

**Case Tracking and Performance Systems  
for Costa Rican Narcotrafic Prosecutors  
Award No. SINLEC10GR007**

**FOURTH QUARTERLY REPORT**  
**April to June 2011**

**Submitted to the  
Bureau of International Narcotics  
and Law Enforcement  
United States Department of State  
July 2011**



**Florida International University  
Center for the Administration of  
Justice**

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## LIST OF ACRONYMS

AG - Attorney General

AGO - Attorney General's Office

APO – Adjunct Prosecutor Office

CPD – Country Project Director

CPP – Código de Procedimiento Penal (Criminal Procedure Code)

DCPD - Deputy Country Project Director

FIU – Florida International University

FIU/CAJ – Florida International University, Center for the Administration of Justice

INL - Bureau of International Narcotics and Law Enforcement

ML - Master Lex, FIU's subcontractor

MP – Attorney General's Office, National Prosecutors Office, Public Ministry

PCD- Antidrug Police

# POLICY ISSUES

## 1.1. VISIT OF THE US AMBASSADOR TO PROJECT



(Left upper corner) US Ambassador to Costa Rica Anne Slaughter Andrew and Supreme Court President Luis Paulino Mora; (Right upper corner) Ambassador Andrew and Deputy Attorney General Guillermo Hernández, at the back INL Officer, Marcely Sanchez and FIU Vice President for Research, Luis Salas. (Left bottom corner) US Ambassador during her presentation. (Right bottom corner) Country Project Director, US Ambassador, Supreme Court President and Deputy AG.

On June 22, the US Ambassador to Costa Rica, Anne Slaughter Andrew, visited the Costa Rican Judiciary for a briefing on the INL Project. She was accompanied by INL Officer Marcely Sanchez and was received by the Supreme Court President Luis Paulino Mora; several other Supreme Court Judges; the Deputy Attorney General, Guillermo Hernández; the Adjunct Prosecutor for Narcotrafic and Organized Crime, Walter Espinoza; the Judiciary General Administrator, Alfredo Jones; as well as by FIU Vice President for Research, Luis Salas, the Deputy Director of the FIU Center for the Administration of Justice, Ana

Carazo, the Country Project Director, Daniel González; the Deputy Project Director, Carmen Rodríguez, the Master Lex (ML) Vice President, Mauricio Chotocruz and the ML Information Technology Specialist, Rodolfo Arias.

During the Ambassador's visit, the AGO and the FIU/ML team reviewed the Project achievements in counter narcotics prosecution training and conducted a demonstration of the automated system for case management and performance evaluation that FIU/ML has designed, tested and installed in the Adjunct Narcotics Prosecutors Office in the First Judicial Circuit of San Jose. The Ambassador expressed her satisfaction with the accomplishments of the project and her interest in expanding the system to other parts of the country where narcotics traffic is a serious problem.

## 2. ACTIVITIES AND ACHIEVEMENTS

### 2.1. FOURTH TRAINING ACTIVITY – TREND OF ORGANIZED CRIME IN CENTRAL AMERICA. LEGAL STRATEGIES AGAINST ORGANIZED CRIME. PRESENTATION OF EVIDENCE IN NARCOTRAFFIC CASES.

During the week of June 6 to 10, 2011, two CAJ consultants, Dr. Ignacio Sanchez, Judge of the Provincial Court of Madrid and Law Clerks Coordinator of the Constitutional Court of Spain and Dr. Jose Gonzalez Cussac, Criminal Law Professor at the University of Valencia, together with the Country Project Director, Dr. Daniel Gonzalez, carried out three training sessions on: 1) Trends of Organized Crime in Central America; 2) Legal Strategies against Organized Crime; and, 3) Presentation of Evidence in Narcotraffic Cases. On June 6 the full-day activity was open to all AGO prosecutors, on June 7 it was limited to Narcotraffic and Organized Crime Prosecutors and on June 8 it was open to police investigators from the Judicial Investigation Agency (OIJ) and to Drug Control Police officers (PCD) from the Security Ministry. On June 9, the consultants traveled to Guanacaste and the following day provided the same training to prosecutors and police officers in Liberia. During the week 136 persons participated in the three different training sessions. Though training took place only in two locations, San Jose and Liberia, narcotraffic prosecutors from other areas (Cañas, Nicoya, Puntarenas, San Ramon, Golfito, Grecia and Perez Zeledón) with significant levels of drug trade came to the sessions. Participants in the sessions were extremely satisfied with the trainers and evaluated them as excellent or very good.

