



**REPORT ON THE WORK OF THE ATT VOLUNTARY TRUST FUND (VTF)  
FOR THE PERIOD AUGUST 2021 - AUGUST 2022**

As Chair of the ATT Voluntary Trust Fund (VTF), it gives me great pleasure to present to the Eighth Conference of States Parties the attached report on the work of the VTF for the period August 2021 - August 2022.

I have very much enjoyed my period as the VTF Chair. I believe strongly in the Fund as an essential means to advance Treaty implementation and universalization. It is in the interests of all the Treaty's membership that we are able to draw on these funds, generously provided by a range of donors, to advance the ATT's object and purpose. Implementation of the Treaty would be particularly handicapped in developing countries and regions coping with a pressing range of economic and security priorities if we did not have the benefit of the Fund.

The VTF has been able to continue its operations – at least to a considerable extent – throughout the outbreak of COVID-19 although some projects have had, inevitably enough, to alter their timeframes.

The VTF Selection Committee, however, finds itself divided over the issue of unpaid financial contributions by a State seeking support from the VTF. The attached note sets out the background to this issue.

In summary:

- CSP5 decided that 'No State shall be prejudiced by Financial Rule 8 (1)d in applying for support from the ATT Voluntary Trust Fund or the ATT Sponsorship Programme until CSP6, when this matter will be considered.' At the same time, CSP5 'requested the Management Committee to prepare guidelines on the issue of "arrangements with the Secretariat in relation to the discharge of its financial obligations" for consideration at CSP6'.
- As a result of CSP6 being held as a paper-based Conference, and CSP7 being held in a hybrid format, a discussion or decision on this issue has not yet taken place.
- While Guidelines for making financial arrangements under Financial Rule 8 (1) d were approved at CSP7, the impact of this on VTF applications has not been made clear.

In my view, the VTF Selection Committee would benefit from guidance from the CSP, as was anticipated at CSP5, as to whether the status of financial contributions of States applying for VTF support is to be a determinative factor in the Committee's consideration of its funding decisions.

The CSP8's decision on this issue will greatly facilitate the work of the VTF Selection Committee in supporting the VTF objectives into the future.

Yours sincerely,

**Ambassador Dell HIGGIE**  
**Chairperson: VTF Selection Committee**

## BACKGROUND NOTE: SEQUENCE OF EVENTS

1. **December 2017.** To enhance the operationalisation of the VTF Terms of Reference (TORs), the VTF Chair initiated a process to develop a criteria/methodology for prioritizing proposals in the event that there would be insufficient funding to cover all projects put forward in a given year. One of the proposed criteria was a **financial consideration** focused on whether the applicant State had paid its financial contributions to the ATT in full or was in arrears.

2. **March 2018.** After lengthy deliberations, the Selection Committee settled on the text of a draft Guidance for Selection Process comprising Annex A (guidance for the selection process) and Annex B (further considerations in the case of insufficient funds to cover all proposed projects that had met the quality requirements). Critical to the Selection Committee's agreement on these documents were the following understandings:

- Elements in Annex A would be considered and dealt with as considerations, not preconditions, and would be applied all together in order to reach an aggregate determination on whether a proposal was to be approved or not.
- The Guidance for Selection process was to be submitted, for noting, to CSP4 as an annex to the VTF report.
- Annex A included the financial consideration and was to be applied from the 2019 VTF cycle onwards (following its submission to CSP4).

3. **August 2018.** CSP4 considered the VTF report and noted the Guidance for Selection Process annexed to the report.

