Arms Trade Treaty Voluntary Trust Fund

FINAL REPORT

Ministry of Foreign Affairs

Project No.: ATT.VTF.G2017.005CRI

30 November 2018
Arms Trade Treaty Voluntary Trust Fund - Final Report

Project number: ATT.VTF.G2017.005CRI
Grantee name: Ministry of Foreign Affairs
Project title: Training and facilitation of the exchange of experiences in the subregion: clarifying regional processes in customs and border control, as well as promoting inter-institutional coordination to better create national and joint policies for the effective implementation of the Arms Trade Treaty (ATT)
Grant Amount: USD $96,118.00
Final Report submission date: 30 November 2018
Period covered under this report: 10 August 2017 – 30 September 2018

1. Project activities and outcomes
   a. Describe the project outcomes.

The activity that took place in Panama (January 17 and 18) made it possible to identify the challenges of less dynamic economies than the Panamanian one. It also increased the need for more information, such as the recognition of new forms of arms trafficking, like the use of courier services to send parts, components and ammunition. In the same way, contributed to recognize and examine cases of diversion of weapons and to analyze the mitigation measures that were implemented to address the issue. Particularly, the situation occurred between Costa Rica and Panama. It allowed us to focus on the ease with which weapons legally enter a country, the ease with which they can be diverted and the conditions of the context that are used to carry out trafficking activities (such as the existence of a ban on the import of weapons in Panama since 2012). This put in perspective the need to address in detail the storage conditions of places such as police arsenals, of the armed forces, and by the effects of this diversion situation, from private security companies. This was very relevant and illustrative because it allowed us to identify that very often the weapons that are diverted and that are trafficked come from arsenals of official and also legal security forces. The project facilitated the coordination between national authorities and sector groups regarding common issues. Informally, a WhatsApp network was created where representatives of customs and arms control entities exchange information on a regular basis: weapons lost by series or with import marking, for example. This informal mechanism facilitates consultations between the authorities of the participating countries in the training.

The activity that was carried out in the triple border: El Salvador, Honduras and Guatemala (July 23-27), allowed to identify the risks and vulnerabilities in the land border areas and analyze the modalities that are used to traffic weapons or enter them illegally. In this regard, it stressed that sending packages is a way to disguise this type of goods. This activity also allowed us to recognize the lack of knowledge that the officers of the various institutions have in the field, regarding their capacities to detect risks and threats, due to ignorance and lack of training. When integrating frontier personnel in these spaces, it was also highlighted, the diversity of situations that arise in these spaces, for example: the limited available resources, the limited or non-existent access to
technology, the reduced number of personnel and even lack of knowledge. However, it allowed for a compilation of detected modus operandi, routes and strategies that have been observed by people assigned to border control areas.

Based on the two main activities that were carried out, and taking into account that project funds were administered efficiently (scheduling activities outside the high season that had a lower cost of hotel and air tickets; the activity defined in the triple border required the transfer of at least three of the countries by specifically terrestrial means), it facilitated reducing the costs of project implementation. In view of this situation, a formal request was made to rethink the use of the remaining funds from two proposed activities: a final regional meeting and ATT implementation courses for the Costa Rican agencies involved.

The regional meeting to identify the common elements of a regional implementation agenda took place in San José, Costa Rica (September 13 and 14); institutions with responsibilities in the area of arms control and arms transfer were convened. The strengthening of control measures was promoted, as for example related to the marking of firearms, incorporating the import marking that some countries of the region already carry out, as well as the marking of ammunition that responds to a novel measure that is doing the Dominican Republic. In the same way exchanges of information of the administrative and legal mechanisms in control matters were carried out. In addition the use of traffic detection strategies with canine support and research and intelligence units, were presented.

