
Arms Trade Treaty

Fourth Conference of States Parties

Tokyo, 20 – 24 August 2018

**REPORT ON THE WORK OF THE ATT VOLUNTARY TRUST FUND (VTF)
FOR THE PERIOD AUGUST 2017 TO JULY 2018**

INTRODUCTION

1. This report is submitted by the ATT Voluntary Trust Fund (VTF) in compliance with its reporting obligations to the Conference of States Parties as contemplated in the VTF Terms of Reference and the VTF Administrative Rules.
2. The report is subdivided into four parts:
 - a. Background.
 - b. Status of VTF operations.
 - c. Status of tasks allocated by CSP3.
 - d. Recommendations to CSP4

I. BACKGROUND

3. The VTF is a flexible multi-donor Fund that supports States in implementing their obligations under the Treaty through the deposit and disbursement of funds. The VTF was established by the Second Conference of States Parties pursuant to Article 16(3) of the Treaty to operate under its approved Terms of Reference (ATT/CSP2/2016/WP.3/Rev.1).
4. In accordance with the VTF Terms of Reference, the Conference further appointed *Argentina, Chad, Cote d'Ivoire, El Salvador, Germany, Guinea, Japan, Mauritius, New Zealand, Nigeria, Sweden, Switzerland* and the *United Kingdom* to serve on the Selection Committee of the VTF for the period up to the Fourth Conference of States Parties with the possibility of reappointment. At its first meeting on 26 August 2016, the VTF Selection Committee appointed Ambassador Michael BIONTINO of Germany as its Chairperson.
5. In accordance with Article 5 of the VTF Terms of Reference, the VTF is administered by the ATT Secretariat with the support of the VTF Selection Committee. The VTF Administrative Rules (which are founded on the VTF Terms of Reference) set out, in detail, the distinct yet complementary roles of the ATT Secretariat and the VTF Selection Committee with respect to the functioning of the VTF.

II. STATUS OF VTF OPERATIONS

FINANCIAL STATUS OF THE VTF

6. Since its first call for contributions, the VTF has received USD 6,553,012 Million in voluntary financial contributions from 14 States, namely: Argentina, Australia, the Czech Republic, Finland, France, Germany, Ireland, Japan, the Netherlands, New Zealand, Spain, Sweden, Switzerland and the United Kingdom. This includes a contribution specifically earmarked for VTF outreach activities from Germany. The breakdown of received financial contributions is reflected in Annex A.

7. The received financial contributions provided a sound basis for the first and second cycle of VTF projects (2017 and 2018).

8. Of the contributions received by the VTF, a total of USD 1,317,423 was committed to implementation of projects approved for the first VTF (2017) cycle, and a further USD 834,803 has thus far been allocated to the implementation of projects approved for the second VTF (2018) cycle, subject to finalisation of Grant Agreements.

STATUS OF VTF PROJECTS

9. Since the VTF was established by CSP2, the Chairperson of the VTF Selection Committee has issued two calls for project proposals for two project cycles: the first VTF cycle (2017) and the second VTF cycle (2018). The first 'Call for Project Proposals' was issued on 20 December 2016, inviting States to submit applications to the Fund during the period 03 January – 31 March 2017. The second 'Call for Project Proposals' was issued on 02 October 2017, inviting States to submit applications during the period 09 October 2017 - 08 January 2018. Supporting documents explaining the application procedure were made available on the ATT website and transmitted to ATT stakeholders via the ATT Secretariat's mailing list in accordance with past practice. A third 'Call for Project Proposals' is planned for October 2018.

First VTF cycle (2017)

10. As reported at CSP3, the VTF Selection Committee approved 17 projects for funding in the first (2017) VTF cycle. Following the withdrawal of two applications, 15 VTF projects were implemented upon conclusion of Grant Agreements with the ATT Secretariat. By the conclusion of this report seven (7) VTF projects were completed, with the remainder to be concluded by December 2018. Annex B provides an overview of 2017 VTF projects approved and Annex C provides an overview of the status of 2017 VTF projects. Upon finalization, Final Reports of VTF projects will be made available on the VTF page of the ATT Website.

Second VTF cycle (2018)

11. By the closing date of 08 January 2018, the ATT Secretariat - the administrator of the VTF – received 23 applications from 17 different States. In accordance with its mandate, the ATT Secretariat conducted the pre-screening exercise on the received applications and, in accordance with previous practice, gave concerned States the opportunity to address certain errors in their project proposals. The ATT Secretariat subsequently prepared a report shortlisting 21 eligible applications for consideration by the VTF Selection Committee.

12. The VTF Selection Committee met on 18 April 2018 to review and consider the shortlisted applications by applying the VTF Guidance for the Selection Process, which had been developed by the VTF Selection Committee with a view to assessing the merits and quality of project proposals. The VTF Selection Committee provisionally approved 10 projects for VTF funding, subject to further clarification.

13. At the end of the selection process, the VTF Selection Committee approved a total of 10 projects involving 9 States for VTF funding in the 2018 cycle. The overview of the approved projects for the 2018 VTF cycle is provided in Annex D.

14. The ATT Secretariat communicated the VTF Selection Committee's decisions to all applicants, notifying them of the outcomes of their applications to the Fund and subsequently started to conclude Grant Agreements respectively with the successful applicants (Grant recipients) in June and July 2018. By the date of this report, the ATT Secretariat had signed Grant Agreements with three (3) Grant recipients for the 2018 VTF cycle and released the first instalment of funds to each recipient according to the terms of the signed Grant Agreements.

THIRD VTF PROJECT CYCLE (2019)

15. Based on the positive experience of the second VTF project cycle (2018), it is envisaged that the third VTF project cycle (2019) will be structured along similar lines. To that end, the third 'Call for Project Proposals' is planned for October 2018 inviting States to submit applications to the Fund until January 2019.

