Arms Trade Treaty
Fifth Conference of States Parties
Geneva, 26 – 30 August 2019

REPORT ON THE WORK OF THE ATT VOLUNTARY TRUST FUND (VTF) FOR THE PERIOD AUGUST 2018 TO AUGUST 2019

INTRODUCTION

1.   This report is submitted by the ATT Voluntary Trust Fund (VTF) in accordance with its reporting obligations to the Conference of States Parties as contemplated in the VTF Terms of Reference and VTF Administrative Rules.

2.   The report is subdivided into four parts:

   a.   Background.

   b.   Status of VTF operations.

   c.   Status of tasks allocated by CSP4.

   d.   Recommendations to CSP5.

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/VTF18/2018/SEC/251/ToR.Cons.Dr.v1.Rev1) as amended at CSP4.

4.   In accordance with Article 6 of the approved VTF Terms of Reference, the Fourth Conference of States Parties appointed *Australia*, *Chile*, *Finland*, *Germany*, *Japan*, *Madagascar, Mauritius*, Mexico, *New Zealand*, *Norway, South Africa*, *Sweden*, *Switzerland, the Netherlands* and the *United Kingdom* to serve on the Selection Committee of the VTF for two years, from the Fourth Conference of States Parties to the Sixth Conference of States Parties (eligible for reappointment).

5.   On 24 August 2018, immediately after the closure of CSP4, the VTF Selection Committee met and selected Ambassador Peter BEERWERTH of Germany to serve as Chairperson until the Fifth Conference of States Parties and Ambassador Dell HIGGIE of New Zealand to serve as Chairperson from the Fifth to the Sixth Conference of States Parties.

6.   Article 5 of the VTF Terms of Reference provides that the VTF shall be 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

7.   Since its first call for contributions in 2016, the VTF has received USD 8,118,758 in voluntary financial contributions from 20 States, namely: Argentina, Australia, Austria, Bulgaria, Cyprus, the Czech Republic, Finland, France, Government of Flanders (Belgium), Germany, Ireland, Japan, Mexico, the Netherlands, New Zealand, Norway, Spain, Sweden, Switzerland and the United Kingdom. This includes contributions specifically earmarked for VTF outreach activities from Germany and New Zealand.[1] The breakdown of received financial contributions is reflected in Annex A.

8.   The financial contributions that were received provided a sound basis for the first (2017), second (2018) and third (2019) VTF projects cycles.

9.   Of the contributions received by the VTF, a total of USD 1,210,149 were committed to the implementation of projects approved for the first VTF (2017) cycle, USD 736,809[2] were committed for projects in the second VTF (2018) cycle and a further USD 1,999,128 have thus far been allocated to the implementation of projects approved for the third (2019) VTF cycle, subject to finalisation of Grant Agreements.

STATUS OF VTF PROJECTS

10.   Since the VTF was established by CSP2, the Chairperson of the VTF Selection Committee issued three calls for project proposals for three project cycles: the first VTF cycle (2017), the second VTF cycle (2018) and the third VTF cycle (2019). 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. The third 'Call for Project Proposals' was issued on 08 October 2018, inviting States to submit applications during the period 15 October 2018 - 16 January 2019.

First VTF cycle (2017)

11.   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 all 15 VTF projects had been completed. Annex B provides an overview of 2017 VTF projects approved and Annex C provides an overview of the status of 2017 VTF projects. Upon verification, all final reports of the 2017 VTF projects will be made available on the VTF page of the ATT website.

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[1] In addition, the Republic of Korea has pledged a further contribution to the VTF.
[2] Following the withdrawal of Chad's application to the 2018 cycle, this figure was reduced from USD 834,803.

Second VTF cycle (2018)

12.   As reported at CSP4, the VTF Selection Committee approved 10 projects for funding in the second (2018) VTF cycle. Following the withdrawal of one application, 9 VTF projects have been implemented upon conclusion of Grant Agreements with the ATT Secretariat. By the conclusion of this report three (3) VTF projects had been completed, with the remainder to be concluded by January 2020. Annex D provides an overview of 2018 VTF projects approved and Annex E provides an overview of the status of 2018 VTF projects. Upon finalization, the final reports of the VTF projects will be made available on the VTF page of the ATT website.

Third VTF cycle (2019)

13.   By the closing date of 16 January 2019, the ATT Secretariat - the administrator of the VTF – received 39 applications from 30 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 39 eligible applications for consideration by the VTF Selection Committee.