The other activity of relevance in this second stage of implementation was the offering of courses for the implementation of the ATT, which was designed with the objective of raising awareness and promoting knowledge to the different state agencies that have responsibility for the issue of arms control. The course was designed to be held in a minimum of four hours and was offered to the DIS (National Intelligence Directorate), the Weapons and Explosives Unit, the Costa Rican Institute against Drugs (ICD that observes the issue of organized crime); the Judicial Investigation Agency (OIJ - Repressive Police that has an organized crime unit); the Public Security forces, and the General Customs Directorate.

In addition to explaining in detail what the ATT is, the links are reviewed with respect to the protection and monitoring of the guarantee of human rights; it identified the role of the country in relation to arms transfers, in the case of Costa Rica as an importer and transit country; and the responsibilities that the State has regarding the implementation and compliance of the ATT, in the cases of diversion and traffic. These situations were illustrated with examples. A total of 7 workshops were held, which benefited around 150 people. We received the interesting request from the University of Costa Rica to conduct a course for students of Public Administration, Customs and Foreign Trade.

Four courses were offered to Panama, which in the first instance showed great interest in receiving them, given that they had previously made the request for such support. However, once the tentative dates were established, it was impossible to specify the final dates of the training within the framework of the pre-established times - before September 30, 2018. Informally, we obtained information that the Director of the Interinstitutional Directorate of Public Security Affairs (DIASP), the person in charge of arms control in Panama, was being investigated for arms trafficking. At the time we understood why we had not managed to finalize the training dates, and since the remaining time was too short to make a similar offer to El Salvador or Honduras, we chose not to execute that part of the proposal.
b Describe how the project has assisted your implementation of the ATT.

The project has promoted the strengthening of informal mechanisms between Central American authorities on intelligence and arms control transfers and worked to identify best practices and common challenges. Furthermore, the project promoted cooperation between different state and regional institutions and worked to uphold the implementation of the Treaty, specifically in the customs and borders control areas which is a zone particularly necessary for the best application of the Treaty at both a national and regional level.

c List all States that benefitted from the project.
Panama, El Salvador, Guatemala, Dominican Republic, Peru, Honduras, Costa Rica

d Were all the project activities as specified in the Project Schedule (see Annex G) completed?

Yes ☐  No ☒

If no, explain why and describe any problems, constraints and difficulties experienced in implementing the project.

Taking into account that the implementation of the project was authorized to carry out activities until September, it is indicated that the largest number of proposed activities were carried out. It is important to recognize that due to the availability of participating institutions, which were also affected by the change in the country's president, the second activity was significantly delayed. However, it managed to materialize and allowed the establishment of a follow-up meeting.

Despite the fact that there was (still is) a national strike, there was the capacity to carry out the TCA courses in Costa Rica. The internal situation at the level of the DIASP in Panama prevented the offered courses from being carried out; however, this situation was out of Arias Foundation’s control, because the authority that takes the issue of the implementation of the TCA in that country is the Ministry of Public Security, to which the DIASP belongs.

What recommendations would you make in this regard?

Although the project managers may be clear about the roadmap and all the planned logistics, there are variables that are beyond the control (case of the Panamanian authorities and cost efficiency) that can impact either positive or negative the implementation of the project and it is important that there is some understanding and flexibility by those responsible for the VTF.

e How would you rate the relevance of the project (was the project suited to existing priorities and policies of the benefiting State(s))? 

<table>
<thead>
<tr>
<th>Not relevant at all</th>
<th>Not very relevant</th>
<th>Moderately relevant</th>
<th>Relevant</th>
<th>Very relevant</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
<td>☒</td>
</tr>
</tbody>
</table>

Explain your answer:
At a national level, the workshops helped increase the knowledge of those who work on the field implementing the Arms Trade Treaty. These people usually are not the ones who attend regional activities, so by doing these workshops workers from different institutions were able to understand the rationale behind the series of changes that were taking place as part of implementing the ATT. On a regional level, the priorities of the states were to implement the ATT effectively so by sharing experiences, governments could adjust their policies based on other country’s successes.

f How would you rate the effectiveness of the project (to what extent has the project attained its stated objectives)?