ACTIVITIES OF THE VTF SELECTION COMMITTEE

16. In accordance with past practice, the VTF Selection Committee adopted the document 'VTF Tasks and Timeline: 2017/2018' to guide its work in terms of expected deliverables and timing of such deliverables (see Annex E).

17. With due regard to the lessons learnt so far, it was noted in the VTF Report to CSP3 (ATT/VTF/2017/CHAIR/163/ConfRep) that the VTF Selection Committee needed further methodology to assess the credibility and merits of project proposals submitted to the VTF. It was determined that the VTF Selection Committee should develop *Guidance for the Selection Process* in accordance with the General Principles for Implementation Assistance Projects as attached to the VTF ToR to improve the transparency and objectivity of the project selection process.

18. Accordingly, the VTF Selection Committee elaborated such *Guidance for the Selection Process* to assess the merits and quality of project proposals and to ensure that projects are selected in an objective and consistent manner. A copy of this document is provided in Annex F.

19. The VTF Selection Committee "test-ran" the *Guidance for the Selection Process* when it assessed the 2018 project proposals in April. The unanimous feedback was that the proposed considerations helped members of the VTF Selection Committee arrive at informed decisions about the quality of proposed projects.

20. In order to further improve the VTF's effectiveness in supporting Treaty implementation, the VTF Selection Committee is planning to develop further guidance material for the elaboration of VTF project

proposals, and with the view to further foster trust of VTF donors, is considering the development of *Guidance for VTF Project Evaluation*.

III. STATUS OF VTF TASKS ALLOCATED BY CSP3

21. At its plenary session from 11-15 September 2017 the Conference of States Parties took the following decisions:

- a. Approved the execution of VTF Outreach Activities linked to Treaty implementation, starting with an event in New York during the 72nd session of the United Nations' First Committee.
- b. Mandated the VTF Selection Committee to consider, in consultation with the President, the Secretariat and the Management Committee, the most appropriate option to strengthen the capacity of the VTF administration.
- c. Mandated the VTF Selection Committee to consider and, after open-ended consultations, make a recommendation to re-evaluate its Terms of Reference, as foreseen in ATT/CSP2/2016/WP.3.Rev1.

22. The status of the implementation of each of the tasks allocated to the VTF by CSP3 is described below.

A. VTF Outreach Activities

23. The VTF Selection Committee, together with the ATT Secretariat, developed a VTF Outreach Strategy to promote the VTF in the most efficient and cost-effective way. The Strategy anticipates three types of outreach events: 1) presentations and information dissemination regarding the VTF at workshops and seminars taking place at the regional and sub-regional level; 2) an annual VTF awareness-raising meeting held in Geneva; and 3) an annual briefing for current and prospective donors to the VTF.

24. In line with the VTF Outreach Strategy eight outreach events were held in the reporting period. Starting with a side-event at the margins of the UNGA First Committee in New York in October 2017, members of the VTF core team including a representative of the VTF chair and/or member of the ATT Secretariat participated in several regional ATT conferences and training events, organized by the African Union in Togo (Lomé), by GCSP in Senegal (Dakar), the UN Regional Center for Peace and Disarmament in Cambodia (Phnom Penh), by New Zealand for the Asia-Pacific region in Auckland, and by GCSP and the Small Arms Survey, both in Geneva. In addition, members of the ATT Secretariat attended a meeting of the EU COARM in April 2018 to brief participants on the status of the VTF and to discuss and explore options for avoiding duplication and overlap between EU-ATT Outreach project and projects funded by the VTF.

25. Additionally, a VTF Promotion day for Geneva based diplomats, including potential applicants and donors was held in December 2017 in Geneva and a donors' briefing was hosted by the Chair of the VTF Selection Committee at the margins of the second Preparatory Meeting to CSP4 on 1 June 2018. The briefing was attended by the representatives of 20 States, including both past and potential future donors.

B. Strengthening the capacity of VTF administration

26. During CSP3, participating States discussed and acknowledged that 'the current responsibilities assigned to the ATT Secretariat present capacity challenges' with particular reference to its role as administrator of the VTF. Additionally, the VTF administration work increased dramatically during the reporting period, due to the overlap of the first and second VTF project cycles.

27. Accordingly, as mandated by CSP3 (paragraph 27b. and 31 of the *Final Report* (ATT/CSP3/2017/SEC184/Conf.FinRep.Rev1)), and after having considered different options, the VTF Selection Committee presented to the ATT Management Committee and the CSP4 President a proposal to strengthen the capacity of the ATT Secretariat to administer the Fund that involved dedicating an amount of VTF funds (USD 75 000) to the hiring of a part-time employee or consultant(s) at a P2 Level to assist with the administration of the Fund.

28. In view of the urgency of the matter, the CSP4 President presented the proposal (See Annex G) to all States Parties for consideration and adoption via silence procedure, as mandated by CSP3 (paragraph 32 of the *Final Report*). At the expiry of the deadline, which was set on 17 April 2018, the silence procedure had not been broken by any State Party. Pursuant to Rule 41(3) of the ATT Rules of Procedure, the CSP4 President then officially informed States Parties of the adoption of the proposal for immediate implementation.

29. Accordingly, the ATT Secretariat commenced the recruitment process for a part-time employee to assist with the administration of the VTF. The vacancy announcement for the position was circulated on 04 May 2018 with a closing date set on 04 June 2018. The shortlisting of candidates was completed on 22 June 2018. Interviews of candidates for the position were set for 03 July and 24 July 2018.

C. Re-evaluation of the VTF Terms of Reference

30. As mandated by CSP3 and as contemplated in paragraph 17 of the Terms of Reference, the VTF Selection Committee considered the VTF Terms of Reference (ToR). In accordance with the outcome of open-ended consultations held during the first CSP4 Informal Preparatory Meeting in March 2018, the VTF presents the recommended changes to the ToR for approval by CSP4 (see Annex H).