14.   The VTF Selection Committee met on 09 April 2019 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. Based on its Guidance for the VTF Selection Process, the VTF Selection Committee provisionally approved 22 projects for VTF funding, subject to further clarification.

15.   At the end of the selection process, the VTF Selection Committee approved a total of 20 projects involving 19 States for VTF funding in the 2019 cycle. The overview of the approved projects for the 2019 VTF cycle is provided in Annex F.

16.   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 2019. By the date of this report, the ATT Secretariat had signed Grant Agreements with seven (7) Grant recipients for the 2019 VTF cycle and released the first instalment of funds to each recipient according to the terms of the signed Grant Agreements.

Fourth VTF cycle (2020)

17.   Based on the positive experience of the previous three VTF project cycle (2017, 2018 and 2019), it is envisaged that the fourth VTF project cycle (2020) will be structured along similar lines. To that end, the fourth 'Call for Project Proposals' is planned for October 2019 inviting States to submit applications to the Fund by January 2020.

18.   In implementing the Guidance for the VTF Selection Process the Selection Committee decided at its April 2019 meeting that from the 2020 VTF cycle onwards, <u>any proposal received from an applicant State, who has been in arrears with its financial contributions for two or more years (in accordance with Rule 8 of the ATT Financial Rules) at the date of the deadline for VTF applications, is unlikely to be given positive consideration by the VTF Selection Committee</u>. The VTF Selection Committee further decided that this information will be made visible on the VTF page of the ATT website as well as on VTF Calls for Projects Proposals.

ACTIVITIES OF THE VTF SELECTION COMMITTEE BETWEEN CSP4 AND CSP5

19.   In accordance with past practice, the VTF Selection Committee adopted the document 'VTF Tasks and Timeline: 2018/2019' to guide its work in terms of expected deliverables and timing of such deliverables (see Annex G).

20.   With due regard to the lessons learnt so far, it was noted in the VTF Report to CSP4 (ATT/VTF/2018/CHAIR/359/Conf.Rep) that the VTF Selection Committee planned to develop further guidance material for the elaboration of VTF project proposals in order to further improve the VTF's effectiveness in supporting Treaty implementation. The VTF Selection Committee also planned to develop *Guidance for VTF Project Evaluation* and to foster trust of VTF donors. Accordingly, the VTF Selection Committee elaborated such 'Guidance for VTF Project Evaluation' to better assess the results of VTF-funded projects.

III.   STATUS OF VTF TASKS ALLOCATED BY CSP4

21.   At its plenary session from 20-24 August 2018 the Conference of States Parties took the following decisions:

a. Adopted the amendments to the VTF Terms of Reference as contained in the document referenced ATT/VTF18/2018/SEC/251/ToR.Cons.Dr.v1.Rev1.

b. Noted the 'Guidance for the Selection of Project Proposals' as contained in the document referenced ATT/VTF18/2018/CHAIR/315/SCGuidance.

c. Welcomed the plan for the VTF to conduct further work to improve its process through, amongst other things, the development of 'Guidance for VTF Project Evaluation' and further guidance material for potential VTF applicants.

d. Welcomed the decision for the VTF to undertake further outreach activities to promote the VTF in the period leading up to the Fifth Conference of States Parties.

22.   Since CSP4, the documents referred to in paragraph 21 (a) (amended VTF Terms of Reference) and paragraph 21 (b) ('Guidance for the Selection of Project Proposals') are now in use. The status of implementation of tasks set out in paragraph 21 (c) ('Guidance for the VTF Project Evaluation') and paragraph 20 (d) (VTF outreach activities) is described below.

Guidance for the VTF Project Evaluation

23.   The VTF Terms of Reference (paragraph 13) set out that the ATT Secretariat will evaluate reports on the implementation of VTF projects by beneficiaries and report to the Conference of States Parties via the Selection Committee on the outcomes of the projects. Accordingly, a 'Guidance for VTF Project Evaluation' was developed to help the ATT Secretariat, with the support of the VTF Selection Committee, to assess whether the VTF funded projects have met their set objectives. A copy of this document is provided in Annex H.