The participants received materials after the training sessions that were evaluated as excellent and very good by 93% of them. The sessions were recorded to be available for future consultation.



From all the participants, 32% felt that the training reinforced their knowledge of the subject matter, 38% considered that it helped them to increase their knowledge and 30% believed that they learned new things. All felt that such training should continue because it improves their skills and knowledge.



**2.2. RADIO PROGRAM ON: “NARCOTRAFFIC AND CONTROL OF TELEPHONE INTERVENTIONS”.**

On June 13, during the one-hour AGO radio program, the “Prosecutors and You,” Dr. Ignacio Sanchez, Judge of the Provincial Court of Madrid and Law Clerks Coordinator of the Constitutional Court of Spain, was interviewed by the prosecutor Laura Monge on Narcotrafic and Control of Telephone Interventions. The program is transmitted by



“Radio Columbia”, a station with nation- wide coverage that is very popular among Costa Ricans. Several listeners called in to the Station to praise the program.

### 2.3. PROGRESS IN THE DEVELOPMENT OF THE CASE TRACKING SYSTEM

#### 2.3.1. COMPLETE PHASE 4 WITH THE ALFA TESTING OF THE SYSTEM

The system has been delivered, with all the contracted functionality and the alpha testing approved by the counterpart teams.

#### 2.3.2. COMPLETE TRAINING PLAN, CONFIGURATION AND DELIVERY SUPPORT OF THE PILOT IMPLEMENTATION PLAN

The pilot implementation plan has been delivered, revised, adjusted and approved by the counterpart teams. It includes a guide for the planning of each of the main activities during the implementation phase: configuration of the production platform, system installation in this platform, final migration, final beta testing, training facilities configuration, training realization, start up of the system and support during the first days of operation.

#### 2.3.3. PREPARATION OF THE ROAD MAP FOR FUTURE REPLICATION OF THE SYSTEM.

This deliverable has been produced and is currently under internal revision in Master Lex. It will be submitted to counterpart teams by the middle of July, once the AGO personnel return from the mid-year judicial recess.

### 2.4. DIFFICULTIES, CHALLENGES AND COMPLIANCE WITH MONITORING PLAN TIMETABLE

The following problems have affected compliance with the Project timetable:

- The Judiciary took longer than expected approving the donation and installation of servers donated by the Project.
- The Beta testing of the system took longer than scheduled because AGO Counterpart Officers had other obligations and only could devote four-hour sessions to review the product. Due to the multiple functions of the AGO counterpart team and the Judiciary Information Technology Department there have been several delays in reviewing and approving products. These officers have limited time to devote to the system implementation process and this will probably affect training implementation schedules.

- The project had to stop implementation for a week in April because officers did not work during Holy Week, as it is customary in the country. The Project will have to stop during the period of July 8 to July 18 due to AGO's mid year recess.

Due to the above mentioned problems, the Project, in spite of the efforts of the FIU/ML team, continues to run one month behind schedule, although it is expected that all activities would be completed by the end of July, beginning of August.

## 2.5. PROJECTIONS FOR THE FOLLOWING MONTHS (JULY - AUGUST 2011)

- Deliver preparation of the road map for future replication of the system after discussion and approval by counterpart teams.
- Complete final data loading and migration. The final migration will be executed in the last week of July, prior to the start up of the system.
- Training of users and technicians in the new system after AGO officers return from mid-year break.