31. The recommended changes aim to improve the internal coherence of the document. A further recommendation is that the ATT Secretariat takes into account the Guidance for the Selection Process developed by the VTF Selection Committee (see paragraph 18 above) in its pre-screening and shortlisting of project proposals to be considered by the VTF Selection Committee.

IV. RECOMMENDATIONS

32. With due regard to the lessons learnt regarding the 2017 and 2018 cycle of VTF projects and the desire to further improve the effectiveness of the VTF, the following recommendations are presented for consideration and endorsement by the Fourth Conference of States Parties:

- a. *Report on the work of the VTF August 2017-July 2018*
It is recommended that CSP4 takes note of this report.
- b. *Re-evaluation of the VTF Terms of Reference*

It is recommended that CSP4 adopts the recommended changes to the VTF Terms of Reference (ATT/VTF18/2018/SEC/251/ToR.Cons.Dr.v1.Rev1).

c. Guidance for the Selection of Project Proposals

It is recommended that CSP4 takes note of the Guidance for the Selection of Project Proposals (ATT/VTF18/2018/CHAIR/315/SCGuidance).

d. Further work to improve VTF processes

It is recommended that CSP4 welcomes the fact that the VTF, will conduct further work to improve its work, *inter alia*, through the development of '*Guidance for VTF Project Evaluation*' and further guidance material for potential VTF applicants.

e. Outreach Activities

It is recommended that CSP4 welcomes the fact that the VTF will undertake further outreach activities in the period leading up to CSP5.

ANNEX A. FINANCIAL STATUS OF THE VTF

Contributions to VTF			
1	Argentina	USD	10,000.00
2	Australia	USD	228,930.30
3	Czech Republic	USD	16,440.54
4	Finland	USD	635,905.20
5	France	USD	179,186.79
6	Germany	USD	883,688.10
7	Ireland	USD	29,137.50
8	Japan	USD	3,000,000.00
9	Netherlands	USD	111,980.00
10	New Zealand	USD	113,849.50
11	Spain	USD	59,277.18
12	Sweden	USD	563,955.87
13	Switzerland	USD	249,151.93
14	United Kingdom	USD	389,180.00
	Subtotal	USD	6,470,682.91
Contributions to VTF Outreach Programme			
1	Germany	USD	82,328.89
	Subtotal	USD	82,328.89
TOTAL CONTRIBUTIONS TO VTF RECEIVED		USD	6,553,011.80

ANNEX B. 1ST VOLUNTARY TRUST FUND CYCLE (2017): OVERVIEW OF PROJECTS APPROVED FOR ATT VTF FUNDING

No.	State	Project Title	Budget Total (USD)	Duration (months)			Implementing Partner	Type of implementation assistance
				12	6to8	<6		
1	Cameroon	Fast Tracking the Universalization and Implementation of the ATT in Cameroon	94'642.00	✓			Cameroon Youths and Students Forum for PEACE (CAMYOSFOP)	National workshops to promote ATT (Publication and dissemination of ATT manual; 'advocacy' workshops with Govt. Ministries and Parliamentarians; building capacity of journalists; building capacity of key Govt. Ministries)
2	Costa Rica	Training and facilitation of the exchange of experiences in the sub region: 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)	96'118.00	✓			Arias Foundation for Peace and Human Progress	Two regional conferences
3	Côte d'Ivoire (1)	Building capacities of national stakeholders on the implementation of the Arms Trade Treaty	78'096.00			✓		National workshops (x 3) to build capacity of 3 groups: Government Ministries, parliamentarians, civil society
4	Côte d'Ivoire (2)	Strengthening of tools and procedures for transfer control	28'187.00			✓		Assessment and revision of existing transfer controls
5	El Salvador	Strengthening the capacities of the National Authority for the	97'081.00	✓			United Nations Regional Centre for Peace,	National workshops (x 3) on legal assistance; technical assistance; and

		implementation of the ATT through equipment and training.					Disarmament, and Development in Latin America and the Caribbean (UNLIREC)	developing National Control List; plus equipment acquisition (marking machine)
6	Ghana	Adoption of National Control List and Capacity Building for Implementing Agencies in Ghana	89'345.00		✓		UNDP	Development of National Control List and training on the list
7	Guatemala	Implementation of the Arms Trade Treaty in the Republic of Guatemala	96'325.68	✓			United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC)	Strengthen national capacities for establishing effective transfer controls; strengthening normative and institutional framework for ATT implementation; establishment of National Control Authority; Legal Assistance - review of current legislation
8	Liberia	Drafting legislations to support the effective implementation of the ATT in Liberia	91'501.05	✓			Liberia Action Network on Small Arms (LANSA)	National awareness dialogue; Strengthen capacity of LANSA; Develop new legislation; Adopt Wassenaar Control List; Complete Broker registry; Establish NPC on ATT; establish cross-governmental Licensing Committee
9	Mauritius	Capacity Building for enforcement authorities and legal departments	19'795.00			✓		National workshop to build capacity for Mauritius Police Force, Ports Authority, Revenue authority (Customs Department), State Law Office
10	Palau	Enhancing Palau's arms control system: Ready to meet Arms	85'505.00	✓			Centre for Armed Violence Reduction (CAVR) - Secretariat for	Assessment of legislative and procedural gaps in current transfer control system; Capacity building