VTF Outreach Activities

24.   In line with the VTF Outreach Strategy, a number of outreach activities were undertaken in the reporting period. Representatives of the VTF Chair and members of the ATT Secretariat participated in several regional ATT conferences and training events. These included UNGA First Committee in New York in October 2018, as well as events organized by Mexico (Mexico City), Georgia and the European Union (Tblisi), Senegal (Dakar), Thailand and ASEAN (Bangkok), Australia and New Zealand (Brisbane),

GCSP (Geneva), Latvia and Control Arms (Riga), Jamaica and the European Union (Kingston), Kazakhstan (Nur-Sultan), Commonwealth Secretariat and Small Arms Survey (Geneva), VTF 2018 Outreach Day (Geneva). In addition, members of the ATT Secretariat attended a meeting of the EU COARM in May 2019 in order to brief participants on the operations of the VTF and collaboration with EU-ATT Outreach Project.

IV.   RECOMMENDATIONS

25.   With due regard to the lessons learnt during the 2017, 2018 and 2019 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 Fifth Conference of States Parties:

   a. _Report on the work of the VTF August 2018-July 2019._ It is recommended that CSP5 takes note of this report.

   b. _Guidance for the VTF Project Evaluation._ It is recommended that CSP5 takes note of the Guidance for the VTF Project Evaluation (see Annex H).

   c. _Outreach Activities._ It is recommended that CSP5 welcomes the fact that the VTF will undertake further outreach activities in the period leading up to CSP6.

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ANNEX A. FINANCIAL STATUS OF THE VTF

	Contributions to VTF		
1	Argentina	USD	10'000.00
2	Australia	USD	475'488.06
3	Austria	USD	968.62
4	Bulgaria	USD	2'039.77
5	Cyprus	USD	22'323.20
6	Czech Republic	USD	25'170.35
7	Finland	USD	973'849.20
8	Government of Flanders, Belgium	USD	22'473.20
9	France	USD	179'186.79
10	Germany	USD	1'560'477.90
11	Ireland	USD	57'837.50
12	Japan	USD	3'000'000.00
13	Mexico	USD	15'000.00
14	Netherlands	USD	225'617.00
15	New Zealand	USD	113'849.50
16	Norway	USD	60'825.77
17	Spain	USD	59'277.18
18	Sweden	USD	563'955.87
19	Switzerland	USD	249'151.93
20	United Kingdom	USD	389'180.00
	Subtotal	**USD**	**8'006'671.84**

	Contributions to VTF Outreach Programme		
1	Germany	USD	82'328.89
2	New Zealand	USD	29,781.00
	Subtotal	**USD**	**112'109.89**

TOTAL CONTRIBUTIONS TO VTF RECEIVED		**USD**	**8'118'781.73**

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 implementation of the ATT through equipment and training.	97'081.00	✓			United Nations Regional Centre for Peace, Disarmament, and Development in Latin America and the Caribbean (UNLIREC)	National workshops (x 3) on legal assistance; technical assistance; and 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 Trade Treaty obligations	85'505.00	✓			Centre for Armed Violence Reduction (CAVR) - Secretariat for the Pacific Small Arms Action Group (PSAAG)	Assessment of legislative and procedural gaps in current transfer control system; Capacity building 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;	99'675.00		✓			Training Workshops on the appropriation and implementation

		Advocacy for the adoption and popularization of the preliminary draft law on the arms regime						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		✓		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

ATT ARMS TRADE TREATY

Issued by the ATT Secretariat
17 July 2019

STATUS OF 2017 CYCLE VTF PROJECTS, 17 JULY 2019

No.	State	Grant Agreement signed	1st instalment transferred	Interim Report received	2nd instalment transferred	Final Report received	3rd/Final instalment transferred
1	Cameroon	✓	✓	01-Mar-18	✓	02-Nov-18	✓
2	Costa Rica	✓	✓	07-Feb-18	✓	30-Nov-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	✓	29-Jan-19 (1)	
9	Mauritius	✓	✓	N/A	N/A	30-Jan-18	
10	Palau	✓	✓	29-Jan-18	✓	02-Oct-18 (2)	
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	✓	30-Apr-19*	✓
15	Togo (1)	✓	✓	01-Dec-17	✓	01-May-18	✓
16	Togo (2)	✓	✓	01-Dec-17	✓	01-May-18	✓
17	Zambia & Swaziland	WITHDRAWN					

* Revised date

(1) No need for a third transfer as the Grantee had surplus funds at the end of the Project.
(2) No need for a third transfer as the Grantee had surplus funds at the end of the Project.