4. **April 2019.** The Selection Committee was divided over the application of the financial consideration aspect of the Guidance for Selection Process. By way of a compromise, the Selection Committee deferred application of the financial consideration for the *current* cycle on the basis that the issue should be raised at CSP5 to guide its future application. In the meantime, future potential applicants were to be informed (both through the 'request for proposals' process as well as on the ATT website) that:

*'Please note: from the 2020 VTF cycle, any proposal received from an applicant State whose financial contributions are in arrears for two or more years (in accordance with Rule 8 of the Financial Rules) at the date of the deadline for VTF applications, is unlikely to be given positive consideration by the VTF Selection Committee'<sup>1</sup>.*

5. **July 2019.** The VTF report was forwarded to CSP5 with the acknowledgement that: *'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'.*

6. **August 2019 (CSP5).** During CSP5 this text (linked also to ongoing Sponsorship Programme discussions) precipitated a fractious debate. Following extended consultations, CSP5 decided as follows: *'No State shall be prejudiced by Financial Rule 8.1.d in applying for support from the ATT*

<sup>1</sup> This text was never in fact used (either on the ATT website or in the request process) on account of the decision taken at CSP5 suspending the application of the 'financial consideration'.

*Voluntary Trust Fund or the ATT Sponsorship Programme until CSP6, when this matter will be considered.’ Related to this decision, CSP5 ‘requested the Management Committee to prepare guidelines on the issue of “arrangements with the Secretariat in relation to the discharge of its financial obligations” (reference Financial Rule 8.1.d) for consideration at CSP6’.*

7. **May 2020.** Following a discussion of the CSP5 decision, and notwithstanding a divergence of views within the Selection Committee regarding CSP5’s decision, the Committee, as a grouping, took no account of the financial consideration aspect of the Guidance for Selection Process in its decision-making.

8. **August 2020 (CSP6).** CSP6 was held as a paper-based Conference. To mitigate the challenges presented by this format, a set of draft decisions had been presented to CSP6. One of these was Draft Decision 16 which read as follows:

CSP6 Decision 16

States Parties to the Arms Trade Treaty agree that the effects triggered by the process for making financial arrangements to subsequent decisions of the ATT Voluntary Trust Fund (VTF) and the ATT Sponsorship Programme need further discussion as decided by CSP5 (see paragraph 36 of the *Final Report*, ATT/CSP5/2019/SEC/536/Conf.FinRep.Rev1). The extraordinary circumstances surrounding CSP6 do not allow for an in-depth discussion on this matter. Therefore, States Parties to the Arms Trade Treaty:

- a. Decide that no State shall be prejudiced by Financial Rule 8 (1) d in applying for support from the ATT Voluntary Trust Fund or the ATT Sponsorship Programme until CSP7, when this matter will again be considered.
- b. Task the Management Committee to prepare a report on the application of Financial Rule 8 (1) d on decisions to be taken by the VTF Selection Committee and the ATT Sponsorship Programme for consideration and decision by CSP7.

9. The above draft decision was not adopted by CSP6 on the basis that there had been no opportunity for in-depth discussion of the issue in an open format.

10. **May 2021.** Pending a formal discussion and decision on this issue, and notwithstanding the ongoing divergence of views on this issue, the Selection Committee, as a grouping, continued the suspension of the financial consideration aspect of the Guidance for Selection Process in its consideration of projects.

11. **August 2021 (CSP7).** This Conference was held in a hybrid format with reduced meeting times. CSP7 was, however, able to consider draft elements for a procedure regarding Financial Rule 8.1.d and adopted the process proposed by the Management Committee under that Rule for making financial arrangements. Whilst approving the Guidelines for financial arrangements put forward by the Management Committee, the Conference did not have the opportunity to consider or pronounce itself on the implications of this decision for the suspension of Financial Rule 8 (1) d in relation to applications made to the VTF or for the Sponsorship Programme, and this was not part of the Management Committee’s proposal.

12. **Note:** Some delegations have interpreted CSP7’s adoption of Guidelines for making financial arrangements to discharge arrears as superseding the earlier decision by CSP6 calling for a full

discussion of the applicability of financial considerations to decisions made on a State's VTF project (or with regard to the Sponsorship Programme). Other delegations do not interpret the CSP7 decision in this way and see a decision to decline a VTF project on the basis of a State's arrears as beyond the remit of the VTF Selection Committee and requiring clear direction from the CSP.

13. **May 2022.** The divergent views outlined above regarding the application of the financial consideration aspect of the Guidance for Selection Process were evident in the Selection Committee's discussion on a number of projects and affected its ability to reach agreement.