		Trade Treaty obligations					the Pacific Small Arms Action Group (PSAAG)	workshops for sub-region
11	Philippines	Developing and Implementing a Training Course on Licensing, Investigation and Enforcement Policies and Procedures on Conventional Weapons	99'996.85	✓			Nonviolence International	Training course to build and enhance the capacity of the state's implementing agencies on the areas of licensing, investigation and enforcement
12	Samoa*	Streamlining arms data collection and reporting in Samoa	[72'113.00]	✓			Centre for Armed Violence Reduction (CAVR)	Assessment of gaps in current information management, data collection and reporting system; Implementation Plan for database system; Train the Trainer Workshop on Information management and database system
13	Senegal	Building Capacity in Effective Implementation of the Arms Trade Treaty (ATT)	85'739.00		✓		Geneva Centre for Security Policy (GCSP)	5-Day Training Course for Officials involved in ATT implementation
14	Sierra Leone	Assessing Sierra Leone's ATT implementation compliance	78'495.00	✓			Saferworld	Production of Assessment Report; Presentation of Final Report to Sierra Leone Stakeholders; Workshop to discuss development of National Action Plan for Adoption by Sierra Leone Government
15	Togo (1)	TCA appropriation and implementation training project; Advocacy for the adoption and popularization of the preliminary draft law on the arms regime	99'675.00		✓			Training Workshops on the appropriation and implementation of the ATT in the chief locations of the five regions of Togo and Grand Lomé; Awareness and popularization campaign of the preliminary draft law on weapons

								(exchanges dialogues, radio broadcasts and broadcast of audio spots)
16	Togo (2)	Strengthening the capacities of African States in the implementation of the ATT	180,438.38.00		✓		Permanent Delegation of the African Union in Geneva	Capacity building three-day workshops for better understanding of the ATT and of processes at its Secretariat, better synergy between Geneva-based Missions and African capitals, identify opportunities and challenges in implementing ATT, share experience among countries
17	Zambia & Swaziland*	ATT Academy for Southern Africa	[170'344.00]	✓			Control Arms	ATT Academy training on ATT implementation
				10	4	3		
Total			1'320'939.96					

* The VTF application submitted by Samoa and the joint application submitted by Zambia and Swaziland were approved by the VTF Selection Committee, however, these States withdrew their applications prior to the finalisation of a Grant Agreement with the ATT Secretariat, and these projects are not proceeding.

ANNEX C. STATUS OF IMPLEMENTATION OF 2017 VTF PROJECTS



20 July 2018
ATT Secretariat

STATUS OF 2017 CYCLE VTF PROJECTS, 20 JULY 2018

No.	State	Grant Agreement signed	1 st instalment transferred	Interim Report received	2 nd instalment transferred	Final Report received	3 rd /Final instalment transferred	
1	Cameroon	✓	✓	01-Mar-18	✓	02-Nov-18		
2	Costa Rica	✓	✓	07-Feb-18	✓	01-Oct-18		
3	Côte d'Ivoire (1)	✓	✓	18-Apr-2018	✓	29-Aug-2018		
4	Côte d'Ivoire (2)	✓	✓	N/A	N/A	02-Nov-17	✓	
5	El Salvador	✓	✓	08-Jan-18	✓	10-Jul-18		
6	Ghana	✓	✓	31-Oct-17	✓	17-Sept-18		
7	Guatemala	✓	✓	12-Feb-18	✓	14-Dec-18		
8	Liberia	✓	✓	01-Mar-18	✓	01-Oct-18		
9	Mauritius	✓	✓	N/A	N/A	30-Jan-18		
10	Palau	✓	✓	29-Jan-18	✓	02-Oct-18		
11	Philippines	✓	✓	05-Jan-17	✓	30-Sept-18		
12	Samoa	WITHDRAWN						
13	Senegal	✓	✓	01-Dec-17	✓	01-May-18	✓	
14	Sierra Leone	✓	✓	29-Jan-18	✓	31-Jul-18		
15	Togo (1)	✓	✓	01-Dec-17	✓	01-May-18	✓	
16	Togo (2)	✓	✓	01-Dec-17	✓	01-May-18		
17	Zambia & Swaziland	WITHDRAWN						

ANNEX D. 2ND VOLUNTARY TRUST FUND CYCLE (2018): OVERVIEW OF PROJECTS APPROVED FOR ATT VTF FUNDING

No.	State	Implementing Partner(s)	Project Title	Type of Implementation Assistance	Budget Total (USD)
1	Burkina Faso	NO	Awareness and Capacity Building Workshops for Effective Implementation of the ATT	Capacity building workshops for Customs officials (training on EUCs); awareness-raising workshops for defense and security forces, gunsmiths, private security companies and parliamentarians on ATT provisions.	73'013.00
2	Chad	CPS-AVIP - Centre for Peace, Security and Armed Violence Prevention	Assistance and Capacity Building of National Actors and Stakeholders on the Implementation of the Arms Trade Treaty in Chad	Capacity building workshops for Government Ministries, Parliamentarians and civil society on ATT implementation; develop a Roadmap for implementation.	99'717.00
3	Côte d'Ivoire	Secrétariat du Conseil National de Sécurité (S-CNS)	Mise en place d'une base de données des transferts d'armes - Conservation des données Establishment of an Arms Transfer Database - Data Retention	Build national capacities on ATT transparency measures and establish a record-keeping system to collect and keep data on transfers.	99'131.00
4	Dominican Republic	Centro Regional de las Naciones Unidas para la Paz, el Desarme y el Desarrollo en América Latina y el Caribe (UNLIREC)	Implementacion del Tratado sobre el Comercio de Armas en republica Dominicana Implementation of the Arms Trade Treaty Dominican Republic	Strengthening of national capacities for the establishment and the application of effective controls on transfers of items under the ATT through workshops, training course (UNLIREC's CITCA course), assessment of security of existing arsenals and development of SOPs.	97'284.00

5	Ghana (1)	Lex Emporium Attorney @ Law	Adoption of an Institutional Legal Framework for the Implementation of the Arms Trade Treaty	Establishing a legal framework for the work of the competent national authority.	99'958.00
6	Ghana (2)	International Action Network on Small Arms	National Sensitization and Capacity Building Workshop for Members of Parliament	Capacity building workshop for Members of the Defence and Interior Committee of the Parliament of Ghana.	45'636.00
7	Madagascar	United Nations Regional Center for Peace and Disarmament - UNREC	Workshop on Appropriation of the ATT Issues for the National Authorities, the Private Sector and Civil Society	Workshop for national authorities, private sector and civil society on ATT issues.	69'875.00
8	Paraguay	United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC)	Implementation of the Arms Trade Treaty in Paraguay	Strengthening of national capacities on ATT through workshops, training course (UNLIREC's CITCA course).	96'733.00
9	Samoa	Centre for Armed Violence Reduction (CAVR)	Streamlining Arms Data Collection and Reporting in Samoa	Implementation of an automated and centralised data collection and reporting system; build capacity of police and customs to use automated database system for record-keeping involving a 'training the trainers' programme.	67'670.00