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	Còte 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.	99'007.00
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				**736'809.00**

* The VTF application submitted by Chad was approved by the VTF Selection Committee, however, Chad's application was withdrawn prior to the finalisation of a Grant Agreement with the ATT Secretariat, and this project is not proceeding.

ANNEX E. STATUS OF IMPLEMENTATION OF 2018 VTF PROJECTS

Issued by the ATT Secretariat
17 July 2019

STATUS OF 2018 CYCLE VTF PROJECTS, 17 JULY 2019

No.	State	Grant Agreement signed	1st instalment transferred	Interim Report received	2nd instalment transferred	Final Report received	3rd/Final instalment transferred
1	Chad	WITHDRAWN					
2	Burkina Faso	✔	✔	01-Nov-18	✔	01-Apr-19	✔
3	Côte d'Ivoire	✔	✔	22-Feb-19*	✔	19-Jul-19*	
4	Dominican Republic	✔	✔	01-Mar-19	✔	15-Jan-20	
5	Ghana (1)	✔	✔	15-Nov-18*	✔	29-Apr-19	
6	Ghana (2)	✔	✔	N/A	N/A	30-Jan-19	✔
7	Madagascar	✔	✔	15-Dec-2018 (1)		28-Apr-19	
8	Paraguay	✔	✔	01-Mar-19	✔	15-Jan-20	
9	Samoa	✔	✔	04-Jan-19	✔	30-Aug-19	
10	Senegal	✔	✔	01-Dec-18	✔	17- Apr --19	✔

* Revised date

(1) Interim Report submitted late and still under consideration.

ANNEX F. 3RD VOLUNTARY TRUST FUND CYCLE (2019): OVERVIEW OF PROJECTS APPROVED FOR ATT VTF FUNDING

No.	State	Implementing Partner(s)	Project Title	Type of Implementation Assistance	Budget Total (USD)
1	Antigua and Barbuda	Coalition for Development and the Reduction of Armed Violence (CDRAV)	Implementing the United Nations Arms Trade Treaty - The CARICOM Way Forward	A regional workshop designed to: 1) identify and mobilize key state officials for strategic planning on universalization, implementation and reporting; 2) agree a regional plan of action for universalization, implementation and reporting; and 3) identify and agree a regional project to enable implementation (to be implemented with VTF funding).	97'064.00
2	Burkina Faso	None	Workshops to disseminate the law implementing the ATT in Burkina Faso	Organisation of workshops in three regions of the country to promote a Bill (Act) for the implementation of the ATT, which has been recently introduced to Parliament for consideration and possible adoption.	80'119.00
3	Chile	United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC)	Course for interdicting smalls arms, ammunitions and their parts and components (ISSAP)	Five (5) days training of front-line officers who control import, export and transit operations in fighting against diversion and illicit trafficking of arms.	54'889.00

4	Côte d'Ivoire	None	Training workshop on safe and secure ammunition management	Two (2) training workshops for capacity building on safe and secure ammunition management for security and defence forces.	68'039.00
5	Fiji	Centre for Armed Violence Reduction (CAVR)	Strengthening inter-agency cooperation and reporting practices for ATT ratification	National capacity building workshops to facilitate ATT ratification and implementation; amendment of existing legislation to comply with ATT and installation of a database to store arms transfer information.	98'023.00
6	Kazakhstan	UN Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD)	Arms Trade Treaty Universalization and implementation workshop for Central Asia and Mongolia	Regional workshop to promote universalization of the ATT in the region and build institutional capacity for future implementation.	97'160.00
7	Lebanon	Permanent Peace Movement (PPM) and Saferworld	Assessing Lebanon's ATT implementation compliance	Assessment of Lebanon's system's readiness to comply with the ATT implementation requirements through analysis of legislative framework, institutional arrangements, capacities and arms transfer regulation processes.	95'501.00
8	Madagascar	United Nations Regional Centre for Peace and Disarmament in Africa - UNREC	Technical and financial assistance for the procurement of a laser technology ammunition marking machine	Acquisition of ammunition marking machine and training on use of the marking machine.	95'190.00

