	€ 1 500 000	€ 1 425 000
DCI-ENV	Thematic	256823	Fortalecimiento de las capacidades locales para adaptación al cambio climático en el Golfo de Fonseca	2010	€ 1 348 183	€ 877 741
DCI-ENV	Thematic	258497	Conservación y gestión efectiva de la biodiversidad marina con mejora de condiciones de vida para el sector de pesca artesanal en comunidades del ecosistema trinacional Golfo de Fonseca (Golfo).	2010	€ 1 400 574	€ 1 154 415
DCI-ENV	Thematic	256143	Reforzamiento de las capacidades locales para enfrentar los efectos del cambio climático en la Costa Caribe de Nicaragua y Honduras	2010	€ 1 719 982	€ 1 098 792
DCI-ENV	Thematic	221116	Conservación y manejo sustentable de tierras (MST ) secas en Mesoamérica: Contribución a la lucha contra la desertificación, la adaptación al cambio climático (CC) y la reducción de emisiones por deforestación y degradación.	2010	€ 720 000	€ 428 471
DCI-ENV	Thematic	221259	Manejo integral de desechos sólidos urbanos y saneamiento ambiental en cuatro municipios de Guatemala y Nicaragua.	2010	€ 2 461 651	€ 1 645 525

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
DCI-ENV	Thematic	221499	Ciudad Limpia: Manejo Integral de Residuos Sólidos Urbanos en El Trifinio Centroamericano.	2010	€ 1 622 588	€ 1 305 312
DCI-ENV	Thematic	262328	COCOCECA: COmunidades COsteras CEntroamericanas y CAmbio climático: Desarrollando capacidades para la acción local	2011	€ 1 748 629	€ 741 547
DCI-ENV	Thematic	306913	Auditoría Financiera al proyecto "Manejo integral de desechos sólidos urbanos y saneamiento ambiental" DCI-ENV/2010/ 221-259	2012	€ 24 460	€ 0
RSP 2007-2013	Geographic	-	GOLFONSECA Programme (cancelled)	2012	€ 0	€ 0
			Total		€ 31 166 767	€ 27 297 503

Table 3: Programmes financed in the area of trade and economic integration

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
ALA	Geographic	147041	Prefinanciación gastos locales CONSUAC	2007	€ 3 357 390	€ 3 357 390
ALA	Geographic	144585	Evaluación de Medio Término al Programa Binacional Honduras - El Salvador	2007	€ 100 370	€ 100 370
ALA	Geographic	202810	Asistencia Técnica Internacional para el Proyecto CONSUAC	2009	€ 572 348	€ 572 348
ALA	Geographic	223265	Apoyo a la modernización de las aduanas periféricas en el marco del desarrollo del proceso de la Unión Aduanera Centroamerica	2009	€ 252 740	€ 252 740
ALA	Geographic	223574	Diseño y realización de un plan de información, visibilidad y comunicación sobre el proceso de integración económica Centroamericana y la Unión Aduanera"	2009	€ 586 801	€ 586 801
ALA	Geographic	209283	Auditoría de Cierre del Programa Binacional Honduras-El Salvador	2009	€ 46 460	€ 46 460
ALA	Geographic	235108	Misión de Evaluación de Medio Término del Programa CONSUAC	2010	€ 84 601	€ 84 601
ALA	Geographic	241585	Identificación de Programa Regional de Integración Económica, Políticas Comunes Conexas y Unión Aduanera en C.A.	2010	€ 108 208	€ 108 208
ALA	Geographic	240431	2do Contrato de Gastos Locales - POA3	2010	€ 777 830	€ 777 830
ALA	Geographic	259858	Evaluación Final de los Proyectos ADAPCCA y CONSUAC	2011	€ 150 591	€ 150 591
DCI-ALA	Geographic	141146	Financial Audit of Project n° ALA/2001/3214 "Proyecto Unión Aduanera Centramericana"	2007	€ 27 713	€ 27 713
DCI-ALA	Geographic	141493	Financial Audit of Project n° ACD/2000/3232 Programa de Desarrollo Binacional en las Zonas Transfronterizas Terrestres de Honduras y El Salvador	2007	€ 36 090	€ 36 090
DCI-ALA	Geographic	235140	Financial Audit of project CONSUAC	2010	€ 24 378	€ 24 378
DCI-ALA	Geographic	252956	Misión de Identificación y Formulación de un Programa de Desarrollo Integral Transfronterizo	2010	€ 113 506	€ 113 506

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
DCI-ALA	Geographic	262113	4 pillars assessment of the Secretariat of Central American Economic Integration (SIECA)	2011	€ 31 219	€ 31 219
RSP 2007-2013	Geographic	259710	Servicios de Asistencia Técnica Internacional para el Programa Regional de Apoyo a la Calidad y a la Aplicación de Medidas Sanitarias y Fitosanitarias en Centroamérica (PRACAMS)	2011	€ 4 149 671	€ 2 249 638
RSP 2007-2013	Geographic	270046	Presupuesto Programa de Inicio del PRACAMS	2011	€ 314 736	€ 314 736
RSP 2007-2013	Geographic	285265	Presupuesto Programa #1 -PRACAMS-	2012	€ 4 547 078	€ 2 199 009
RSP 2007-2013	Geographic	289621	Servicio de Auditoría para el programa PRACAMS	2012	€ 103 000	€ 30 900
RSP 2007-2013	Geographic	303642	Asistencia técnica y jurídica para el registro de la indicaciones geográficas europeas en Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica y Panamá	2012	€ 130 536	€ 78 321
RSP 2007-2013	Geographic	315056	Formación en temas de calidad y aplicación de medidas sanitarias y fitosanitarias y fitosanitarias en Centroamérica	2013	€ 760 000	€ 456 000
RSP 2007-2013	Geographic	328369	Servicios de Asistencia Técnica Local del PRACAMS	2013	€ 1 897 400	0,00
RSP 2007-2013	Geographic	328639	Suministros para beneficiarios del PRACAMS	2013	€ 71 755	0,00
RSP 2007-2013	Geographic	319100	Servicios de Asistencia Técnica Internacional para el PRAIAA	2013	€ 991 578	€ 150 000
RSP 2007-2013	Geographic	324323	Presupuesto Programa de Inicio del PRAIAA	2013	€ 336 748	€ 336 747
RSP 2007-2013	Geographic	-	Apoyo al desarrollo del sector privado en Centroamérica (ADESEP) <sup>23</sup>	2012	€ 0	€ 0
			Total		€ 19 572 747	€ 12 085 596

<sup>23</sup> The EU committed €7 million under the ADESEP programme, but contracting had not started at the time of the CRIS extraction (October 2013).

**Table 4: Regional programmes financed in the area of regional institutional integration**

<b>Funding-Instrument</b>	<b>Funding instrument category</b>	<b>Contract N°</b>	<b>Title</b>	<b>Contract year</b>	<b>Contracted Amount</b>	<b>Paid</b>
<b>ALA</b>	Geographic	133088	Asistencia Técnica para proyecto ADAPCCA	2007	€ 119 582	€ 119 582
<b>ALA</b>	Geographic	147546	Asistencia Técnica Internacional para el proyecto ADAPCCA	2007	€ 1 127 088	€ 1 127 088
<b>ALA</b>	Geographic	138284	Evaluación Programa PAIRCA	2007	€ 99 606	€ 99 606
<b>ALA</b>	Geographic	207538	EVALUACIÓN FINAL DEL PROGRAMA PAIRCA	2009	€ 99 451	€ 99 451
<b>ALA</b>	Geographic	210516	Evaluación de Medio Término del Proyecto ADAPCCA	2009	€ 62 454	€ 62 454
<b>ALA</b>	Geographic	238189	Contrato de Gastos Locales 2 - Fondos del Rubro Imprevistos	2010	€ 560 800	€ 560 800
<b>DCI-ALA</b>	Geographic	216626	Financial & System Audit of project ADAPCCA: Programa de Apoyo al Diseño y Aplicación de Políticas Comunes Centroamericanas	2009	€ 34 150	€ 34 150
<b>DCI-NSA</b>	Thematic	270985	Auditoría del Proyecto Construyendo Estrategias y Acciones frente al Femicidio	2011	€ 25 121	€ 25 121
<b>DCI-NSAPVD</b>	Thematic	149627	Construyendo estrategias y acciones frente al femicidio y la violencia de género contra las mujeres en Centroamérica	2008	€ 953 472	€ 952 288
<b>DCI-NSAPVD</b>	Thematic	225980	Participation, monitoring and advocacy of women networks in Guatemala, Honduras, Nicaragua and El Salvador for a more secure Central America for women	2009	€ 407 811	€ 568
<b>DCI-NSAPVD</b>	Thematic	303736	Cooperación en políticas públicas locales entre Europa y Centro América para una mejor gobernanza y un manejo integrado de los recursos hídricos.	2012	€ 774 144	€ 273 659
<b>DCI-NSAPVD</b>	Thematic	286531	Fortaleciendo las redes de la Sociedad Civil y los grupos organizados de NNA5 en su rol de defensa y promoción de los Derechos de la niñez especialmente en el tema violencia en la Región de Centroamérica	2012	€ 1 400 000	€ 336 764