<table>
<thead>
<tr>
<th>Not effective at all</th>
<th>Not very effective</th>
<th>Moderately effective</th>
<th>Effective</th>
<th>Very effective</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>✔</td>
<td>☒</td>
</tr>
</tbody>
</table>

Explain your answer:

Throughout the meetings states were able to share their experiences and by having them in different countries, representatives could see concrete examples of what was presented. Countries’ concerns especially in the issue of marking ammunitions (which was an issue for most Central American countries) were addressed in the last meeting by a representative of the Dominican Republic.

At a national level workshop attendees were very interested in learning more about the ATT and expressed that they had a better understanding of the changes taking place in their respective fields.

g How would you rate the efficiency of the project (to what extent were the project results attained on time and within budget)?

<table>
<thead>
<tr>
<th>Not efficient at all</th>
<th>Not very efficient</th>
<th>Moderately efficient</th>
<th>Efficient</th>
<th>Very efficient</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒</td>
<td>☐</td>
<td>☐</td>
<td>✔</td>
<td>☒</td>
</tr>
</tbody>
</table>

Explain your answer:

As a result of the efficient handling of the budget we were able to add two more activities to project, and in spite of the issues with timing they were able to be completed in time.

h Please describe the impact of the project (i.e. the positive or negative changes or effects that the project results have on the surrounding circumstances).

Central American countries now have a network albeit an informal one through which organizations involved in the implementation of the ATT can exchange information about the formation of their respective national authorities. Each country also has more information about the issues that affect the isthmus as a whole and can implement measures to mitigate their effects in terms of arms transfers.
i. How would you rate the sustainability of the project (to what extent can the project benefits continue after the project has finished)?

<table>
<thead>
<tr>
<th>Not sustainable at all</th>
<th>Not very sustainable</th>
<th>Moderately sustainable</th>
<th>Sustainable</th>
<th>Very sustainable</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>☑</td>
<td></td>
</tr>
</tbody>
</table>

Explain your answer:

A network of representatives of Central American organizations involved in the implementation of the ATT was created as the same people would attend the activities. In addition the presentations made by each country in the activities were distributed, which means that each organization can use them as reference to replicate any good practice they were able to identify from other countries.

j. How will the Project outcomes be further used or applied in the future? Are there plans for the activities to be continued or for the experience gained to be shared?

We would like to continue the national workshops as many of the entities and the people who attend them are interested in receiving more information and people working on the field can now have a better understanding of the measures implemented as part of the ATT. This also allows for a more thorough implementation of the treaty. Ammunition transfer control is a challenge that would like to be addressed by many of the participating authorities.

2. Final expenditure report

Please complete the Worksheet titled ‘input’ in the VTF Expenditure Template – Final Report (Costa Rica) in Attachment 2.
3. Certification

Please complete a separate certification for each consultant engaged to undertake the project activities that have been implemented.

For the purposes of this certification:

Grantee means Ministry of Foreign Affairs.

Consultant means Arias Foundation for Peace and Human Progress

I, Norman Lizano Ortiz, being a person duly authorised by the Grantee hereby certify that:

1. The Consultant was engaged by the Grantee on or after the date the Grant Agreement was executed to deliver services to the Project.
2. The service provided by the Consultant to the Grantee has been completed in accordance with the Grant Agreement.
3. The amount paid by the Grantee to the Consultant for the provision of services to help implement the Grant project to date is (N/A)
4. I have attached the tax invoice provided to the Grantee by the Consultant for the provision of services for the Grant project to date.
5. I have attached a receipt from the Consultant confirming that the amount referred to in 3 above has been paid in full by the Grantee.
6. All the information I have provided to the ATT Secretariat (including the contents of this declaration) is complete, true and correct.
7. I am aware of the Grantee's obligations under their Grant Agreement, including the need to keep the ATT Secretariat informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
8. I am aware that the Grant Agreement empowers the ATT Secretariat to terminate the Grant Agreement and to request repayment of funds paid to the Grantee where the Grantee is in breach of the Grant Agreement.