10	Senegal	Geneva Centre for Security Policy (GCSP)	Building Capacity in Effective Implementation of the Arms Trade Treaty (ATT)	Training course for officials involved in ATT implementation in Senegal and neighbouring francophone countries.	85'786.00
	Total				834'803.00

ANNEX E. VTF TASKS AND TIMELINE: 2017/2018

Issued by the ATT Secretariat
17 January 2018

DRAFT VTF TASKS AND TIMELINE: 2017/2018

This draft timeline reflects the major VTF milestones foreseen for the period after CSP3 leading up to CSP4.

	TASK	TIMELINE	RESPONSIBILITY
1.	Call for Financial Contributions (Information to Donors).	21 September 2017	Secretariat VTF Chairperson
2.	VTF outreach meeting: New York.	17 October 2017	Secretariat VTF Chairperson
3.	Call for Project Proposals.	01 October 2017 – 08 January 2018	Secretariat VTF Chairperson
4.	Deadline for project proposals.	08 January 2018	Secretariat
5.	Pre-screening of project proposals and preparation of shortlist.	08 January – 28 February 2018	Secretariat
6.	Advice to States Parties on financial contributions received.	[02] February 2018	Secretariat VTF Chairperson
7.	Selection Committee meeting.	07 February 2018	Selection Committee Secretariat
8.	Circulation of project proposals shortlist to Selection Committee.	12 March 2018	Secretariat
9.	Selection Committee meeting: Consideration and approval of successful project proposals.	18 April 2018 (<i>tbc</i>)	Selection Committee Secretariat
10.	Notification to applicants on the Selection Committee's final decision.	27 April 2018	Secretariat

11.	Contracting (Grant Agreement) between VTF and successful Grant Recipients; transfer of grants (1 st instalment).	04 May – 31 July 2018	Secretariat Grant Recipients
12.	Preparation of report to CSP4.	03 August 2018	Secretariat
13.	Presentation to CSP4.	TBC	All

ANNEX F. GUIDANCE FOR THE SELECTION PROCESS

ATT/VTF18/2018/CHAIR/315/SCGuidance



Issued by the the VTF Selection Committee
14 March 2018

GUIDANCE FOR THE SELECTION PROCESS

The selection of project proposals for funding by the Voluntary Trust Fund (VTF) involves a two-step process: the ATT Secretariat shall conduct a pre-screening of all project proposals against “The General Principles for Implementation Assistance Projects under the ATT Voluntary Trust Fund” as decided by the Conference of States Parties to the ATT (as attached to the VTF ToR) and taking into account the Guidance for the Selection Process developed by the VTF Selection Committee; the VTF Selection Committee then assesses the merits of shortlisted applications.

The Guidance for the Selection Process has been elaborated by the VTF Selection Committee to assess the merits and quality of a project proposal, helping to ensure that projects are selected by it in an objective and consistent manner.

Annex A includes a table setting out considerations to be applied by the VTF Selection Committee to assess the following elements of a project proposal:

1. **Political commitment** – in the event the applicant is not a State Party to the ATT, has it ‘shown clear and unambiguous political commitment to accede to the ATT’ as required by the VTF Terms of Reference?
2. **Financial considerations** – has the applicant paid its financial contributions to the ATT in full (if applicable)?
3. **Strategic vision** – does the applicant have a clear vision or strategy to implement the ATT?
4. **Project design** – are the project deliverables consistent with the strategy?
5. **Project controls** – are the cost estimates, time estimates, and risk mitigation measures identified realistic and appropriate?

Annex B to this document includes some considerations for establishing a methodology for **prioritizing proposals** in the case of insufficient funds to cover all the proposed projects that have met the quality requirements.

Annex A. Guidance for the Selection Process¹

<p>1. POLITICAL COMMITMENT</p> <p>*only relevant if Applicant is <u>not</u> a State Party*</p>	<p>1. If the applicant is <u>not</u> a State Party has it provided an official letter or note verbale outlining the steps taken that show a ‘clear and unambiguous political commitment to accede to the ATT’? (Yes/No)</p> <hr/> <p>2. Does the official letter or note verbale submitted by the applicant State outline the steps taken that show a ‘clear and unambiguous political commitment to accede to the ATT’?</p> <p>2.1 Has the State provided roadmap towards ratification or accession, such as the domestic process in written form?</p> <p>2.2 Has the State demonstrated how the project will help to meet envisaged milestones and ultimately lead to speeding up (or enabling) the process of ratification or accession?</p> <p>2.3 Is there a draft Bill before parliament concerning ATT ratification/accession?</p> <hr/> <p>3. Are there other external factors or circumstances that demonstrate the applicant State’s commitment to the ATT?</p> <p>3.1.Has the applicant State participated in ATT meetings?</p> <p>3.2.Has the applicant consistently voted in favour of or recently changed its voting on ATT resolutions in the First Committee of the General Assembly or the United Nations General Assembly?</p> <p>3.3.Has the applicant State’s leadership made public statements of intent to join the ATT?</p>
<p>2. FINANCIAL CONSIDERATIONS</p>	<p>4. Has the applicant State paid its financial contributions to the ATT in full (if applicable)?² (Yes/No)</p>
<p>3. STRATEGIC VISION</p>	<p>5. Does the applicant State have a strategy to implement the ATT? (Yes/No)</p> <p>5.1.Does this include a plan or roadmap to implement the Treaty?</p> <hr/> <p>6. Does the project being proposed fit into the applicant State’s strategic vision for ATT implementation?</p> <p>6.1.Is the proposed project a ‘one-off’ project that does not appear to fit within a broader strategy?</p> <p>6.2.If the applicant has submitted multiple proposals, is it clear how they fit together and that there is no duplication of project activities?</p>

¹ Through the application of the considerations outlined in Annex A, the VTF Selection Committee will agree on a relative ranking of the project proposals for the purposes of applying Annex B.