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
IFS	Thematic	278911	Apoyando la implementación de la Estrategia de Seguridad de Centroamérica en sus componentes de combate al delito y prevención relacionados con armas pequeñas y ligeras y violencia armada	2011	€ 650 000	€ 181 065
IFS	Thematic	278583	Participación, observación e incidencia de las redes de mujeres de Guatemala, Honduras, Nicaragua y El Salvador por una Centro América segura para las mujeres	2011	€ 649 202	€ 402 487
IFS	Thematic	288331	Apoyo a la lucha contra la tenencia ilícita y tráfico de armas de fuego en Centroamérica y países vecinos	2012	€ 2 300 000	€ 304 942
IFS	Thematic	301254	Guatemala-Belize: Support to the peaceful resolution of the long-standing territorial dispute	2012	€ 1 986 518	€ 1 468 106
RSP 2007-2013	Geographic	220481	Asistencia Técnica Internacional en apoyo a la gestión del Segundo Programa de Apoyo a la Integración Centroamericana (PAIRCA II)	2009	€ 1 917 250	€ 1 533 705
RSP 2007-2013	Geographic	235023	PPI - PAIRCA II : Presupuesto-Programa de Inicio	2010	€ 3 375 380	€ 2 675 832
RSP 2007-2013	Geographic	242597	AdC - PAIRCA II : Acuerdo de Contribución PNUD-DUE	2010	€ 4 070 000	€ 3 000 000
RSP 2007-2013	Geographic	256032	AUDIT - PAIRCA II: Contrato de Auditoría Externa	2011	€ 140 000	€ 28 000
RSP 2007-2013	Geographic	295764	Asistencia Técnica para el apoyo a actividades del Parlamento Centroamericano (PARLACEN), en el marco del Programa PAIRCA II	2012	€ 509 000	€ 297 694
RSP 2007-2013	Geographic	295923	Asistencia técnica de apoyo a las instituciones del SICA para las actividades previstas en el marco del Programa PAIRCA II	2012	€ 474 276	€ 125 783

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
RSP 2007-2013	Geographic	298447	Estudios de apoyo a las instituciones del SICA para las actividades previstas en el marco del Programa PAIRCA II	2012	€ 511 475	€ 255 885
RSP 2007-2013	Geographic	302180	Sistema Integrado - Estadísticas Centroamericanas e indicadores comunes.	2012	€ 380 000	€ 228 000
RSP 2007-2013	Geographic	302187	Sistema Integrado - Soluciones Informáticas y Componente Gerencial	2012	€ 790 000	€ 474 000
RSP 2007-2013	Geographic	30365	Apoyo al CC-SICA	2012	€ 190 490	€ 57 147
RSP 2007-2013	Geographic	303652	Servicios logísticos para la organización de eventos	2012	€ 1 664 860	€ 415 848
RSP 2007-2013	Geographic	292443	Misión de Evaluación Intermedia del Programa PAIRCA II	2012	€ 78 494	€ 78 494
RSP 2007-2013	Geographic	295515	Expertos/as de apoyo a las actividades de la Corte Centroamericana de Justicia, CCJ, en el marco del Programa PAIRCA II	2012	€ 284 100	€ 134 443
			Total		€ 25 634 724	€ 15 352 963



Table 5: Regional programmes financed in the area of food security

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
DCI-FOOD	Thematic	143742	Evaluación de Medio Termino del Programa Regional de Seguridad Alimentaria y Nutricional para Centroamerica -PRESANCA-	2007	€ 107 741	€ 107 741
DCI-FOOD	Thematic	160231	Misión de Identificación para: el Programa Regional de Seguridad Alimentaria y Nutricional para Centroamérica (PRESANCA II)	2008	€ 62 963	€ 62 963
DCI-FOOD	Thematic	225973	Prog Regional de Sistemas de Información en Seguridad Alimentaria y Nutricional -PRESISAN-	2009	€ 3 000 000	€ 2 850 000
DCI-FOOD	Thematic	210019	Misión de Identificación de programa FSTP-ARA 2010 for Central America	2009	€ 143 506	€ 143 506
DCI-FOOD	Thematic	233289	Programa Regional de Seguridad Alimentaria y Nutricional fase II -PRESANCA II-	2010	€ 12 760 000	€ 7 503 212
DCI-FOOD	Thematic	237960	Prog Regional de Sistemas de Información en Seguridad Alimentaria y Nutricional fase II -PRESISAN II-	2010	€ 1 920 000	€ 175 424
DCI-FOOD	Thematic	222947	Programa Regional de Investigación e Innovación de Cadenas de Valor Agrícola -PRIICA-	2010	€ 5 000 000	€ 0
DCI-FOOD	Thematic	301050	Desarrollo de la Plataforma PECOSOL-CONSUACCION para la Seguridad Alimentaria y Nutricional en Centroamerica	2012	€ 1 870 399	€ 424 718
DCI-FOOD	Thematic	301075	“Hambre Cero”: Política Pública Local Transfronteriza (PPLT) para la Seguridad Alimentaria y Nutricional en Municipios de la Región Trifinio (El Salvador, Guatemala, Honduras)	2012	€ 3 000 000	€ 716 858
			Total		€ 27 864 609	

**Table 6: Regional programmes financed in the area of regional security**

Funding-Instrument	Funding instrument category	Contract N°	Title	Contract year	Contracted Amount	Paid
DCI-ALA	Geographic	201228	Formulation d'un Programme Régional de Sécurité Frontalière en Amérique Centrale	2009	€ 84 765	€ 84 765
DCI-ALA	Geographic	290150	Formulación de un programa de apoyo a la estrategia de seguridad centroamericana- eje prevención social violencia desde los gobiernos locales	2012	€ 82 818	€ 70 846
DCI-MIGR	Thematic	283029	Protección y promoción de los derechos humanos de las personas migrantes en tránsito, desde la gestión local y a través de la articulación de organismos públicos de derechos humanos y organizaciones de la sociedad civil.	2012	€ 944 935	€ 437 696
RSP 2007-2013	Geographic	253456	Asistencia Técnica Internacional de Apoyo a la Gestión del Programa Regional de Seguridad Fronteriza (SEFRO)	2010	€ 1 193 200	€ 762 611
RSP 2007-2013	Geographic	270464	PP0 Presupuesto Programa de Inicio SEFRO	2011	€ 1 502 594	€ 914 269
RSP 2007-2013	Geographic	282073	AUDIT - SEFRO: Contrato de Auditoría Externa	2012	€ 80 000	€ 16 000
RSP 2007-2013	Geographic	310605	Acceso de una serie de puestos de control fronterizo al sistema mundial de comunicación policial de INTERPOL”	2013	€ 150 000	€ 80 000
RSP 2007-2013	Geographic	328114	REALIZACIÓN ACTIVIDADES SEGURIDAD FRONTERIZA- ICMPD	2013	€ 344 680	€ 0
RSP 2007-2013	Geographic	328115	Organización y realización de reuniones regionales en el marco del programa SEFRO - Agroconsulting	2013	€ 422 415	€ 0
RSP 2007-2013	Geographic	328237	Compra de equipos para mejorar la conectividad	2013	€ 999 583	€ 0
RSP 2007-2013	Geographic	-	Programa de Apoyo a la Estrategia de Seguridad de Centroamérica		€ 0	€ 0
			Total		€ 5 804 990	€ 2 366 186

## **Annex 5 : Summary of meetings held during the field phase**

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This annex presents the temporal and geographical organisation of the field phase. Table 1 provides an overview of the schedule of field missions for each team member and table 2 details the visits and activities that were conducted in the different project sites.

**Table 1: Schedule of Evaluation Team during Field Phase (24th March – 14th April 2014)**

Team Member	Week 1 (24.3. – 30.3.2014)	Week 2 (31.3. – 6.4.2014)	Week 3 (7.4. – 14.4.2014) <sup>24</sup>
Martin Steinmeyer (Team Leader)	<p><u>Nicaragua:</u></p> <ul style="list-style-type: none"> <li>Internal Team Meeting &amp; Briefing EU Delegation (all)</li> <li>Logistics of field visit</li> <li>Interviews EU Delegation (Food Security, Economic Integration, Ambassador)</li> <li>Interviews UNDP, FOPREL, IICA</li> <li>Field Visit PRESANCA II / PRESISAN (Nueva Segovia (Nicaragua), El Paraiso (Honduras))</li> </ul> <p><u>El Salvador</u></p> <ul style="list-style-type: none"> <li>Meeting programme staff PRESANCA II / PRESISAN II</li> <li>Field Visit PRESANCA II / PRESISAN (Morazán (El Salvador), La Paz (Honduras))</li> </ul>	<p><u>El Salvador:</u></p> <ul style="list-style-type: none"> <li>Interviews SG-SICA (Donor Coordination, Planning Dep., PAIRCA II), COMISCA, OSPESCA</li> <li>Interviews OIKOS, ALOP, Funsalprodrese</li> <li>Interviews USAID, FAO, GTZ / BMZ</li> <li>Interviews CONASAN (nat. Government), Ministry of Agriculture, Ministry of Economy)</li> <li>Focus Groups MARSAN graduates, TECNISAN graduates</li> <li>Field Visit PRESANCA II / PRESISAN II (Ocatepeque (El Salvador), Chiquimula (Guatemala))</li> </ul>	<p><u>Guatemala:</u></p> <ul style="list-style-type: none"> <li>Interviews SESAN / CEDESAN</li> <li>Interview CSUCA, INCAP</li> <li>Interview USAC (Facultad de Ciencias Químicas y Farmacia)</li> <li>Interview “Tengo Algo Que Dar – Despertamos Guatemala”</li> <li>Interview and follow-up discussion PRESANCA - Guatemala</li> <li>Internal analytical workshop sessions (cross-cutting analysis)</li> </ul> <p><u>Costa Rica:</u></p> <ul style="list-style-type: none"> <li>Analytical workshop &amp; preparation of Debriefing</li> </ul> <p><u>Nicaragua:</u></p> <ul style="list-style-type: none"> <li>Analytical workshop (continuation) &amp; debriefing EU Delegation Nicaragua<sup>25</sup></li> </ul>

<sup>24</sup> This period includes Monday, 14.4.2014 as the last full day of the field phase before departure of Martin Steinmeyer and Susan Soux to their home bases on Tuesday, 15.4.2014.