## 2.6. AGO COUNTERPART CONTRIBUTION

During the reporting quarter from April to June 2011, the Attorney General Office's counterpart contribution was US\$30,165.25. From the beginning of the Project AGO personnel have contributed 4,102 person/hours for an estimated total value of US\$92,272, estimating the person/hour at US\$22.50, plus \$6,221 in per diem for participants in the four training sessions. Up to March 2011, the Attorney General Office's total counterpart contribution has been US \$98,493.50. See detail below.



Date	No of hours	No. Persons	Total Hours	Per diem	Total Contribution in US\$
<b>End of First Quarterly Report</b>	<b>15.5</b>	<b>54</b>	<b>127.5</b>		<b>\$2,868.75</b>
<b>End of Second Quarterly Report</b>	<b>165</b>	<b>157</b>	<b>1,713</b>	<b>\$1,807</b>	<b>\$40,349.50</b>
<b>End of Third Quarterly Report</b>	<b>161</b>	<b>176</b>	<b>1016</b>	<b>\$2,250.00</b>	<b>\$25,110.00</b>
<b>Meetings and document review for case mgmt. system Fourth Quarterly Report</b>					
12-Apr	3	3	9		\$202.50
13-Apr	3	3	9		\$202.50
14-Apr	3	3	9		\$202.50
15-Apr	3	3	9		\$202.50
25-Apr	3	3	9		\$202.50
9-May	4	4	16		\$360.00
10-May	4	4	16		\$360.00
18-May	4	4	16		\$360.00
26-May	2.5	4	10		\$225.00
2-Jun	2.5	3	7.5		\$168.75
3-Jun	2.5	3	7.5		\$168.75
6-Jun	3	2	6		\$135.00
7-Jun	5	3	15		\$337.50
8-Jun	5	3	15		\$337.50
9-Jun	5	3	15		\$337.50
13-Jun	3	3	9		\$202.50
15-Jun	3	3	9		\$202.50
16-Jun	3	3	9		\$202.50
17-Jun	3	3	9		\$202.50
20-Jun	3	5	15		\$337.50
21-Jun	3	5	15		\$337.50
22-Jun	3	5	15		\$337.50
23-Jun	2	5	10		\$225.00
30-Jun	2	5	10		\$225.00
7-Jul	2.5	5	12.5		\$281.25
<b>Training Sessions June 6-10, 2011</b>					
Participants	7.13	136	792	\$2,164.00	\$19,984.0

<b>Date</b>	<b>No of hours</b>	<b>No. Persons</b>	<b>Total Hours</b>	<b>Per diem</b>	<b>Total Contribution in US\$</b>
Training Unit Personnel	35	5	170		\$3,825.00
<b>End of Fourth Quarterly Report</b>			<b>1,244.5</b>	<b>\$2,164.00</b>	<b>\$30,165.25</b>
<b>Total counterpart contribution as of June 30, 2011.</b>			4,102	\$6,221.00	\$98,493.50

### 3. PROJECT INDICATORS

Indicator	Data collection method	Frequency	Current Situation
1. At the end of the project, the Attorney General's Office is satisfied with the system designed and developed by FIU/ML.	Letter from the Attorney General's Office.	Annually	To be reported at the end of the project
2. At the end of the project, the Attorney General's Office is satisfied with the plan for the replication of the case tracking system in the whole country.	Letter from the Attorney General's Office	Annually	To be reported at the end of the project.
3. The case tracking system incorporates a performance evaluation component agreed with the Attorney General's Office.	Letter from the Attorney General's Office	Annually	<p><b>ACHIEVED</b></p> <p>Team reviewed the Performance Evaluation Model prepared by AGO and developed together with AGO a key management and performance indicators model that was incorporated into the new case tracking and information system.</p>
4. 100% of the trained users at the Adjunct Narcotics Prosecutors Office in the First Judicial Circuit of San Jose are able to manage the system.	Information collected by FIU/ML Deputy Director and Financial Manager of all the training activities carried out by the project.	Every six months	Users already have an initial knowledge of the system and the indicators that will be generated. Training will be done during the month of July 2011.