² This consideration is only applicable from the 2019 VTF cycle onwards.

4. PROJECT DESIGN	7. Does the project description clearly identify a need/gap the project will address or is it designed to identify such need/gap? 7.1. Does the project constitute a concrete or substantial contribution to implementation of the treaty or is it limited to peripheral activities?
	8. Has the applicant State provided sufficient/concrete information on planned phases and activities? 8.1. Has the applicant State specified the activities to be carried out? 8.2. Has the applicant State described the activities in detail and divided broad activities into sub-tasks? 8.3. Has the applicant State indicated the sequencing and/or timing of planned activities? 8.4. Has the applicant State included a clear division and allocation of responsibilities?
	9. Is it likely that the project is going to succeed in achieving its objectives? 9.1. Has the applicant State included concrete information on <i>what</i> the project will achieve? 9.2. Are the outputs and deliverables appropriate and likely to achieve the project objectives? 9.3. Can the expected impact of the project be measured?
	10. Does the project have a clear monitoring mechanism to ensure it is on track in terms of objectives, timescales and costs?
5. PROJECT CONTROLS	11. Has the applicant State identified all or any key risks associated with the project?
	12. Has the applicant State identified appropriate and realistic measures to manage or mitigate the risks identified?
	13. Has the applicant State included cost estimates in the budget that are accurate, reasonable and sufficiently detailed? 13.1. Are the calculations in the Detailed Budget Form correct? 13.2. Has the applicant State fully costed-out the project? 13.3. Are the costs of each budget item reasonable and appropriate e.g. are per diems sought consistent with the UN Daily Subsistence Allowance (DSA) rates promulgated by the International Civil Service Commission (ICSC)? 13.4. Is there a risk the applicant has <i>under-</i> or <i>over-</i> budgeted any item?

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| | <p>14. Has the applicant State included reasonable time estimates for the project activities?</p> <ul style="list-style-type: none">14.1. Is the overall project duration reasonable in light of all the project activities and deliverables?14.2. Is the applicant State being too ambitious in terms of what it is seeking to achieve in the timeframe?14.3. Has the applicant provided sufficient time/days for consultants and trainers to prepare and deliver their work?14.4. If an applicant State has submitted multiple proposals, has the applicant State made it clear how it could carry out all the proposed projects? |
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Annex B. Further Considerations in the case of insufficient funds to cover all the proposed projects that have met the quality requirements

1. STATUS OF APPLICANT	1. Is the applicant a State Party or a non-State Party (see paragraph 2 of the VTF Terms of Reference)?
2. MULTIPLE APPLICATIONS	<p>2. A reasonable balance should be sought by the VTF Selection Committee in the case of multiple applications by a single State.</p> <p>3. Has the applicant State received VTF funding for one or more projects in a previous VTF cycle or cycles? If so:</p> <p>3.1. Did the applicant State satisfactorily complete the previous project(s)?</p> <p>3.2. Does the current project proposal build on the previous project(s)?</p>
3. CONTRIBUTIONS CONTAINING CONDITIONALITIES	4. Have all the conditions placed on the contributions been met?
4. OTHER CONSIDERATIONS	5. Priorities established by the Conference of States Parties, including geographic requirements, shall be taken into account in the allocation of funds to beneficiary States, as appropriate.

ANNEX G. PROPOSAL FOR VTF ADMINISTRATION



28 March 2018
submitted by the CSP4 President

Dear Representatives of States Parties to the Arms Trade Treaty,

SUBJECT: START OF A SILENCE PROCEDURE ON THE PROPOSED SECRETARIAT'S CAPACITY FOR THE ADMINISTRATION OF THE VOLUNTARY TRUST FUND (VTF)

1. During the Third Conference of States Parties (CSP3) to the Arms Trade Treaty (ATT) held from 11-15 September 2017, participating States discussed and acknowledged that 'the current responsibilities assigned to the ATT Secretariat present capacity, with particular reference to its role as administrator of the ATT Voluntary Trust Fund (VTF). The Conference accordingly mandated the Secretariat to, in consultation with the President, Management Committee and the VTF Selection Committee, 'investigate possibilities of addressing the staff capacity challenges in relation to the VTF, and to identify a workable solution' (paragraph 31 of the *Final Report* (ATT/CSP3/2017/SEC/184/Conf.FinRep.Rev1)).

2. CSP3 suggested the following options for consideration:

- a. Consideration by the VTF Selection Committee of a possibility for a percentage of the VTF contribution to be used for staff capacity.
- b. Approach the EU with a project proposal to promote universalization and implementation of the Treaty that includes VTF administration and outreach activities.
- c. Consideration of the possible increase of the Secretariat's staff capacity from the current three people to four people.

3. In view of the urgency of the matter, CSP3 directed that once a workable solution is identified during the intersessional period, the CSP4 President should seek the approval of such workable solution by States Parties via silence procedure.

4. Accordingly, I would like to present to States Parties the attached proposal to address the Secretariat capacity challenges relating to the administration of the VTF. This proposal has been jointly elaborated by the VTF Selection Committee, ATT Management Committee and the ATT Secretariat. States Parties are requested to consider and approve this proposal via silence procedure as contemplated in Rule 41(3) of the ATT Rules of Procedure, with a deadline set at 20 days, **starting on 29 March 2018 and expiring on 17 April 2018**. As soon as the silence procedure deadline has expired, I will inform States Parties of the outcome of the silence procedure.