<sup>25</sup> Debriefing was affected by seismic activity in Nicaragua; Only Jesús Del Barrio Manas and Mauricio Penalba on behalf of the EU Delegation were able to participate.

Team Member	Week 1 (24.3. – 30.3.2014)	Week 2 (31.3. – 6.4.2014)	Week 3 (7.4. – 14.4.2014) <sup>24</sup>
Jean-Marie Burgaud	<u>Nicaragua:</u> <ul style="list-style-type: none"> <li>• Internal Team Meeting &amp; Briefing EU Delegation (all)</li> <li>• Interviews EU Delegation (Economic Integration),</li> <li>• Interview MIFIC (Ministerio de Fomento, Industria y Comercio)</li> <li>• Interviews Asociación de Productores y Exportadores de Nicaragua (APEN)</li> </ul>	<u>Panama:</u> <ul style="list-style-type: none"> <li>• Interview EU Office Panama</li> <li>• Interview MICI (Ministerio de Comercio e Industrias), Oficina de Negociaciones Internacionales, ANA (Autoridad Nacional de Aduanas)</li> <li>• Interviews APEX (Trade Association Panama)</li> </ul> <u>Guatemala:</u> <ul style="list-style-type: none"> <li>• Interviews SIECA (PRACAMS, Directorate)</li> </ul>	<u>Guatemala:</u> <ul style="list-style-type: none"> <li>• Interviews SIECA (Sistema Nacional de Calidad)</li> <li>• Interview MAGA (Ministerio de Agricultura Ganadería y Alimentación)</li> <li>• Internal analytical workshop sessions (cross-cutting analysis)</li> </ul>

Team Member	Week 1 (24.3. – 30.3.2014)	Week 2 (31.3. – 6.4.2014)	Week 3 (7.4. – 14.4.2014) <sup>24</sup>
Ignacio Cristobal	<p><u>Nicaragua</u></p> <ul style="list-style-type: none"> <li>• Internal Team Meeting &amp; Briefing EU Delegation (all)</li> <li>• Interviews EU Delegation (Disaster Risk Reduction, Food Security)</li> <li>• Interview INETER (Instituto Nicaragüense de Estudios Territoriales),</li> <li>• Interview COSUDE / Swiss Cooperation (DRR)</li> <li>• Interviews Amigos de la Tierra, Centro Humboldt</li> <li>• <i>Additional Field Visit to Boaco has been planned, but had to be cancelled due to national red alert / seismic activity in Nicaragua</i></li> </ul>	<p><u>Nicaragua:</u></p> <ul style="list-style-type: none"> <li>• Instituto de Capacitación, Investigación y desarrollo Ambiental (CDEA -UCA)</li> <li>• Interview CCRH (Comité Regional de Recursos Hidráulicos), SICA (via skype)</li> <li>• Interview ECHO / EU Delegation</li> </ul> <p><u>Honduras:</u></p> <ul style="list-style-type: none"> <li>• Interview EU Delegation Honduras (Chief of Cooperation)</li> <li>• Interview COPECO / Aldea el Ocotal,</li> <li>• Interview Secretaría de Recursos Naturales y Ambiente (SERNA)</li> <li>• Interview Asociación de Municipios de Honduras</li> <li>• Field Visit “Golfo de Fonseca” (PREVDA) (incl. focus groups w. local civil society; local authorities; community leaders; fishing sector)</li> </ul>	<p><u>Guatemala:</u></p> <ul style="list-style-type: none"> <li>• Interviews SE-CEPREDENAC (Centro de Coordinación para la Prevención de los Desastres Naturales en América Central)</li> <li>• Interviews CONRED (Coordinadora Nacional para la Reducción de Desastres), INSIVUMEH (Instituto Nacional de Sismología, Vulcanología, Meteorología e Hidrología)</li> <li>• Internal analytical workshop sessions (cross-cutting analysis)</li> </ul> <p><u>El Salvador:</u></p> <ul style="list-style-type: none"> <li>• Interview CCAD (Comisión Centroamericana de Ambiente y Desarrollo) (SICA)</li> <li>• Interviews GIZ / REDD; AECID</li> </ul> <p><u>Nicaragua:</u></p> <ul style="list-style-type: none"> <li>• Analytical workshop (continuation) &amp; debriefing EU Delegation Nicaragua</li> </ul>

Team Member	Week 1 (24.3. – 30.3.2014)	Week 2 (31.3. – 6.4.2014)	Week 3 (7.4. – 14.4.2014) <sup>24</sup>
Robert Leblanc	<u>Nicaragua</u> <ul style="list-style-type: none"> <li>• Internal Team Meeting &amp; Briefing EU Delegation (all)</li> <li>• Meetings EU Delegation (institutional strengthening, economic integration, Ambassador)</li> <li>• Interview UNDP</li> <li>• Meetings CCJ</li> <li>• Interview international/regional NGO</li> </ul> <u>El Salvador:</u> <ul style="list-style-type: none"> <li>• Interviews SG-SICA (PAIRCA II)</li> </ul>	<u>El Salvador</u> <ul style="list-style-type: none"> <li>• Interviews SG-SICA (Cooperation; Liaison Executive Committee, Information Technology, PAIRCA II), CC-SICA, CENPROMYPE</li> <li>• Interviews AECID</li> </ul> <u>Guatemala:</u> <ul style="list-style-type: none"> <li>• Interviews SIECA (Directors, Managers of PRAIAA, PRACAMS)</li> </ul>	<u>Guatemala:</u> <ul style="list-style-type: none"> <li>• Interviews JATI of PRAIAA, PRACAMS (SIECA)</li> <li>• Interviews PARLACEN</li> <li>• Internal analytical workshop sessions (cross-cutting analysis)</li> </ul> <u>Costa Rica:</u> <ul style="list-style-type: none"> <li>• Interview EU Delegation Costa Rica</li> <li>• Interview IICA</li> <li>• Interview ICAP'</li> <li>• Analytical workshop &amp; preparation of Debriefing</li> </ul>

Team Member	Week 1 (24.3. – 30.3.2014)	Week 2 (31.3. – 6.4.2014)	Week 3 (7.4. – 14.4.2014) <sup>24</sup>
Susan Soux	<p><u>Nicaragua</u></p> <ul style="list-style-type: none"> <li>• Internal Team Meeting (all)</li> <li>• Meetings EU Delegation (Security, Cross-cutting Issues)</li> <li>• Interview SG-SICA (CASAC) (Programme office in Nicaragua)</li> <li>• Interviews Menonite Development Association, RE.TE, DIAKONIA, Fundación Quincho Barrilete</li> <li>• Interview Instituto de Estudios Estratégicos y Políticas Públicas (Iepp)</li> </ul> <p><u>El Salvador:</u></p> <ul style="list-style-type: none"> <li>• Interviews SG-SICA DSD, SEFRO</li> <li>• Interview AECID, GIZ</li> </ul>	<p><u>El Salvador:</u></p> <ul style="list-style-type: none"> <li>• Field visit SEFRO (Paso Fronterizo Agua Caliente (Guatemala – Honduras, SEFRO workshop Esquipulas)</li> <li>• Interview IOM (International Organization for Migration), SEFRO</li> <li>• Dept. of Immigration, Punto Focal SEFRO, Punto Focal CASAC (Foreign Ministry)</li> <li>• Operational Coordination DSD, ESCA, Prevention, Institutional Strengthening,</li> <li>• CC-SICA, OBSICA, COMMCA, CENTROESTAD</li> <li>• Interview InterPol</li> <li>• Interview Fondo Espana</li> <li>• Ministerio de Seguridad Pública, El Salvador</li> </ul>	<p><u>Guatemala:</u></p> <ul style="list-style-type: none"> <li>• Interview SIECA</li> <li>• Interview Ministerio de Cultura</li> <li>• Interview DIAKONIA, IEPADES, Observatorio Indígena, AJPU / Consejo Indígena Centroamericana</li> <li>• Interview Ministry of Foreign Affairs – Punto Focal SEFRO / CASAC / ESCA (Integration)</li> <li>• Interview Parlacen</li> <li>• Meeting EU Delegation (Food Security, Economic Integration, Social Development, Ambassador)</li> <li>• Internal team meeting</li> </ul> <p><u>Nicaragua:</u></p> <ul style="list-style-type: none"> <li>• <i>Additional meeting w. security focal points &amp; representatives of Nicaraguan Government had been planned, but was cancelled due to red alert / seismic activity, evacuation of Foreign Ministry</i></li> </ul>