Signed: ___________________________ Date

Head of Multilateral Affairs, Ministry for Foreign Affairs of Costa Rica

Please submit this report and signed declaration to ATT Secretariat along with:

- A copy of the tax invoice issued to you by the Consultant for the provision of services
- Proof the Consultant was paid. This could be a receipt issued to you by the Consultant or a bank statement.
null
06/06/2018 34230 002507 1797 4-8.1 Lodging for participants in Costa Rica regional meeting. Hotel Tryp San Jose, San José. 5,400.00 4,820.58 570.42 2,350.22

34230 34230 4-8.2 Additional phase: Accommodation. Hotel Tryp San Jose, San José. 4,500.00 4,468.83 111.17 -2,932.65

06/09/2018 34230 402507 1797 4-8.3 Additional phase needs to be deleted from Ref. No. 4.

11/06/2018 34230 34230 402507 1797 4-8.4 Additional food for participants in Costa Rica regional meeting. Additional food for participants. See item 3. "Adjustments and certification". 1,264.39

12/06/2018 34230 402507 402507 1797 4-8.5 Work permit for participants. 1,024.00

13/06/2018 34230 402507 402507 10214612 4-8.6 Food for participants at the Foundation of the Peace of the brotherhood. 426.71

15/06/2018 34230 402507 402507 10214612 4-8.7 Hotel equipment for workshops. 566.00

21/06/2018 34230 402507 402507 1182 4-8.8 Rental equipment for seven workshops. Arche Foundation, audio equipment, projector, screen. See item 3. "Adjustments and certification". 59.00

34230 402507 4-8.9 Additional phase needs to be deleted from Ref. No. 4. 1,080.00 1,080.00 - -2,932.65

01/07/2018 34230 402507 402507 1797 4-9.1 Food for participants in Costa Rica regional meeting. Additional food for participants. See item 2. "Adjustments and certification". 3,990.00 3,990.11 99.89 -1,042.72

19/07/2018 34230 402507 2280507 4-9.2 Food for course and workshop, implementation of the Arena Trade Teams, Costa Rica. Hotelier Nacional 328.02

27/07/2018 34230 402507 402507 1111 4-9.3 Facilitiation of 7 courses and workshops, implementation of the Arena Trade Teams, Costa Rica. Facilitiation team. See item 6. "Adjustments and certification". 9,500.00

09/07/2018 34230 402507 2280411 4-9.4 Workshop materials. Office Depat. 62.09

38220 402507 4-9.5 Depot, lab, office, facilities: peer; these materials will be used by the 60 people who will participate in both meetings during the five days (2 days for the course meeting, 3 days for the border meetings). 347.57 0.0017 375.29 -27.32 -7,458.01

27/09/2018 35250 402507 409422 4-9.5 Prepartion of materials for the workshops. Distributor White B.A. 324.90

27/09/2018 35250 402507 409422 4-9.6 Documents for preparation materials. loan Intercultural- Visitas 87.90

27/09/2018 35250 402507 409422 4-9.7 Other material for workshops. Arche Foundation, audio equipment, projector, screen. See item 3. "Adjustments and certification". 175.00

31/08/2018 45240 402507 409422 4-9.8 Painters for presentations that will take place during the five days of both activities. 200.00 0.0053 200.00 -1,204.01


30/09/2018 45240 402507 409422 4-9.10 Screen to display necessary information for the five days of both activities. 180.00 0.0053 180.00 -7,660.01


31/09/2018 45240 402507 409422 4-9.12 Sound equipment for the five days of both activities. 250.00 0.0053 250.00 -8,060.01