<p>5. 100% of the data identified as importable from SISPLAZO during the first phase of the project (institutional assessment) are incorporated into the new system.</p>	<p>Institutional assessment report and final project report</p>	<p>Annually</p>	<p><b>ACHIEVED</b> During the assessment the data from the SISPLAZO was identified and was incorporated in the new system</p>
<p>6. The new case tracking system will register at least 50% of the data required from prosecutors to prepare reports and which were identified during the first phase of the project (institutional assessment).</p>	<p>Institutional assessment report and final project report</p>	<p>Annually</p>	<p><b>ACHIEVED</b> Team has identified with AGO the elements that prosecutors must include in their case reports. The system provides all the elements the prosecutor needs to prepare his/her cases.</p>
<p>7. The system is able to produce a maximum of 12 key management indicators identified during the first phase of the project (institutional assessment).</p>	<p>Institutional assessment report and final project report</p>	<p>Annually</p>	<p><b>ACHIEVED</b> Key management and performance indicators were approved by AGO and are generated by the case-tracking system automatically.  Some of these key management indicators measure aspects all along the case process and others report results on an annual basis.</p>
<p>8. The project will establish baseline data for future projects.</p>	<p>Final Report</p>	<p>Annually</p>	<p>To be reported at the end of the project.</p>

## 4. GENERAL AND ADMINISTRATIVE MATTERS

### 4.1. PROGRAM EXPENDITURES

Annex 1 contains program expenditures for the quarter and totals expended by contract line item since the Project's inception.

### 4.2. TRAINING ACTIVITIES AND WORKSHOPS

Training activities took place for one week from June 6-10, 2011. A total of 136 persons were trained on three different topics: a) *Trends of organized crime in Central America*; b) *Legal Strategies against Organized Crime*; and, c) *Presentation of Evidence in Narcotraffic Cases*. 67% of the participants were narcotrafficking or organized crime prosecutors. 15% were prosecutors in other criminal subject areas. 37 % of the participants were women. Each prosecutor received an average of seven hours of training.

During the quarter, also 25 investigative and antidrug police received training. The prosecutors who participated in the training had worked an average of eight years. Participants were pleased that training included not only prosecutors but also police officers.

#### Participants in the three training activities.

Participant	Percentage	Total	Men	Women
Narcotrafficking and Organized crime	67%	91	59	32
Other Prosecutors	15%	20	12	8
OIJ Police Officers	13%	18	10	8
PCD (Antidrug Police)	5%	7	4	3
Total	100%	136	85	51
			63%	37%

### 4.3. PERSONNEL

No new project funded personnel were hired during this quarter.

### 4.4. COMMODITY PROCUREMENT

No commodities were purchased or delivered during this quarter.

#### 4.5. CONTRACTUAL ISSUES

FIU signed with INL a cost amendment (US\$ 349,927) and extension to 7/31/2012 of the Case Tracking and Performance Systems for Costa Rican Narcotrafficking Prosecutors Project to provide technical assistance for institutional reorganization of the Costa Rican AGO to effectively combat narcotrafficking, and to assist the Attorney General Office to complete its reorganization but with funding until April/30/2012.

The Work Plan for this cost-amendment appears as Annex No. 2



# ANNEX 1

## FINANCIAL REPORT

(See Annex 1 in separate file)

# FEDERAL FINANCIAL REPORT

(Follow form instructions)

<b>1. Federal Agency and Organization Element</b> (To Which Report is Submitted)	<b>2. Federal Grant or Order Identifying Number Assigned by Federal Agency</b> (To report multiple grants, use FFR Attachment)	Page <b>1</b> of <b>1</b>
U.S. Department of State	S/N: E10GR0047	08/04

**3. Recipient Organization** (Assume full complete address including zip code)  
 Middle Tennessee State University  
 100 RA WARD AVE | 11200 OWEN Fc | Murfreesboro TN 37132