9	Mali	Group for Research and Information on Peace and Security (GRIP)	Implementation of the ATT in Mali - Roadmap	Assessment of Mali's legislative framework for ATT compliance, capacity building for agencies responsible for ATT implementation and development of a national roadmap to guide Mali's systematic implementation of the ATT.	98'138.00
10	Mozambique	UNDP	Small arms, light weapons and explosives management system	Completion of a project commenced in 2009 to establish an online national registry to enable the Ministry of Interior to effectively manage the ownership of state and civilian fire arms, ammunitions and explosives.	98'868.00
11	Namibia	Control Arms (Non-Violence International)	ATT Academy in Southern Africa	Capacity building training workshops for 10 members of the Southern African Development Community (SADC).	230'895.00
12	Palau	Centre for Armed Violence Reduction (CARV)	Strengthening inter-agency cooperation and reporting practices for ATT ratification	National capacity building workshops to facilitate ATT ratification and implementation; amendment of existing legislation to comply with ATT and installation of a database to store arms transfer information.	94'749.00
13	Serbia	Small Arms Survey	Building national capacity to prevent and address diversion	Capacity building and technical knowledge to further strengthen the ability of Serbia to prevent and address the diversion of conventional arms.	96'247.00

14	Sierra Leone	Sierra Leone Action Network on Small Arms (SLANCA)	Advocacy Campaigns with Members of Parliament (MPs) on Amendment of relevant legislations (the SLeNCSA and Arms and Ammunition Acts)	Five (5) advocacy campaigns for Members of Parliament and key stakeholders on the ATT provisions and requirements for compliance, to speed up amendments to the relevant legislation.	28'578.00
15	South Sudan	Regional Centre on Small Arms (RESCA)	Support towards accession to the Arms Trade Treaty (ATT) in the Republic of South Sudan	ATT awareness raising and development of strategy to guide South Sudan's efforts towards accession to the ATT.	86'199.00
16	Togo	Permanent delegation of the African Union in Geneva	Incorporation of the Arms Trade Treaty (ATT) provisions into the domestic legal systems of the French-speaking African States Parties	Regional workshop to help States Parties in the region identify key elements of the ATT for incorporation into their national laws and building capacity of parliamentarians to domesticate the ATT.	269'315.00
17	Tuvalu	Centre for Armed Violence Reduction (CAVR)	Tuvalu ATT implementation	Review of Tuvalu's legislation to provide for ATT obligations; establishment of national control list; establishment of national database for arms transfer information and improvement of Tuvalu's interagency coordination.	87'840.00
18	Vanuatu	Centre for Armed Violence Reduction (CAVR)	Strengthening inter-agency cooperation and reporting practices for ATT ratification	National capacity building workshops to facilitate ATT ratification and implementation; amendment of existing legislation to comply with ATT and installation of a database to store arms transfer information.	97'381.00

19	Zambia (1)	Small Arms Survey	Building capacity to establish and maintain Zambia's national control list	Capacity building and technical knowledge to enable Zambia to adopt a national control list in fulfilment of Article 5 of the ATT.	48'000.00
20	Zambia (2)	Small Arms Survey	Building capacity to fulfil Zambia's ATT reporting obligations	Capacity building to enable Zambia to submit its initial report and establish procedures to ensure the timely submission of annual reports, sharing lessons learned on developing national procedures for ATT reporting.	76'933.00
	Total				**1'999'128.00**

ANNEX G. VTF TASKS AND TIMELINE 2018/19

Prepared by: the ATT Secretariat
27 September 2018

DRAFT VTF TASKS AND TIMELINE: 2018/2019

This draft timeline reflects major VTF milestones foreseen for the period between CSP4 and CSP5

	TASK	TIMELINE	RESPONSIBILITY
1.	VTF outreach meeting: New York	22 October 2018	Secretariat VTF Chairperson
2.	Call for project proposals	15 October 2018 – 16 January 2019	Secretariat VTF Chairperson
3.	Selection Committee constitutive meeting	17 December 2018	Selection Committee Secretariat
4.	Deadline for project proposals	16 January 2019	Secretariat
5.	Advice to States Parties on financial contributions received	01 February 2019	
6.	Pre-screening of project proposals and preparation of shortlist	17 January – 22 March 2019	Secretariat
7.	Circulation of shortlist of project proposals to Selection Committee	22 March 2019	Secretariat
8.	Selection Committee meeting: consideration and approval of successful project proposals	09 April 2019	Selection Committee Secretariat
9.	Notification to applicants on the Selection Committee's final decision	24 April 2019	Secretariat
10.	Contracting (Grant Agreement) between VTF and successful Grant Recipients; transfer of grants (1st instalment)	31 May –31 July 2019	Secretariat Grant Recipients

|			
11.	Preparation of VTF report to CSP5	18 July 2019	Secretariat
12.	Presentation to CSP5	29 August 2019 *(tbc)*	All