Ambassador Nobushige TAKAMIZAWA
President: Fourth Conference of States Parties to the ATT

PROPOSAL TO ADDRESS THE ATT SECRETARIAT'S CAPACITY CHALLENGES RELATING TO THE ADMINISTRATION OF THE VOLUNTARY TRUST FUND (VTF)

INTRODUCTION

1. Following the Third Conference of States Parties (CSP3) to the Arms Trade Treaty (ATT) decision for a workable solution to be identified for the administration of the Voluntary Trust Fund (VTF), the VTF Selection Committee, the ATT Management Committee and the ATT Secretariat worked jointly towards the development of this proposal. In doing so, they carefully considered the following three options which were already suggested by CSP3:

- a. A possibility for a percentage of the VTF contribution to be used for staff capacity.
- b. Approach the EU with a project proposal to promote universalization and implementation of the Treaty that includes VTF administration and outreach activities.
- c. Possible increase of the Secretariat's staff capacity from the current three people to four people.

PROPOSAL

2. After consideration of the 3 options against the ATT Secretariat's current and future roles, the VTF administration workload and resource availability, the VTF Selection Committee and the ATT Management Committee reconfirmed that the ATT Secretariat requires enhanced capacity to administer the VTF. The VTF Selection Committee and the ATT Management Committee propose that the ATT Secretariat's capacity to administer the VTF, be addressed as follows:

- a. The VTF Selection Committee will set aside funds from VTF contributions in the amount of \$75,000 per year to be reserved/allocated exclusively to the administration of the VTF ('administration funds') apportioned amongst the approved projects.
 - b. The VTF Selection Committee will review, annually, as appropriate, the size and need of funds required for the administration of the VTF in particular in light of available funds.
 - c. The ATT Secretariat will utilize the funds required for the administration of the VTF to hire a part-time employee or consultant(s) at a P2 Level to assist with the administration of the Fund.
 - d. The ATT Secretariat will report to the VTF Selection Committee on a regular/an annual basis on the use it has made of the administration funds.
 - e. The VTF Selection Committee will inform the ATT Management Committee of any adjustment of the \$75,000 resulting from any annual reviews.
3. In addition to the above, the VTF will, through its annual report to Conference of States Parties, provide update on the administration of the VTF including its use of the administration funds.

NEXT STEP

5. On approval of the proposal by States Parties via silence procedure, the ATT Secretariat will commence with the recruitment process for the VTF capacity.

ANNEX H. RE-EVALUATED VTF TERMS OF REFERENCE



VOLUNTARY TRUST FUND

TERMS OF REFERENCE

ATT/CSP2/2016/WP.3/Rev.1

Adopted: ATT Second Conference of States Parties

Amended: ATT Fourth Conference of States Parties

TERMS OF REFERENCE FOR THE ATT VOLUNTARY TRUST FUND

Purpose and Scope of the Trust Fund

1. The Conference of States Parties to the Arms Trade Treaty (ATT) establishes a Voluntary Trust Fund (VTF) in accordance with Article- 16 of the ATT.
2. The primary objective of this Trust Fund is to assist requesting States Parties requiring international assistance to implement the ATT.
3. The Conference of States Parties to the ATT shall decide on General Principles for Implementation Assistance Projects under the ATT Voluntary Trust Fund, in particular specific criteria for eligibility.
4. Contributions to the Trust Fund may be allocated by donors for sole use to the benefit of States Parties.

Authority

5. The Trust Fund shall be administered by the ATT Secretariat, with the support of the Selection Committee, which shall be established in accordance with Article 17.4 (f) of the ~~Arms Trade Treaty~~ATT and Rule 42 of the Rules of Procedure, to execute the functions as set out in these Terms of Reference. ~~The Secretariat shall endeavour to fulfil this function with the existing internal resources.~~³The administration of the VTF by the Secretariat shall be funded, as appropriate, from VTF contributions as determined by the Selection Committee annually.
6. The Selection Committee shall consist of up to 15 seats⁴, ~~as agreed by the Second Conference of States Parties (para. 23, ATT/CSP2/2016/5).~~~~a limited number of~~ States Parties ~~shall~~~~to~~ be appointed to be members of the Selection Committee by the Conference of States Parties, including donors as well as non-donors to the Fund, States having announced financial contributions to the Voluntary Trust Fund and ensuring to ensure diverse representation. Members of the Selection Committee shall serve for two years and are eligible ~~to be reappointed for further terms~~for reappointment.⁵ The Selection Committee shall select one of its members to chair its deliberations. The President of the Conference of States Parties and ~~a representative from~~ the ATT Secretariat should participate in meetings of the Selection Committee in an ex officio capacity.

³~~Should it become apparent that the administration of the Trust Fund requires additional resources, the Secretariat shall propose alternative options to States Parties.~~

⁴~~###~~

⁵In the event that one or more seats on the Selection Committee is vacated for any reason before the period of two years, the next Conference of States Parties may appoint one or more States Parties to fill the seat or seats, as the case may be.