<b>4a. FUNS Number</b>	<b>4. EIN</b>	<b>5. (Optional) Award Number or Identifying Number</b> (To report multiple grants, use FFR Attachment)	<b>6. Report Type</b>	<b>7. Basis of Accounting</b>
07-29-8014	60877644	803505931	<input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual

**8. Project Grant Period**  
 From: (Month, Day, Year) 07/01/10 To: (Month, Day, Year) 06/30/11

**9. Reporting Period Date**  
 (Month, Day, Year) 07/01/11

**10. Transactions** Completion:

(Use lines one for single or multiple grant reporting)

**Federal Cash** (To report multiple grants, also use FFR Attachment):

a. Cash Receipts	\$403,807.78
b. Cash Disbursements	\$438,100.00
c. Cash on Hand (end of month)	(\$27,906.94)

(Use lines one for single grant reporting)

**Federal Expenditures and Unobligated Balance:**

d. Total Federal funds authorized	\$603,600.00
e. Federal amount expended	\$452,198.78
f. Federal amount of unliquidated obligation	\$111,746.28
g. Total expenditure (sum of f and e)	\$563,945.06
h. Unobligated balance of Federal funds (line d minus g)	\$39,654.94

**Recipient Share:**

i. Total recipient share required	
j. Recipient amount expended	
k. Remaining recipient share to be provided (line i minus j)	

**Program Income:**

l. Total Federal program income received	
m. Program income expended in accordance with the regulation(s) cited	
n. Program income expended in accordance with the administrative plan	
o. Unexpended program income (line l minus line m)	

11. Funded	Type	Rate	Contract #	Period To	Q. Total	e. Amount Expended	f. Federal Share
1	Federal Title	25%	0115 010	01/01/01	229,101.50	\$ 27,906.94	\$ 256,194.56
<b>g. Totals:</b>						<b>\$ 27,906.94</b>	<b>\$ 256,194.56</b>

**12. Remarks:** Attach only expenditures or other necessary or information required by Federal sponsoring agency in accordance with governing legislation.

**13. Certification:** By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001)

3. (Typed or Printed Name and Title of Approving Official)

George L. Y. [Signature] Director of Finance

L. (Signature of Approving Official)

7/14/2011

Standard Form 425  
 OMB Approval Number: 0341-005  
 Expiration Date: 10/31/2011

**Paperwork Reduction Statement:**  
 According to the Paperwork Reduction Act, we estimated the portion of the report required to be collected from the recipient. It is estimated that the average recipient will spend 15 minutes to complete this report. Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and reviewing and reporting the data. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Washington Headquarters Service, Paperwork Reduction Project (0341-005), Washington, DC 20503.

## ANNEX 2.

### TIMELINE OF COST AMENDMENT

ACTIVITY	MONTHS									
	1 July	2 Aug	3 Sep.	4 Oct.	5 Nov.	6 Dec.	7 Jan.	8 Feb.	9 March	10 Apr.
Original Estimated starting date March, 2011, estimated ending date December 2012										
Revised starting date July, 2011, estimated ending date, April, 2012										
<b>1. Provide Technical Assistance to AGO in their strategic planning process leading to a reorganization of narcotics crimes prosecution units</b>										
<b>a. Assessment (Includes an analysis of current AGO's situation and its current organization model)</b>										
<b>b. Formulation of recommendations for new organization model and validation of recommendations</b>										
<b>c. Assistance for the Implementation of the reorganization Plan</b>										
• Support for the incorporation of the new model main requirements into the 2013 institutional budget.										
• Implementation of the results of the strategic planning process and development of implementation plan										
• Support for implementation of new model's short term actions										
• Preliminary Framework development for the 2012-2016 Strategic Plan										
<b>2. Evaluation of Results and preparation of final report with lessons learned and recommendations</b>										
Evaluation of Results										
Preparation of final report with lessons learned and recommendations										