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ANNEX H. GUIDANCE FOR THE VTF PROJECT EVALUATION

INTRODUCTION

Article 13 of the VTF Terms of Reference provides that the ATT Secretariat will evaluate reports on the implementation of VTF projects by beneficiaries and report to the Conference of States Parties via the Selection Committee on the outcomes of the projects. Furthermore, article 16 of the Terms of Reference provides that the ATT Secretariat shall ensure appropriate monitoring and evaluation of VTF projects.

This document provides guidelines for the evaluation of completed VTF projects by the ATT Secretariat thereby facilitating continuous improvement of the VTF as an effective and efficient Treaty implementation support tool. The VTF project evaluation process is one phase of the VTF project cycle and shall be coherent with other phases of the VTF project cycle, namely the call for project proposals, analysis and selection of project proposals, negotiation of grant agreements, and project monitoring and reporting (see Diagram 1).

Diagram 1. VTF Project Cycle
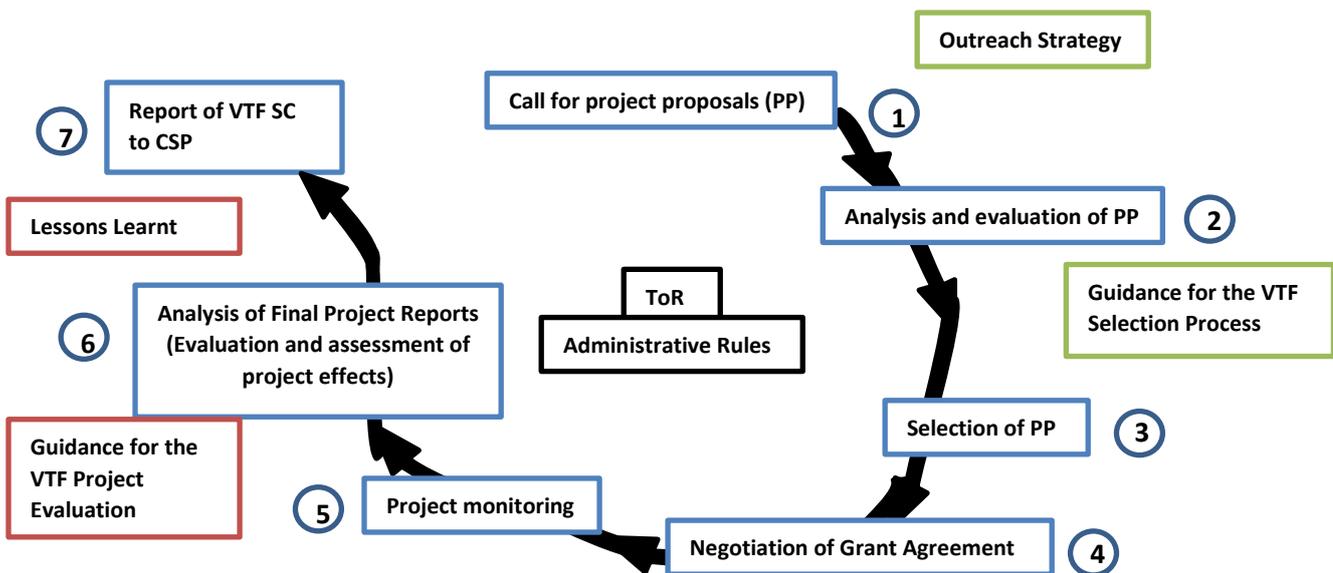
OBJECTIVES

The primary objective of the *Guidance for VTF Project Evaluation* is to help the ATT Secretariat assess whether each project funded by the VTF has been implemented in an efficient and effective way and has met the goals and objectives set by the applicant State. The other objective of the *Guidance for VTF Project Evaluation* is to facilitate the effective allocation of resources based on "lessons learnt" regarding the management and outcomes of completed VTF projects.