7. The Selection Committee shall meet in accordance with Article 13 of the Rules of Procedure of the Conference of States Parties and draw, as appropriate, on outside expertise, in particular from UN agencies and civil society. A member of the Selection Committee State Party that has submitted a project proposal ~~as a beneficiary~~ cannot take part in the decision making of the ~~s~~Selection ~~e~~Committee for that project selection cycle.⁶

Operation of the Trust Fund

8. States Parties or other entities may donate to the ~~ATT Voluntary Trust Fund~~VTF throughout the year and may make pledges at a dedicated segment of each ordinary session of the Conference of States Parties. These donations shall be transferred to the ATT Voluntary Trust Fund, preferably within 30 days. The ATT Secretariat will keep a record of received contributions to the Trust Fund, and will inform States Parties of the amount of funds available for each cycle of the VTF.
9. ~~Following the pledging session at the ordinary session of the Conference of States Parties and on the basis of pledges made, On an annual basis,~~ the ATT Secretariat will ~~inform States Parties of the amount of funds available for the following project year, and issue a~~ call for project proposals by States requiring implementation assistance to be submitted by ~~31 March~~ date determined by the Selection Committee allowing for adequate time for the preparation of those proposals.
10. The ATT Secretariat shall conduct a pre-screening of all project proposals received by the due date against ~~“t~~The General Principles for Implementation Assistance Projects under the ATT Voluntary Trust Fund” as decided by the Conference of States Parties to the ATT (see Attachment) and taking into account the Guidance for the Selection Process developed by the VTF Selection Committee accordingly. ~~The ATT Secretariat shall and~~ draft a shortlist of eligible project proposals, relying on outside expertise as appropriate and needed, ~~by 30 April, subject to approval~~for consideration by the Selection Committee.
11. The Selection Committee shall decide ~~by 15 June~~ on the initial allocation of available funds, based on the shortlist. This decision, and any subsequent allocation decisions that may be required over the course of the project year, shall follow ~~“t~~The General Principles for Implementation Assistance Projects under the ATT Voluntary Trust Fund” as decided by the Conference of States Parties (see ~~attachment~~Attachment) and shall be reported to the Conference of States Parties.
12. The ATT Secretariat will ensure that the ~~initial~~ grants are ~~paid out~~transferred as decided by the Selection Committee and ensure transparent accounting. It shall report to the Conference of States Parties accordingly.

⁶ In the case of equality of votes, the Chairperson of the VTF Selection Committee will cast the deciding vote.

13. The ATT Secretariat will ~~ensure that~~evaluate reports on the implementation of projects by beneficiaries ~~will be evaluated~~ and will report ~~back to~~ the Conference of States Parties via the Selection Committee on the ~~success—outcomes~~ of the projects. Beneficiary ~~countries~~States may be invited by the VTF Selection Committee to present their results and answer questions.
14. Administrative details regarding the application procedure to be followed by applicants ~~beneficiaries~~ shall be elaborated by the ATT Secretariat.

Monitoring, Auditing and Reporting

15. The audit provisions as per Rule 10 of the ATT Financial Rules ~~for the Conferences of States Parties and the Secretariat~~ shall be applicable to the VTF mutatis mutandis.
16. All recipients of funds shall submit a final report that should be made publicly available via the ATT Website. The final report should include a description of the outcomes, achievements and impacts as well as outline possible shortcomings and recommendations for further actions. Furthermore, the final report should include a detailed financial report on expenditures and balances. The report is due 60 days after completion of the activity financed by the Trust fFund. The ATT Secretariat shall provide technical guidelines for reporting, and shall ensure appropriate monitoring and evaluation.

Final Provisions

17. These Terms of Reference will be re-evaluated by the Conference of States Parties ~~after two years~~as appropriate.⁷
18. In the event of a termination of the activities of the Trust Ffund, outstanding bills shall be paid and the remaining donations shall be refunded.

⁷ The issue of needs and geographic balance in the operation of the Voluntary Trust Fund was raised at the Second Conference of States Parties. There was a general understanding that this issue will be reconsidered at the re-evaluation of these Terms of Reference in two ~~years time~~years' time, as appropriate.

ATTACHMENT

The General Principles for Implementation Assistance Projects under the ATT Voluntary Trust Fund

Eligibility Criteria

1. Any State Party to the ATT requiring assistance in the implementation of the Treaty may submit a project proposal.
2. Signatory States and other States having shown clear and unambiguous political commitment to accede to the ATT requiring assistance to implement the Treaty may also submit project proposals.

~~— Assistance projects required by requesting States may be implemented by or in conjunction with UN agencies, international or regional organisations, civil society organisations or other competent bodies.~~

~~3.~~ Applicants must be the beneficiary ~~country/countries.~~ States.

~~3.4.~~ Assistance projects required by requesting States may be implemented by or in conjunction with UN agencies, international or regional organisations, civil society organisations or other competent implementing partners.

~~4.5.~~ Project-VTF project applications must contain an adequate description of the proposed project, including a description of the state of ATT implementation in the requesting country or, if the applicant is not a State Party, a plausible roadmap towards ratification/accession, an outline of challenges, a description of the aim of the project, how it can help overcome the challenges identified and the added value of the project in relation to other initiatives, a timeline for project implementation, an outline of the institutional and organizational setup of the proposal and a detailed budget plan.

~~5.6.~~ Applicants must ensure that any project funding received from the Voluntary Trust Fund does not duplicate funding received for the same or a similar project from other sources.

~~6.7.~~ The ATT Secretariat shall consult regularly with other funding entities on projects funded and discuss options and possibilities for synergies with a view to avoiding duplication.

Selection Criteria

1. The selection shall be based on a qualitative assessment of the descriptions and outlines to be submitted as specified by the eligibility criteria.
2. Priority shall be given to States Parties requiring assistance to implement the Treaty.

3. ~~If the prerequisites established by the Terms of Reference are met, applications~~ Eligible projects by Signatory States and other States requiring assistance may also be considered if the applicant has ~~having~~ shown clear and unambiguous political commitment to accede to the ATT ~~requiring assistance to implement the Treaty may also be considered if the requesting State can provide a plausible roadmap towards ratification/accession and~~ is able to show how the envisaged projects will help to meet envisaged milestones and ultimately lead to speeding up (or enabling) the process of ratification/accession.
4. If two or more project proposals are considered to be equally eligible of equal quality after thorough assessment against the ~~qualitative criteria~~ quality considerations as established by the Selection Committee,— priorities established by the Conference of States Parties, including ~~on~~ geographic requirements, may shall be taken into account in the allocation of funds to beneficiary ~~countries~~ States.
5. Overlap/duplication with projects funded by UNSCAR, by States Parties on a bilateral basis or through other channels, shall be avoided.