33310 402507 409422 4-9.14 9,000 brochures. 600.00 0.0053 600.00 -8,460.01

30/09/2018 33310 402507 409422 4-9.15 Filming material for the workshops. Arche Foundation- workshop materials. See item 3. "Adjustments and certification". 600.00

34900 402507 409422 4-9.16 10 insect support costs. 3,119.00 0.0017 3,129.00 -8,460.01

28/10/2018 34900 402507 409422 409422 1091 4-9.17 Insect support costs, February 2018. Receipt 1005, fixed costs for project. 1005.00

30/10/2018 34900 402507 409422 409422 1091 4-9.18 Insect support costs, March 2018. Receipt 1005, fixed costs for project. 1005.00

30/10/2018 34900 402507 409422 409422 1094 4-9.19 Insect support costs, April 2018. Receipt 1004, fixed costs for project. 1004.00

30/10/2018 34900 402507 409422 409422 1099 4-9.20 Insect support costs, May 2018. Receipt 1009, fixed costs for project. 1009.00

29/11/2018 34900 402507 409422 409422 1100 4-9.21 Insect support costs, June 2018. Receipt 1100, fixed costs for project. 1100.00

30/11/2018 34900 402507 409422 409422 1135 4-9.22 Insect support costs, July 2018. Receipt 1135, fixed costs for project. 1135.00

19/03/2019 34900 402507 409422 409422 1135 4-9.23 10 insect support costs, July 2018. Receipt 1135, fixed costs for project. 1135.00

- The receipts paid in local currencies using the official exchange rate according to the Central Bank of Costa Rica.

- In order to convert with the second currency, we have included double reference recalls.

Head of ATT Secretariat’s Signature: Date: 19/03/2019

Signature: Date: November 2018
## RECONCILIATION
### COSTA RICA-ATT.VTF.G2017.005CRI
### 2017