In summary, the *Guidance for VTF Project Evaluation* is designed to assist in achieving the following:

1. **Transparency and accountability:** Facilitate reporting on the achievements of VTF projects in a transparent manner.
2. **Assist in the effective allocation of resources:** Facilitate the evaluation of and decision-making on subsequent VTF project proposals.
3. **Improve quality of projects**: Contribute to the VTF set of documents assisting states in designing and preparing VTF project proposals.

Diagram 2. VTF Process Linkages
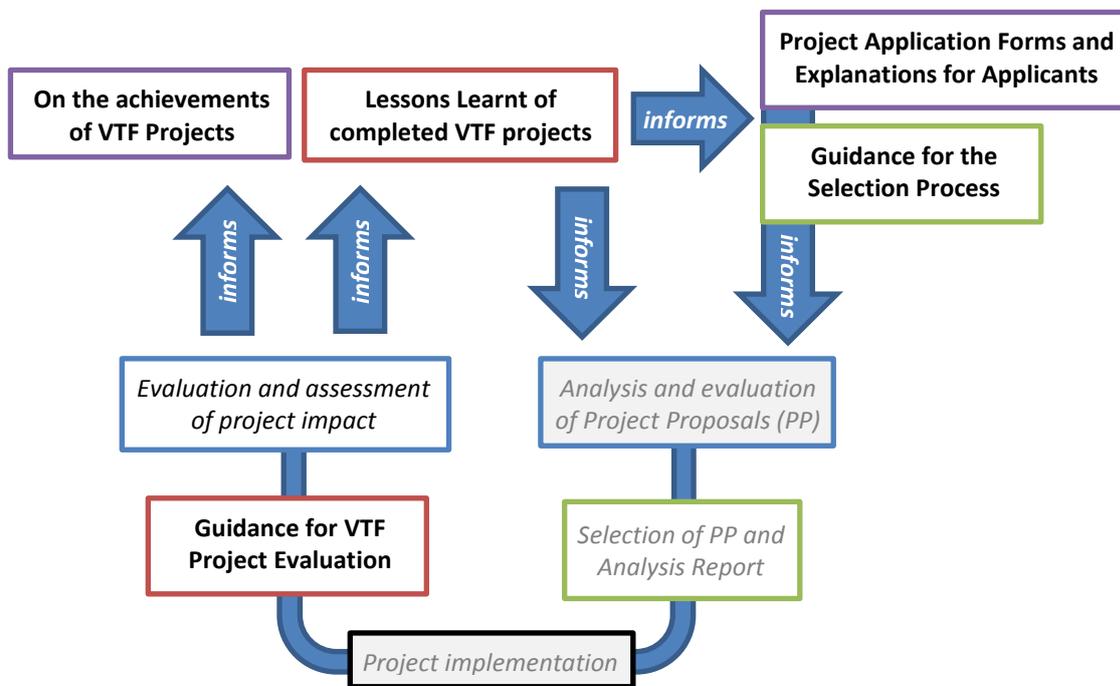
THE PROJECT EVALUATION PROCESS

Each VTF project will be evaluated by the ATT Secretariat following its completion based on the annexed matrix of indicators.

Main sources of information for the project evaluation will include:

- All project reports (including interim and final reports) and comparison with the Grant Application Form/Detailed Budget Form/Grant Agreement
- Project deliverables (e.g. training material, (draft) national control list, (draft) legislation)
- Audit reports (if applicable)
- Project visits (in case of participation by representatives of the ATT Secretariat/VTF Selection Committee Chair/members)

- Initial and annual ATT reports in accordance with Article 13 (if applicable)
- Feedback from event participants (in case of seminars, workshops, etc.)

Elements for the Evaluation of VTF Projects:

VTF Projects shall be evaluated in two dimensions, namely: 1) project management, and 2) project deliverables.

1. Project **management** will focus on the interaction with the Grant recipient and, if applicable, the project implementing partner. Areas to be assessed may include timeliness and comprehensiveness of project reporting, responsiveness and evaluation of the project spending.

2. Project **deliverables** will focus on the project outputs or immediate results.

In due course and based on "lessons learnt", the *Guidance for VTF Project Evaluation* will be considered for extension to cover the long-term impact of VTF projects.