**Table 2: List of Visits to Project Sites during Field Phase (24th March – 14 March 2014)**

Projects	Areas Visited	Date	Overview of Activities	Relevant for Sectors...
PRESANCA I / II; PRESISAN I / II	Departments of Madriz & Nueva Segovia (Nicaragua), El Paraiso (Honduras)	26. – 27.03.2014	<ul style="list-style-type: none"> <li>• Meeting w. Executive Director &amp; staff of AMMA (Asociación de Municipios de Madriz); AMUNSE (Asociación de Municipios de Nueva Segovia), MANORPA (Mancomunidad de Municipios del Norte de El Paraíso), TECNISAN of area</li> <li>• Meetings / Interviews with Mayors, staff of local authorities, community members (e.g., Somoto, Dipilto, El Paraíso)</li> <li>• Visit of CEDESANs of area (Documentation Centres for Food Security), ECOSANs (Demonstration projects in Food Security)</li> <li>• Interview / meetings w. PRESANCA II Technical Team / Unit</li> <li>• Interview w. graduates of MARSAN (Regional Masters Programme for Food Security)</li> </ul>	Food Security, Cross-cutting Sectors, Institutional Development, Disaster Risk Reduction
	Departments of Morazán (El Salvador), La Paz (Honduras)	29. – 30.03.2014	<ul style="list-style-type: none"> <li>• Meeting w. staff of municipal associations in the area (AMNM - Asociación de Municipios del Norte de Morazán (El Salvador)), MAMLESIP – Mancomunidad de Municipios Lencas de la Sierra de la Paz (Honduras); and of associated municipalities (Perquín, Cabanas, Marcala)</li> <li>• Visit of community projects (Comunidad Rancho Quemado, Perquín), CEDESAN, ECOSAN</li> <li>• Interviews w. staff / technicians of PRESANCA II / PRESISAN II</li> <li>• Group discussion w. TECNISAN of area</li> </ul>	

Projects	Areas Visited	Date	Overview of Activities	Relevant for Sectors...
	Departments of Ocotepeque (Honduras), Chiquimula (Guatemala)	01. – 02.04.2014	<ul style="list-style-type: none"> <li>• Interview w. staff of MTFRL (Mancomunidad Trinacional Fronteriza Rio Lempa (El Salvador, Honduras, Guatemala)); associated municipalities (Sinuapa (Honduras), Olopa (Guatemala))</li> <li>• Interviews w. staff / technicians of PRESANCA II / PRESISAN II</li> <li>• Observation of meeting of COMUSAN (municipal committee for integration of food security into local planning)</li> <li>• Group Discussion w. community organisers in Las Palmas (community in Guatemala)</li> <li>• Group Discussion w. current and past students of MARSAN</li> <li>• Focus Group w. TECNISAN of area</li> </ul>	
PREVDA (Suspended)	Department of Boaco (Malacatoya River Basin)	11/04/2014	<ul style="list-style-type: none"> <li>• Suspended because of Red Alert declared by the Government because of the earthquakes in Managua and Leon</li> </ul>	Disaster Risk Reduction
ECOPESCA	Gulf of Fonseca Department of Choluteca (Honduras)	04/04/2014	<ul style="list-style-type: none"> <li>• Interview, Dina Elizabeth Morel Civil Society / NGOs ECOPESCA Coordinator- CODDEFFAGOLF</li> <li>• Interview, Xavier Fernandez Civil Society / NGOs ECOPESCA Monitoring and Evaluation- Amigos de la Tierra</li> <li>• Group Discussion Regional Development Council Gulf of Fonseca (10 People)</li> <li>• Group Discussion Community Members of Guapinol (Markovia) ESMUFAP, El Jardin Cooperative, Youth Mission</li> <li>• Interview, Felix Dolores Paz President of FENAPESCA</li> </ul>	Disaster Risk Reduction

Projects	Areas Visited	Date	Overview of Activities	Relevant for Sectors...
SEFRO	El Salvador, / Honduras (Poy border crossing), Honduras/Guatemala, (Agua Caliente border crossing) - Esquipulas Guatemala	31-03-14	<ul style="list-style-type: none"> <li>• Interviews with staff (Police, Immigration and Customs) at each border crossing.</li> <li>• Observation of workshop with border officials on Tourism and border crossings in Esquipulas.</li> <li>• Discussion with Programme Officials SEFRO.</li> <li>• Discussions with SEFRO Programme Coordinator and SEFRO project staff.</li> </ul>	Security
ReTe	Project site in Managua.	27-03-14	<ul style="list-style-type: none"> <li>• Visit to job training site for parents of child workers.</li> <li>• Interviews with project staff, workshop leaders and trainers.</li> <li>• Informal interviews with participants in programme.</li> <li>• Observation of community meeting with community leaders and project participants.</li> <li>• Group discussion with community leaders and project participants.</li> </ul>	Security



## Annex 6 : List of institutions and persons met

### Reference group members

Name, Surname	Organisation	Unit/Function
DEL BARRIO MANAS Jesus	Delegation in Managua	Section Regional
KANSKA Klara	Delegation in Managua	Trade
PINSOLLE Xavier	Delegation in Managua	Section Regional
BARBA CORNEJO Teresa	DEVCO	Geographic
BOLLY Jean-Louis	DEVCO	Evaluation
DERIDDER Lennart	DEVCO	Energy
FIEHRER Jean-Charles	DEVCO	Geographic
GESSI Paola	DEVCO	Evaluation
JIMENEZ-FRIAS Raquel	DEVCO	Financial Instruments
JOLAS Bertrand	DEVCO	Trade
LITVINE Marc	DEVCO	Regional
MOFFROID Anne-Françoise	ECHO	B5
QUEROL CARCELLER Cristina	EEAS	V.A.2
STRANIERO Germano	EEAS	Regional affairs
ZORZAN Federico	EEAS	Regional affairs
LAZAROVA Raya	ENV	B2
LE VAILLANT Thomas	TRADE	DGA1.C.3

**Cooperation coordinators at the regional level**

Name, Surname	Organisation	Unit/Function
DEL PINO Olga	AECID	Coordinadora de la línea de integración económica
JAENTSCHKE Valdrack	Cancilleria	Vice Minister
TORREZ Martha	Cancilleria	
HABED Luz	EU Delegation	Former Programme Manager
PINSOLE Xavier	EU Delegation	Unit for Regional Cooperation
PALLÁS APARIS Tomás	EU Delegation San Salvador	Chief of Cooperation
ALEMÁN Juan Daniel	SG-SICA	Former Secretary General
CHAMORRO MARIN Edgar	SG-SICA	Former Executive Director
MARTINEZ Hugo	SG-SICA	Outgoing Secretary General
VILCHEZ Erick	SG-SICA	Former Director -Democratic security
MAYORA DE GAVIDIA Yolanda	SIECA	Former Secretary General
TORRES CHICO Ernesto	SIECA	Former Secretary General

**People met in Costa Rica**

Name, Surname	Organisation	Unit/Function
RAMÍREZ O. Patricia	Comité Regional de Recursos Hidráulicos (CRRH)	Secretaria Ejecutiva
MARTÍNEZ PRADA José Luis	Encargado de Negocios a.i. European Delegation Costa Rica	Chargé d'Affaires
CANELO Fremi Mejía	ICAP	Coordinator Public Administration Programs
MACHADO Gustavo	ICAP	Advisor Regional Integration
ARVELO Miguel Angel	IICA	Representante
MONTENEGRO Diego Ernst	IICA	Coordinator Regional Integration
RIVAS Galileo	IICA	Specialist in Management of Technological Innovation
VÉLEZ Santiago	IICA	Coordinator Regional Integration

## People met in El Salvador

Name, Surname	Organisation	Unit/Function
HERNANDEZ Hector	Admin.	Control de Migracion
NICOLAU Ignacio	AECID	Coordinador
ARGUETA José Adin	Alcaldía de Arambala	Encargado CEDESAN Arambala
CORDEBBA Marco	Asistente Tecnica Internacional Experto en Gestion de Ciclo de Proyectos	Asistente Tecnica Internacional Experto en Gestion de Ciclo de Proyectos
Representantes y Beneficiarios Proyecto de Crianza de Gallinas de patio para la producción, consumo y comercialización de huevos y carne- (URD)	Autoridades Locales y habitantes de la Comunidad Rancho Quemado, Perquín	
Representantes Centro de Documentación e información para la Seguridad Alimentaria - CEDESAN	Autoridades Locales y habitantes Municipio de Marcala	
Representantes Mancomunidad de Municipios Lencas de la Sierra de La Paz - MAMLESIP	Autoridades Locales y habitantes Municipios Lencas de la Sierra de La Paz	
AGUILAR Rodrigo	CC-SICA	Member Executive Committee
COTO MOYA Luis Guillermo	CC-SICA	Presidente del Directorio del
FRANCH Sidney	CC-SICA	Member Executive Committee
GUARDADO Cesar	CC-SICA	Punto Focal
MENCIA Miguel	CC-SICA	Member Executive Committee
REIZ Orlando	CC-SICA	Member Executive Committee
ROJAS Carlos Luiz	CC-SICA	Vice President
Municipalidad de Perquín	CEDESAN de Perquín - El Salvador	
MONTEIRO Liliana	CENPROMYPE	International Cooperation Coordinator
SANTAMARIA Ingrid Figueroa	CENPROMYPE	Directora Ejecutiva
VILLALOBOS Mario	CENTROESTAD	Secretario General
VALDÉZ Julio	COMISCA	Secretario Ejecutivo
CASTRO Christa	Comisión Centroamericana de Ambiente y Desarrollo (CCAD)	Secretaria Ejecutiva