<table>
<thead>
<tr>
<th>Description</th>
<th>Total budget</th>
<th>Actual spend (Interim Report)</th>
<th>Actual spend (Final Report)</th>
<th>Actual spend (Total)</th>
<th>Balance of budget available</th>
<th>Balance of funds received</th>
<th>% of over- or under-spend</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Personnel costs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Staff</td>
<td>USD</td>
<td>USD</td>
<td>USD</td>
<td>USD</td>
<td>USD</td>
<td>USD</td>
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</tr>
<tr>
<td>Project Coordinator (employee of the Arias Foundation)</td>
<td>12,000</td>
<td>6,000</td>
<td>6,000</td>
<td>12,000</td>
<td>-</td>
<td>64,894.40</td>
<td>100%</td>
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<tr>
<td>Program Officer (employee of the Arias Foundation)</td>
<td>7,200</td>
<td>3,600</td>
<td>3,600</td>
<td>7,200</td>
<td>-</td>
<td>57,694.40</td>
<td>100%</td>
</tr>
<tr>
<td>Additional phase: Program Officer (the costs associated with this new line item)</td>
<td>2,000</td>
<td>2,000</td>
<td>2,000</td>
<td>2,000</td>
<td>-</td>
<td>55,694.40</td>
<td>100%</td>
</tr>
<tr>
<td>Additional phase: Program Officer (the costs associated with this new line item)</td>
<td>1,200</td>
<td>1,200</td>
<td>1,200</td>
<td>1,200</td>
<td>-</td>
<td>54,494.40</td>
<td>100%</td>
</tr>
<tr>
<td><strong>Travel costs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Customs officials from all over the region will travel to a selected country to exchange insights from their experiences 4 days: tickets ($500), food ($80 per day), ground transportation ($30), lodging ($70 per 3 nights)</td>
<td>31,800</td>
<td>18,131</td>
<td>17,695</td>
<td>35,826</td>
<td>-</td>
<td>18,668.27</td>
<td>113%</td>
</tr>
<tr>
<td>Border officials will travel to a border crossing area to share on-site experiences 5 days: (£500), food (£80 per day), transportation ($50), lodging ($70 per 4 nights)</td>
<td>7,450</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Additional phase: Panama Trainer (the costs associated with this new line item should be deducted from Ref. No. 3)</td>
<td>2,280</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>2,280</td>
<td>18,668.27</td>
<td>0%</td>
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<tr>
<td>Additional phase: Air tickets from El Salvador, Guatemala, Honduras and Panama to Costa Rica for the five days of the activities</td>
<td>9,000</td>
<td>7,380</td>
<td>7,380</td>
<td>7,380</td>
<td>-</td>
<td>57,694.40</td>
<td>100%</td>
</tr>
<tr>
<td>Additional phase: Accommodation</td>
<td>5,400</td>
<td>4,821</td>
<td>4,821</td>
<td>4,821</td>
<td>579</td>
<td>6,467.52</td>
<td>89%</td>
</tr>
<tr>
<td>Additional phase: meals (the costs associated with this new line item should be deducted from Ref. No. 3)</td>
<td>4,500</td>
<td>4,449</td>
<td>4,449</td>
<td>4,449</td>
<td>51</td>
<td>2,018.69</td>
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<tr>
<td>Additional phase: per diem (the costs associated with this new line item should be deducted from Ref. No. 4)</td>
<td>1,080</td>
<td>1,080</td>
<td>1,080</td>
<td>1,080</td>
<td>-</td>
<td>938.69</td>
<td>100%</td>
</tr>
<tr>
<td>Additional phase: training workshops in Costa Rica (the costs associated with this new line item should be deducted from Ref. No. 4)</td>
<td>3,990</td>
<td>3,890</td>
<td>3,890</td>
<td>3,890</td>
<td>100</td>
<td>2,951.42</td>
<td>97%</td>
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<tr>
<td><strong>Equipment costs</strong></td>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Operating Costs - materials</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Badges, notes, folders, pens: these materials will be used by the 60 people who will participate in the activities</td>
<td>600</td>
<td>372</td>
<td>375</td>
<td>748</td>
<td>28</td>
<td>4,299.01</td>
<td>104%</td>
</tr>
<tr>
<td>Projector for the presentations that will take place during the five days of both activities</td>
<td>720</td>
<td>250</td>
<td>250</td>
<td>500</td>
<td>-</td>
<td>4,549.01</td>
<td>100%</td>
</tr>
<tr>
<td>Screen to display necessary information for the five days of both activities</td>
<td>200</td>
<td>200</td>
<td>200</td>
<td>200</td>
<td>-</td>
<td>4,909.01</td>
<td>100%</td>
</tr>
<tr>
<td>Sound equipment for the five days of both activities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operating Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3,000 brochures</td>
<td>600</td>
<td>372</td>
<td>375</td>
<td>748</td>
<td>28</td>
<td>4,299.01</td>
<td>104%</td>
</tr>
<tr>
<td><strong>Total Direct Costs</strong></td>
<td>89,830</td>
<td>54,300</td>
<td>82,403</td>
<td>7,427</td>
<td>5,509.01</td>
<td>11,277.25</td>
<td>92%</td>
</tr>
<tr>
<td><strong>Total Indirect Support Costs (up to 7%)</strong></td>
<td>6,288</td>
<td>3,801</td>
<td>5,768</td>
<td>520</td>
<td>11,277.25</td>
<td>-</td>
<td>92%</td>
</tr>
<tr>
<td><strong>Total Indirect Support Costs (up to 7%)</strong></td>
<td>96,118</td>
<td>58,101</td>
<td>88,172</td>
<td>7,946</td>
<td>11,277.25</td>
<td>-</td>
<td>92%</td>
</tr>
</tbody>
</table>

Amount of 1st installment: 38,447.20
Amount of 2nd installment: 38,447.20
Amount of 3rd installment: 11,277.25
Balance owing: -