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ANNEX A: <u>**INDICATORS FOR THE EVALUATION OF PROJECT MANAGEMENT**</u>

	GRANT AGREEMENT NEGOTIATIONS	**Yes**	**No**	**Comment**
1.	Did the Grantee respond to the Request for Clarification by the required deadline?	☐	☐	
2.	Did the Grantee respond to all the elements of the Request for Clarification?	☐	☐	
3.	Did the Grantee submit the Grant Agreement supporting documents (Bank Account Information, Project Schedule, MoU) by the required deadline?	☐	☐	
4.	Did the Grantee sign and initial all pages of the Grant Agreement as requested?	☐	☐	
	INTERIM REPORT			
5.	Did the Grantee submit the Interim Report (narrative) by the required deadline?	☐	☐	
6.	Did the Grantee use the prescribed format for the Interim Narrative Report?	☐	☐	
7.	Did the Grantee respond to all sections of the Interim Narrative Report narrative?	☐	☐	
8.	Did the Grantee submit the Interim Report (expenditure) report by the required deadline?	☐	☐	
9.	Did the Grantee use the prescribed format for the Interim Expenditure Report?	☐	☐	
10.	Did the Grantee provide a clear description for each relevant budget line?	☐	☐	
11.	Did the Grantee provide copies of all relevant invoices and receipts pertaining to the Interim Expenditure Report?	☐	☐	
12.	Did the Grantee provide accurate calculations in the Interim Expenditure Report?	☐	☐	

	FINAL REPORT			
13.	Did the Grantee submit the Final Report (narrative) by the required deadline?	☐	☐	
14.	Did the Grantee respond to all sections of the Final Narrative Report?	☐	☐	
15.	Did the Grantee use the prescribed format for the Final Narrative Report?	☐	☐	
16.	Did the Grantee submit the Interim Final (expenditure) report by the required deadline?	☐	☐	
17.	Did the Grantee use the prescribed format for the Final Expenditure Report?	☐	☐	
18.	Did the Grantee provide a clear description for each relevant budget line?	☐	☐	
19.	Did the Grantee provide copies of all relevant invoices and receipts pertaining to the Final Expenditure Report?	☐	☐	
20.	Did the Grantee provide accurate calculations in the Final Expenditure Report?	☐	☐	
	GENERAL			
21.	Did the Grantee inform the ATT Secretariat of any changes in circumstances or other events that affected project implementation before or as they occurred?	☐	☐	
22.	Did the Grantee respond to the ATT Secretariat's queries and requests for information and documentation in a timely manner during the project implementation?	☐	☐	
23.	Was the Grantee more than 20% under-budget on any budget line? If so, did the Grantee provide a satisfactory explanation for why?	☐	☐	

24.	Was the Grantee more than 20% over-budget on any budget line? If so, did the Grantee provide a satisfactory explanation for why?	☐	☐	
25.	Did the Grantee communicate with the ATT Secretariat through the appropriate (and requested) channels i.e. via the trustfund@thearmstradetreay.org email address?	☐	☐	
26.	Did the Grantee request/need an extension of time to complete the project? If so, did the Grant provide a satisfactory explanation for why an extension of time was required?	☐	☐	
	PROJECT IMPLEMENTING PARTNER			
27.	Did the Project Implementing Partner fulfil its obligations under the agreement or MoU with the Grantee with respect to project reporting (if applicable)?	☐	☐	
28.	Did the Project Implementing Partner respond to the ATT Secretariat's queries and requests for information and documentation in a timely manner during the project implementation?	☐	☐	

ANNEX B: <u>**INDICATORS FOR THE EVALUATION OF PROJECT DELIVERABLES**</u>

	GENERAL	Yes	No	Comment
1.	Were all the project activities completed in accordance with the Project Schedule?	☐	☐	
2.	If not, did the Grantee give a satisfactory explanation of why certain activities were not completed?	☐	☐	
3.	Did the Grantee integrate gender considerations in the development and implementation of the project?	☐	☐	
	TANGIBLE DELIVERABLES			
4.	If the project involved tangible outputs – such as training materials, a national control list, draft legislation, the purchase of equipment etc. – were these achieved or delivered?	☐	☐	
5.	If not, did the Grantee give a satisfactory explanation of why certain deliverables were not achieved?	☐	☐	
6.	If the project involved tangible outputs – such as training materials, a national control list, draft legislation etc. – were these made available to the ATT Secretariat?	☐	☐	
	CAPACITY BUILDING AND TRAINING			
7.	If the project involved capacity building or training, how many people profited from the capacity building/training?	☐	☐	
8.	Did the Grantee conduct an evaluation of the training?	☐	☐	
9.	If so, what were the results?			