<b>Name, Surname</b>	<b>Organisation</b>	<b>Unit/Function</b>
MÉNDEZ Ada Erlyn	COMMCA -SICA	Secretaria técnica
DE MÁRQUEZ Daysi	CONASAN, El Salvador	Directora Ejecutiva
COMUSAN de Olopa (participó también el concejo municipal de Olopa)	Concejo Municipal de Olopa	Miembros del Consejo
LAZO Arnoldo	Consultant	Disaster Risk Reduction; Alcaldia Perquín
PROSERCON Fátima Echeverría	Consultant	Disaster Risk Reduction; Alcaldia Perquín
GARCIA QUESADA Ana Isabel	DSD	Coordinador for Social Prevention of Violence
A. WOERRLE Marcus	Embassy of Germany	Ministro Consejero
RAMÍREZ Karin	Embassy of Germany	Cónsul
WOLLNY Hans	Embassy of Germany	Consejero Jefe de Cooperación Alemana
GALLARDO Carmelo	FAO-PESA	Representante proyectos regionales en SAN
BENAVIDES Blanca Mirna	FUNSALPRODESE - ALOP	Directora Ejecutiva
ESMAIL Rubeena	GIZ	Directora Prevencion de la Violencia Juvenil en Centroamerica - PREVENIR
MASCHER Friedegund	GIZ	Asesora Principal, Proyecto Ordenamiento Territorial y Desarrollo Sostenible en Centroamérica
MAYORGA Guillermo	GIZ	Sector Specialist
PANCEL Laszlo	GIZ	Asesor Principal del Programa REDD para América Central y República Dominicana
Mancomunidad Trinacional Fronteriza del Río Lempa (MTFRL)	Integrantes de la Mancomunidad Trinacional MTFRL	
FIELD Delbert	International Organization for Migration (IOM)	Chief of Mission
OROZCO Claudia Lara	International Organization for Migration (IOM)	Project Coordinator
GARCÍA Manuel	INTERPOL	
RIVAS Julio	INTERPOL	



Name, Surname	Organisation	Unit/Function
MORALES María José	Ministerio de Agricultura	Representante en Comité Técnico de CONSAN-DE
VARELA Javier	Ministerio de Economía	Dirección de Política Comercial
GONZALEZ CORTEZ Jose Francisco	Ministerio de Relaciones Exteriores	Coordinador de Asuntos de Seguridad y Defensa (Punto Focal CASAC)
FUENTES Carlos	Ministerio de Seguridad y Justicia	Contact Point CASAC / ESCA
MORENO CARMONA Carlos Alberto	Ministry of Economy	Trade Policy Director
Presidente de MTFRL y Municipalidad de Olopa.	Municipalidad de Olopa	Presidente de MTFRL
ARÉVALO Varinia	OBSICA	Coordinadora
LASFUENTES Miguel Angel	OIKOS	Representante Regional
GONZÁLEZ Mario	Organización del Sector pesquero y Acuícola del Itmo Centroamericano (OSPESCA)	Director
CASTILLO Romeo Escobar	PAIRCA II	Administrador
FUENTES Jesús Corral	PAIRCA II	Jefe de Asistencia Internacional
RUIZ Diego	PAIRCA II	Técnico ATI seguimiento y evaluación
MS- Trinacional y MARSAN III y IV	participantes MS-Trinacional y MARSAN III y IV	
Pasantes, Graduados y Participantes actuales del MARSAN	Pasantes, Graduados y Participantes actuales del MARSAN	
Immigration / Police / Customs Officials	Paso fronterizo Agua Caliente (Guatemala / Honduras) SEFRO Project	
DIAZ PONER Maxolimi Elenixon	PRESANCA II	Técnico de Monitorea y Seguimiento; Perquín
GAMEZ Ena	PRESANCA II	Técnico de Monitorea y Seguimiento; Perquín
DEMAN Hedi	PRESISAN	Director
JOFFRE Raul	SEFRO	Programme Official

Name, Surname	Organisation	Unit/Function
MARTINEZ Vinicio	SEFRO	Coordinador Operativo DSD; Director de Cooperación Internacional; Coordinadora
Orietta ZUMBADO BOGANTES	SEFRO	Coordinadora de Programa
CACERES Ricardo	SG - SICA	Director de Tecnologías de la Información
ARGUELLO Cecilia	SG-SICA	Representante ante el Comité Ejecutivo
MENDOZA Nelson Oscar	SG-SICA	Institution Building
OROZCO Omar	SG-SICA	Director de Cooperación
PALACIOS Walter	SG-SICA (DSD)	Institution Building
Miguel CORLETO	SG-SICA, Directorate for Planning	TA
MONTENEGRO Gabriela	USAID	Especialista en Crecimiento Económico Proyecto regional Feed the Future

### People met in Guatemala

Name, Surname	Organisation	Unit/Function
GONZALEZ CANO Vincente	AECID	Asesor Principal Fondo Espana-SICA
ESTRADA Fanny	AGEXPORT	Directora Ejecutiva
CHIRIX Marvin	Concejo Indigena Centroamericano	Coordinación AJPU
ALARCÓN ALBA Francisco	Concejo Superior Universitario Centroamericano	Secretario General Adjunto
CASASOLA Andrés	CONRED	Director of Mitigation Department
FLORES Rogelio	CONRED	Coordination Direction Advisor
URIBIO Eric	CONRED	Sub-Director of Cooperation and National Linkage to CEPREDENAC
GONZÁLEZ MARTÍNEZ Ligia	DIAKONIA	Oficial de Proyecto Regional

Name, Surname	Organisation	Unit/Function
BARILLAS ARAGÓN Claudia	European Delegation Guatemala	Oficial de Programmas - SAN
LA FACE Carlo	European Delegation Guatemala	Task Manager - Programas de Comercio e Integración Regional
TANTTARI Liisa	European Delegation Guatemala	Chief of Cooperation Section
ZERVOUDAKI Stella	European Delegation Guatemala	Ambassador
DE LEÓN Carmen Rosa	Instituto de Enseñanza Para el Desarrollo Sostenible (IEPADES)	Directora Ejecutiva
DE LEÓN Mayda	Instituto de Enseñanza Para el Desarrollo Sostenible (IEPADES)	Responsable programa Regional
SÁNCHEZ Eddy	Instituto Nacional de Sismología, Vulcanología, Meteorología e Hidrología (INSIVUMEH)	Director General
BIGURIA Alejandro	Laboratorio de Arquitectura Alejandro Biguiria (LAAB)	Coordinador movimiento Tengo Algo que Dar, Despertemos y Alianza por la Nutrición
SALAZAR Alex	MAGA	Director -Dirección de Inocuidad de Alimentos
AGUIRRE Hector	Mancomunidad Trinacional Fronteriza Rio Lempa	Manager
REYES Franky	MINECO, Dirección del Sistema Nacional de Calidad	Director
COJTI Demitrio	Ministerio de Cultura	
JOVEL POLANCO Sandra	Ministerio de Relaciones Exteriores, Directora de Integracion,	Punto Focal CASAC / SEFRO
ITZEP Mario	Observatorio Indígena	Director
LÓPEZ FRESNO Palmira	PRACAMS	Jefe de Asistencia Tecnica Internacional
NAJERA Ruben	PRACAMS	Coordinador Técnico
MERIDA Esbin	PRAIAA	TA
POCASANGRE Liliana	PRAIAA	TA
TEJEIROS Ramon	PRAIAA	jefe de Asistencia Tecnica

Name, Surname	Organisation	Unit/Function
FUENTES Fernando	PRESANCA II	Representative of Programme in Guatemala
MONTERROSO Luis Enrique	Secretaría de Seguridad Alimentaria y Nutricional (SESAN)	Secretario
Coordinadora CEDESAN – SESAN	SESAN, CEDESAN	Coordinadora
BARBOZA Roy	SICA	CEPREDENAC (Secretario Ejecutivo)
CAMPOS VERDESIA Sylvia M.	SICA	PARLACEN (Focal Point PAIRCA 2)
DE MAZARIEGOS Diana	SICA	PRAIAA (Administradora de Anticipos)
ESPINOZA Eduardo	SICA	SIECA
FUENTES SORIA Alfonso	SICA	Concejo Superior Universitario Centroamericano (CSUCA)
GARCIA José Carlos	SICA	SG-SICA (Technical Advisor)
GARCIA William R	SICA	SIECA (Director Integracion Economica)
LEIVA OLIVA Saramelia	SICA	PARLACEN (Senior Technical Advisor)
LUCAS Carlos	SICA	SIECA (Director Seguimiento y planeacion)
MARTÍNEZ Aníbal	SICA	Concejo Superior Universitario Centroamericano (CSUCA) (Engineer)
MARTINEZ Ricardo	SICA	SIECA (Director de Finanzas y Administracion)
MATHEU Roberto	SICA	PARLACEN (Deputy)
PEREZ Carlos Roberto	SICA	PARLACEN (Deputy)
PEREZ Lourdes	SICA	SIECA (Asesora de la SG)
RAMIREZ HERNANDEZ Victor Leonef	SICA	PARLACEN (Deputy)

Name, Surname	Organisation	Unit/Function
RAMÍREZ Victor	SICA	CEPREDENAC (Director of Cooperation)
SIU Carolina	SICA	Instituto de Nutrición de Centroamérica y Panamá (INCAP) (Director)
SOTO María Eugenia	SICA	CEPREDENAC (Coordinator for Project Integration)
VALLE Mayra	SICA	CEPREDENAC (Specialist for training and education)
VASQUEZ VIDES Luis Manuel	SICA	PARLACEN (Deputy)
GAMEZ Alfredo Natareno	Transport firm	
COBAR Oscar	Universidad de San Carlos de Guatemala (USAC), Facultad de Ciencias Químicas y Farmacia	Decano
MATA Vivian	Universidad de San Carlos de Guatemala (USAC), Facultad de Ciencias Químicas y Farmacia	Directora de postgrado

### People met in Honduras

Name, Surname	Organisation	Unit/Function
GARCIA Oneyda Sarai	Alcaldía de Cabanas	TECNISAN
GRANADOS Gladys Olivia	Alcaldía de Santa Ana	TECNISAN, CEDESAN
CHICAS Alix Geovany	Alcaldía de Yarula	TECNISAN, CEDESAN
FERNANDEZ Xavier	Amigos de la Tierra	Monitoring and Evaluation Officer, ECOPECA
CASTILLO Luis	Asociación de Municipios de Honduras	Representante
IZAGUIRRE Lester Adrián	Asociación De Municipios Del Norte De Morazán (AMNM)	Técnico Infraestructura
TURCIOS Juan Esteban	Asociación De Municipios Del Norte De Morazán (AMNM)	Técnico Ambiental
Dina Elizabeth MOREL	CODDEFFAGOLF	Coordinator ECOPECA
FUNES Gonzalo	Comision Permanente de	Director de Gestion de la Prevencion

Name, Surname	Organisation	Unit/Function
	Contingencias (COPECO)	
Focus Group Community Members of Guapinol (Markovia)	ESMUFAP, El Jardin Cooperative, Youth Mission	
HERNÁNDEZ Melba	European Delegation Honduras	Cooperation Advisor
JARDINET Sylvanie	European Delegation Honduras	Cooperation and Trade
SILLANO Laurent	European Delegation Honduras	Chief of Cooperation
PAZ Felix Dolores	FENAPESCA	President
MENCIA DELCID Miguel Angel	PROCAFI	Director of External Cooperation
Regional Development Council Gulf of Fonseca (Focus group. 10 People)	Regional Development Council Gulf of Fonseca	
ESPINOZA Luis Eduardo	Secretaría de Recursos Naturales y Ambiente (SERNA)	Director de Recursos Hidricos

### People met in Nicaragua

Name, Surname	Organisation	Unit/Function
GUZMAN HERNANDEZ Oslan Antonia	Alcaldia San Lucas	Técnico en Seguridad Alimentaria Nutricional
OCHOA Noel Eliaser	Alcaldia Somoto	Técnico en Seguridad Alimentaria y Nutricional
TERRERO SÁNCHEZ Carlos Omar	Alcaldia Totogalpa	TECNISAN, Técnico Agropecuario
RODRÍGUEZ Guillermo	Amigos de la Tierra	Director, Proyecto ECOPECA
GONZÁLEZ Ramón	AMMA	Director Ejecutivo
Representantes de AMUNSE	Asociación de Municipios de la Segovia	AMUNSE
MORALES Sigrid	Asociación de Productores y Exportadores de Nicaragua (APEN),	Coordinadora - Oficina de Exportaciones
VELASQUEZ Miriam	CCJ (Punto Focal)	
CAMPOS Víctor	Centro Humbolt	Sub director
GERRITS Andreas	COSUDE	Director Residente Adjunto

Name, Surname	Organisation	Unit/Function
PORETTI Fabrizio	COSUDE	Director Residente Adjunto Responsable de Ayuda Humanitaria y Prevención
PEREZ-CADALSO ARIAS Guillermo	Court of Justice CCJ	President
RODRIGUEZ Reina	DIAKONIA	Oficial de Programa
SANDINO María Erlinda	DIAKONIA	Oficial de Programa
ANDRÉ Virginie	ECHO	Task Manager Central America
Teaching Staff, Secondary School Totogalpa	ECOSAN Totogalpa	
DE LEÓN Karina	European Delegation Nicaragua	Task Manager, Economic Integration and Institutional Strengthening
DE TORRES LLOSA Mercè	European Delegation Nicaragua	Agregada para Asuntos de Cooperación e Integración Regional
DEL BARRIO Jesús	European Delegation Nicaragua	Chief of Cooperation
FONSECA Michelle	European Delegation Nicaragua	Task Manager Cross- cutting issues (gender, human rights)
MEJÍA Sandra	European Delegation Nicaragua	Task Manager DRR
PEÑALBA Mauricio	European Delegation Nicaragua	Task Manager SAN y CC
SANDOMINGO NÚÑEZ Javier	European Delegation Nicaragua	Ambassador
SÁNCHEZ G Consuelo.	Fundación Quincho Barrilete	Directora Ejecutiva
ALVARADO Gabriela	IEEP / DIAKONIA	Oficial de Programa
BRAVO Juan Ramón	Instituto de Capacitación, Investigación y desarrollo Ambiental (CDEA -UCA)	Director de Proyectos
CUADRA LIRA Elvira	Instituto de Estudios Estratégicos y Políticas Públicas (Iepp)	Directora Ejecutiva
ALDANA Mario	Instituto Interamericano de Cooperación para la Agricultura (IICA)	Representante del IICA en Nicaragua

Name, Surname	Organisation	Unit/Function
Equipo Técnico de MANORPA, TECNISAN y Autoridades de la Municipalidad de El Paraíso Honduras (Sesión realizada en Dipilto Nicaragua)	MANORPA, TECNISAN y Autoridades de la Municipalidad de El Paraíso Honduras	
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SOLANO Nohemí	Ministerio de Fomento Industria y Comercio	
FLORES Martin, SANDINO Clara, SIERRA Dalila, VALLECILLOS Diana, MUÑOZ Marvin MIDENCE Kertin Y GARCÍA Jaser	PRESANCA II-PRESISAN (TMS)	Equipo de trabajo territorial (Honduras-Nicaragua)
BACA Marcio	Punto Focal en Nicaragua proyecto PREVDA	
GIULIOTO Roberto	RE.TE	Coordinador del proyecto de RE.TE
ACEVEDO Ricardo	SICA	CCJ (Magistrado)
GUERRA GALLARDO Carlos	SICA	CCJ (Magistrado)
MORATAYA Hefer	SICA	SG-SICA, Programa Centroamericano para el Control de Armas Pequeñas y Ligeras (CASAC) (Director)
PÉREZ-CADALSO Guillermo	SICA	CCJ (Magistrado)
RIVAS LECLAIR Santiago U.	SICA	Foro de Presidentes y Presidentas de Poderes Legislativos de Centroamérica y la Cuenca del Caribe (FOPREL) (Secretario Ejecutivo)



Name, Surname	Organisation	Unit/Function
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HERDOCIA Alvaro	UNDP	Coordinator - Regional Projects
RIVAS B.Maria N.	UNDP	Assistant Resident Representativ

### People met in Panamá

Name, Surname	Organisation	Unit/Function
BULNES Juan	APEX	Segundo Vicepresidente
MOLA Francisco David	APEX	Primer Vicepresidente
CARNEY Jorge	Autoridad Nacional de Aduanas (ANA)	Director General
DOPESA Maria Celia	Cancilleria de Panama	Coordinadora Cooperacion Extranjera
ALFARO Norma Carolina	Instituto de Nutrición de Centroamérica y Panamá (INCAP)	Coordinadora Unidad Técnica de Desarrollo de Recursos Humanos en SAN
ROMÁN Ana Victoria	Instituto de Nutrición de Centroamérica y Panamá (INCAP)	Institutional Coordinator, INCAP Comprehensive Center for Prevention of Chronic Disease
MORÓN Ahmed E.	Ministerio de Comercio e Industrias (MICI)	Director Dirección General de Normas y Tecnología Industrial
DEJOIE Eric	Office of the European Union in Panama	Chargé D'Affaires
PINEDA Alexis	Oficina de Negociaciones Internacionales	Director Nacional



## Annex 7 : Main economic indicators for Central America<sup>26</sup>

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Over the last two decades CA has undergone some of most progressive transformations in the world, from the perspectives of economic and social well-being. From a region characterised by rural populations to one of high levels of urbanisation, from countries defined by autocratic leadership and civil conflict to those where democracy and clean elections is the norm, and from resource-based economies (extraction) to value-added manufacturing and exporting, the Region has changed significantly. In spite of these gains, there are a lot of major challenges; some of which are persistent (ex. exclusion of vulnerable groups) and some are relatively new (ex. drug gangs). It has not generated enough employment to keep pace with population growth and it is well-known for high levels of income inequality, for example. It can boast the following:

### ***Relatively stable economic growth***

Compared to the rest of Latin America, the region as a whole has been much more stable and less volatile. Even the latest financial crisis of 2007-2009 only had a short (if intense) effect on economic indicators. It has not had an economic contraction since 1982 while most of the rest of the world, including the USA, was not as “fortunate”. Inflation has been kept under control and the region has maintained a positive fiscal balance.

### ***Trade integration (and its corollary: economic integration)***

The region has been working on generating trade integration at various levels for decades. It signed a CAFTA-DR Trade pact with the US and the Dominican Republic in 2004. Exports account for over approximately 20.4 percent of the sub-region’s GDP (see below)<sup>27</sup>, with over half of those goods being manufactured or with substantial value-added, compared to almost nothing a short few decades ago.

### ***Poverty decrease***

The number of people living in extreme poverty has generally declined although some countries are still struggling and not producing stable results. Inequality has dropped in most countries (including Honduras and Panama) although it is still a considerable challenge.

The following table contains the key demographic, economic and social indicators that apply to Central America.

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<sup>26</sup> This annex contains material from a number of sources, one of which is the Terms of Reference for the Evaluation of EU regional support to Central America. Specific other sources are identified. Every attempt has been made to obtain recent data; this has been possible for economic information (from IADB, World Bank, ECLAC, IFC and other sources) but recent social data has not been easy to come by and even the UNDP and SICA do not have complete sets of comparative data that is up-to-date.

<sup>27</sup> Beteta, H., “Central American Development: Two decades of Progress and Challenges for the Future”, W. Wilson Center for International Scholars, August 2012.

Key Demographic, Economic and Social Indicators for Central America 2011							
Indicator	Costa Rica	ES	Guatemala	Honduras	Nicaragua	CA	EU
population ('000 in 2011)	4.6	6.2	14.7	8.1	5.9	39.5	502.1
population density	90	294	135	72	45	93	116
Human Development Index 2012	0.773	0.68	0.581	0.632	0.599	n.a.	n.a.
Human Development Index Rank 2012 World Bank	69	105	131	121	129	n.a.	n.a.
% of population living on less than 2.0 USD per day	8.1	21.9	35.5	39.4	42.5	Latin America=17.0	n.a.
GDP at current prices 2011	41	23	46	17.4	7.3	135.5	14561
GDP per capita USD current prices 2011	8913	3909	3183	2148	1237	3878	29505
Increase GDP at current prices	5.2	4.2	6.3	3.7	8.2	3.7	3
Annual inflation rate	4.7	5.1	6.2	5.6	8	5.9	4.9
Currency exchange rate (average versus USD)	colon 1\$=511	colon 1\$=8.75	Quetzal 1\$=7.8	Lempira 1\$=19.05	Cordoba 1\$=22.56	n.a	euro 1\$ .8
Commercial trade	26.1	13.2	21.6	12.9	7.3	81.1	12166
Exports 2011	10.2	4.1	7.1	3.9	2.3	27.8	6029
Imports 2011	15.9	9.1	14.5	9	5	53.5	6135
Balance of trade	-5.7	-5	-7.5	-5.1	-2.8	-26.1	-106.9
Exports as % of GDP	24.8	17.8	15.2	22.4	31.5	20.4	41.4
Imports as % of GDP	38.8	35.6	31	51.7	68.5	39.5	42.1
Exports per capita	2217	661	483	481	389	698	12008
Imports per capita	3456	1467	986	1111	847	1354	12221
Commercial window: % (exp.+ imp) over GDP	63.5	57.4	46.2	74.1	100	60	85
Human Development Index Rank 2012 World Bank	69	105	131	121	129	n.a.	n.a.
% of population living on less than 2.0 USD per day	8.1	21.9	35.5	39.4	42.5	Latin America=17.0	n.a.

Source: "RELACIONES COMERCIALES ENTRE CENTROAMÉRICA Y LA UNIÓN EUROPEA" SIECA publication, June 2012

Table prepared by evaluation team, October 2013

Overall, it shows that Guatemala, Honduras and Nicaragua rank very low on the globe-wide HDI ranking of countries, indicating that their key social nets and public services, including health and education, are not providing adequate levels of services. They also have the highest proportion of their population living in extreme poverty (last line of table).

Economic growth varied widely from 10.5 percent in Panama to 1.4 percent in El Salvador in 2011 with a regional average of 4.5 percent<sup>28</sup>. The GDP per capita differs from US\$ 1,237 in Nicaragua to US\$ 8,913 in Costa Rica. Income distribution continues to be very

<sup>28</sup> Terms of Reference

unequal throughout the region and also within countries. And although the region did not “suffer” as much as the rest of the Latin American Region<sup>29</sup> (and indeed much of the world) during the last financial crisis, the current trend (2012) in most CA countries is a positive growth rate averaging 3.7 percent for 2012<sup>30</sup>. Remittances have played a major role in the growth and stability of the economy of all the CA countries and the 2007-2008 financial crisis resulted in almost 300,000 CA citizens return to the region due to economic tightening in the USA. Remittances dropped (by about 9 percent in 2008-09)<sup>31</sup> but rebounded again after two years; the importance of these remittances in the national economy ranges from around 17 percent in Nicaragua and El Salvador to a low of around 1.5 percent in richer countries (Costa Rica and Panama).

Interestingly, exports from Central America have grown at a much faster rate than imports, although some countries (see previous table) have a higher proportion of imports to exports than their neighbours and subsequently face currency and balance of trade issues (ex. Nicaragua).

The table below indicates the key trade patterns for the region, as noted by SIECA. The United States of America is the largest partner by a factor of three or more. The EU ranks as third partner after intra-regional trade.

<b>Principal Trading Patterns 2011 (Million USD)</b>			
Destination:	EXPORTS	Country of Origin	IMPORTS
<b>Total</b>	<b>27,570</b>	<b>Total</b>	<b>53,575</b>
USA	8,808	USA	21,928
Internal Central America	7,218	Internal Central America	7,020
EU	4,037	Mexico	4,396
Mexico	961	PR China	3,510
Panama	871	EU	3,426
Canada	665	Colombia	1,533
Hong kong	525	Panama	1,273
Venezuela	469	Japan	1,257
D. Republic	466	Venezuela	1,130
PR China	327	Brazil	883
Other countries	3,223	Other countries	7,219
<b>Source: SIECA Data Bases Do not include Maquila</b>			

Over the past four decades, intra-regional trade has grown four hundred fold to US\$ 14 billion in 2011, with imports and exports just about even at US\$ 7 billion each. The trade patterns show a considerable and overpowering trend to incur a significant negative

<sup>29</sup> Ibid, Betata, H. p.1

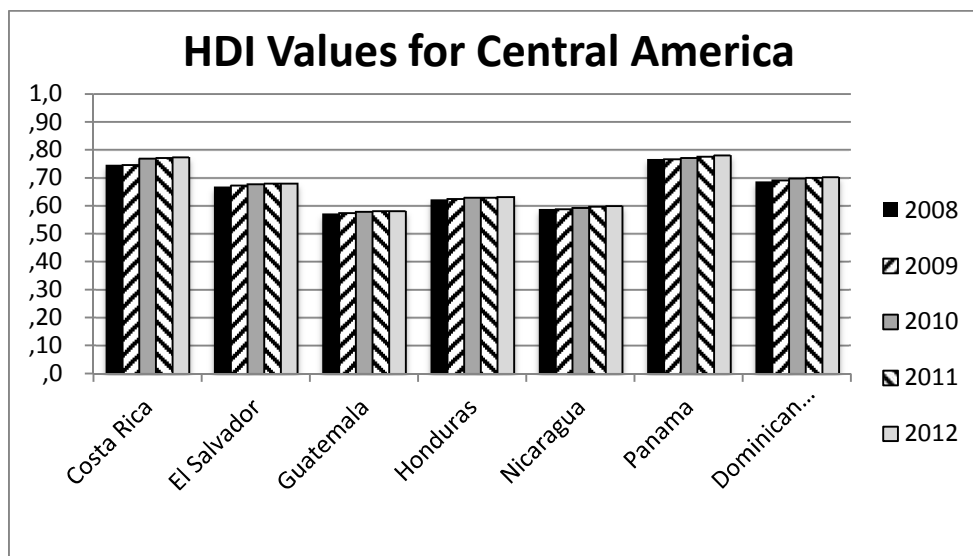
<sup>30</sup> See SIERCA combined table above

<sup>31</sup> Terms of Reference

balance of trade at US\$ 23 billion, most of it caused by a significant imbalance with the USA.

According to the UNDP, in 2011 the Human Development Indices (HDI) varies from 0.78 in Panama to 0.58 in Guatemala (see table below). SIECA notes that the percentage of people living on US\$ 2.50 a day or less fluctuate from 42.5 percent in Nicaragua to 8.1 percent in Costa Rica (refer to SIECA table above). It is important to note that the UNDP HDI index has raised for each country in the region since 2008, a positive sign even if some countries rate of improvement (Panama and Costa Rica) are greater than those of others such as Guatemala and Nicaragua.

HDI Values for Central American Countries 2008-2012					
	2008	2009	2010	2011	2012
Costa Rica	0.747	0.747	0.768	0.770	0.773
El Salvador	0.670	0.672	0.678	0.679	0.680
Guatemala	0.573	0.575	0.579	0.580	0.580
Honduras	0.624	0.625	0.629	0.630	0.632
Nicaragua	0.588	0.588	0.593	0.597	0.599
Panama	0.767	0.767	0.770	0.776	0.780
Dominican Republic	0.688	0.691	0.697	0.700	0.702



Source: UNDP Database on Development Data  
Table and Diagram prepared by evaluation team October 2013  
See footnote for HDI ranking of selected countries.<sup>32</sup>

<sup>32</sup> HDI Ranking of selected countries: Panama (59), Costa Rica (62), Dominican Republic (96), El Salvador (107), Honduras (120), Nicaragua (129) and Guatemala (133).

Food security and nutrition at all levels vary greatly within the region, and most countries (especially but not only the poor) being seriously hit hard by a significant increase in the price of corn and other basic foodstuffs taking place during the evaluation period<sup>33</sup> with a peak in 2011.

With malnutrition comes disease:

“In the Americas in 2007, 77 percent of total deaths (3.9 million) were due to non-contagious chronic diseases (NCDs). Of these deaths, 76 percent (2.95 million) resulted from four diseases: cardiovascular diseases (1.5 million), cancer (1 million), diabetes (232,000), and chronic obstructive pulmonary disease (219,000). **Three of these (all but chronic obstructive pulmonary disease) have poor nutrition as a risk factor.** Approximately 44 percent of deaths from all causes occurred before 70 years of age; these premature deaths are associated with significant social, health, and economic costs to families and countries, and to the health sector in particular.”<sup>34</sup>

Although it is clear that food security and the vulnerability of populations to malnourishment in CA rise and fall with conflicts, violence and natural disasters, it is also clear that the countries with the highest levels of people living in abject poverty will have the highest incidence of death and health-related problems associated with (the quantity and quality of) food. According to the WHO, the countries in CA represent a worst-case scenario when compared to other regions of the world, with between 10-18 percent of the population having problems in four countries. Only in Costa Rica does the figure fall below 5 percent, a figure that is surprisingly high, considering its overall economic wealth. “In order to remedy the situation, regional authorities are currently working on a regional framework on food security, one of the priorities targeted during the last SICA Summit of Heads of State on 14/12/2012”<sup>35</sup>.

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<sup>33</sup> For instance, the average price for a corn tortilla doubled in all countries with the exception of Panama.

<sup>34</sup> WHO “Regional strategy and plan of action on nutrition in health and development, 2006–2015: Mid-term review”

<sup>35</sup> Terms of Reference





## Annex 8 : Result of the focus group

This annex presents the findings of the two focus groups that were conducted during the field mission (Tables 1 and 2).

The first focus group was held on 31st March at the Office of PRESANCA II in San Salvador. 18 graduates of the MARSAN programme participated in the focus group, which was supported by the EU through the PRESANCA II project. The discussion focused on their experience of the MARSAN programme and the impact it had on their preparation for employment in food security.

The second focus group was held on 1st April at the Hotel Legendaria, Esquipulas, Guatemala. 16 TECNISAN trainees participated in the focus group. The discussion focused on the role of the programme in supporting their work.

**Table 1 : Focus group with MARSAN Graduates**

Interviewee		Date
		31 <sup>st</sup> March 2014
Name	Function	Place
Various (all MARSAN Graduates)	Various	PRESANCA II Office, San Salvador
Issues discussed		
<ul style="list-style-type: none"> <li>• Reasons to enter programme</li> <li>• Expectations when entering programme</li> <li>• Fulfilment of expectations</li> <li>• Programme's capacity to prepare for work in Food Security</li> </ul>		
Elements emerged		
<p>MARSAN has been attracting professionals from a wide range of fields, bringing various new skills to the field of nutrition and food security; professionals are motivated by desire to work "practical" and to become more socially engaged.</p> <p>MARSAN has provided highly relevant, concrete tools; and first-hand experience in food security.</p> <p>Job-preparation of graduates very high; can hit the ground running, as they already know the field; and have been exposed to different perspectives on it.</p>		

## Findings/Observations

### Reasons to enter programme / Expectations

Graduates / students come from wide range of backgrounds: Journalism, Medicine, National Government, Tourism, Education.

Attracted by possibility to a) become more socially engaged; b) work practically on important issue facing Central America; aspects that often had been missing from their previous work; e.g.:

- “Coming from Journalism, I wanted to work more in the area of social communication, which had been an aspect in my original university studies, but not in my work as a journalist”
- “I wanted to experience and get to know the conditions in communities in my country”; “understand the practical aspects of food security”

Most participants knew about food security as a concept; but were surprised to find out about the multi-sectoral aspects of food security; i.e., the relevance of education, local development, health, communication, public policy, etc. for the food security in a given community.

### To what extent where expectations met:

- Overall, the expectations of participants were met; and even exceeded. In particular, students appreciated the following aspects of the course:
  - Learned to use very concrete tools that turned out to be very relevant and useful for the different aspects of food-security related work (e.g.; understanding the situation in communities, to engage with communities; analytical work related to food security, policy-related aspects)
  - Short and condensed (very intensive), were hands-on practical experience / working, living and learning in the field complemented the introduction of theory content. “Programme is relatively short; but really relevant; theory that we learned mixes well with the practical part of the programme”
  - Participants appreciated that programme allowed them to work with different actors; including the staff in local administrations (including TECNISAN); which allowed them to understand the political, social and economic dynamics surrounding food insecurity.
  - Illustrated how different levels (regional, national, local) are connected.
- Note: Very small minority of students had misunderstood the focus of the programme before entering; but liked the direction it took once they realized what it was about.

### Programme’s capacity to prepare for work in Food Security

Participants felt very well prepared by MARSAN for the work they have done since they graduated. In particular the practical aspects of the programme helped to ensure that this was the case.

The high degree of preparation applied to different field / areas in which the participants had worked since their graduation, such as

- Monitoring and Evaluation, including indicator development / selection

<ul style="list-style-type: none"> <li>➤ Management Information Systems;</li> <li>➤ Working at local level (“knowing the institutions we have to work with”)</li> <li>➤ Field inquiries / research</li> </ul> <p>Participants realize how well they are prepared when they are asked to explain, food security and related concepts to other stakeholders (local authorities, communities, TECNISAN), and when they can explain these concepts well and comprehensively.</p>
<b>Relevant for which EQs/ JCs/ Indicators?</b>
EQ 7 – Food Security; in particular the following JCs and Indicators:
JC 7.2 on “Improved exchange and use of data and information” on food security; Indicators 7.2.2 (National stakeholders make available / provide national information on food security); 7.2.3 (National stakeholders utilize data and information from regional sources”

**Table 2 : Focus group with TECNISAN Trainees**

Interviewee		Date
		1 <sup>st</sup> April 2014
Name	Function	Place
Various TECNISAN Trainees)	Various	Hotel Legendaria, Esquipulas, Guatemala
Issues discussed		
<ul style="list-style-type: none"> <li>• Role and approach of TECNISAN</li> <li>• Challenges of working as TECNISAN</li> </ul>		
Elements emerged		
<p>TECNISAN provide new skills and resources at local level to organise communities; and to support municipalities to change their planning procedures (e.g.; food security classifications as basis for adjusted planning).</p> <p>Training has equipped TECNISAN with required understanding of concepts; tools for their work; and also methods such as project management.</p> <p>Challenges include political changes; and the aligning of work at community level; and provision of required resources to follow-up.</p>		
Findings/Observations		
<p><u>Role and approach of TECNISAN:</u></p> <p>TECNISAN (once trained) are most commonly engaged in supporting the organisation of the communities PRESANCA II / PRESISAN have been supporting; working with women, men and children; creation of COMUSAN.</p> <p>TECNISAN also work on the “characterization” of communities / municipios (i.e., in essence the classification of the municipality in terms of its food security situation) (which involves working with local health workers, among other things), as a basis for the development of a local food security strategy.</p>		

Approaches include the training of food security facilitators (using the local CEDESAN as resources) on a range of topics in relation to food security and nutrition; and community organising; as well as community food security promoters (promotores).

Role of the programme to facilitate their work:

Relationships established during training and structure of the programme (PRESANCA II) as such make it easy and common for TECNISAN to exchange information and experiences amongst themselves (e.g., also when it comes to the development of indicators for monitoring the local food security situation; i.e. to pick up on food security aspects that are common among communities).

Local food security strategies are supported with [FONSAN-funded] projects; municipalities need to provide counterpart support (in-kind, not financial) for these projects.

Better understanding of issues such as project management (conveyed through TECNISAN training) helps in their work.

The local food security “observatories” are resources that help the exchange and provision of information to the municipal councils (consejos municipal).

Challenges of working in Food Security as TECNISAN:

Political changes in local administrations (e.g., election of new mayor) disrupt the continuity of the work (also as often staff in local administrations is rotated out with the mayor; which means that TECNISAN need to leave).

After organising and mobilizing communities, it is not always easy to ensure that resources become available to support and sustain work in those communities.

Ensuring the sustainability of the COMUSAN (political / representative / planning structures at community level) can be challenging.

**Relevant for which EQs/ JCs/ Indicators?**

EQ 7 – Food Security; in particular the following JCs and Indicators:

JC 7.2 on “Improved exchange and use of data and information” on food security; Indicators 7.2.2 (National stakeholders make available / provide national information on food security); 7.2.3 (National stakeholders utilize data and information from regional sources”

JC 7.4 “Policy framework facilitates improvements in the food security situation of women” (different indicators)

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