14. In forwarding this year's report on to the CSP, the VTF Chair wishes to draw attention to the fact that, in large part as a consequence of the impact of COVID-19 on recent CSPs, the relevance of financial considerations (and the existence of arrears on the part of an applicant) to decision-making by the VTF Selection Committee is still not resolved – much as was the case in April 2019 when the matter was first raised with CSP5. Without a clear direction from CSP8, it is likely a new Selection Committee will equally remain divided on this issue.

#### **FACTORS FOR CONSIDERATION BY CSP8**

15. The Selection Committee was established at CSP2 as an ATT subsidiary body with its mandate set out in TORs requiring the Selection Committee and the ATT Secretariat to undertake specific tasks. In selecting projects, the Selection Committee is required to consider the eligibility and selection criteria contained in the TORs.

16. To give greater definition to the TORs, the **Selection Committee adopted Guidance criteria** (Annex A, referred to above) which was noted by CSP4 but which subsequently became the occasion for a division of views at CSP5 focused on the inclusion in Annex A of a 'financial consideration'. **States Parties were divided as to whether applicants to the VTF should be 'prejudiced', and potentially have their projects declined, on the basis of their being in arrears with their ATT dues.** Accordingly, CSP5 called for consideration of the issue at CSP6. This has yet to take place.

17. The ATT Financial Rules were adopted by CSP1. Financial Rule 8 (1)d sets out the sanctions that can be imposed on a State in arrears for two or more years but which has not made arrangements with the ATT Secretariat. These sanctions are: 1) suspension of voting rights; 2) ineligibility to nominate a representative as office holder; and 3) inability to become a member of a subsidiary body. There is no mention of any further financial sanction on States such as their ability to submit an application to the VTF.

18. Exceptions (or additions) to the over-arching ATT Financial Rules can only be granted by a CSP. This, no doubt, was a factor in the call by CSP5 for a full discussion on the financial consideration issue. This discussion has yet to take place.

19. If the financial consideration in the Guidance for Selection Process is to operate now as a standalone criterion – acting effectively as a veto on an application from a State owing more than two year's arrears - this must be made clear by States Parties and not left to conflicting views within a subsidiary body of the Treaty.

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Arms Trade Treaty

**Eighth Conference of States Parties**

Geneva, 22 – 26 August 2022

**REPORT ON THE WORK OF THE ATT VOLUNTARY TRUST FUND (VTF)  
FOR THE PERIOD AUGUST 2021 TO AUGUST 2022**

**INTRODUCTION**

1. This report is submitted by the ATT Secretariat, as administrator of the 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. Update on VTF tasks contemplated in the VTF report to CSP7.
  - d. Looking forward.

**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 (CSP2) 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 the Fourth Conference of States Parties (CSP4).
4. In accordance with Article 6 of the VTF Terms of Reference, the Sixth Conference of States Parties appointed *Albania, Australia, Canada, Finland, Germany, Japan, Madagascar, Mexico, New Zealand, Republic of Korea, South Africa, Sweden, Switzerland* and the *United Kingdom* to serve on the Selection Committee of the VTF for two years, from the Sixth Conference of States Parties to the Eighth Conference of States Parties (eligible for reappointment). Following the Conference, the Netherlands was also appointed to serve on the VTF Selection Committee via silence procedure.
5. On 11 September 2020, the VTF Selection Committee selected Ambassador Dell HIGGIE of New Zealand to serve as Chairperson until the Eighth 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 11'191'510.59 in voluntary financial contributions from 28 States. This includes contributions specifically earmarked for VTF outreach activities from Germany and New Zealand. The breakdown of received financial contributions is reflected in Annex A.

8. The financial contributions received provided a sound basis for the first (2017), second (2018), third (2019), fourth (2020), fifth (2021) and sixth (2022) VTF projects cycles.

9. Of the contributions received by the VTF, a total of USD 1'198'899 was used for projects approved for the first VTF (2017) cycle, USD 674'837 was used for projects in the second VTF (2018) cycle, USD 1'911'288 were committed for the projects of the third VTF (2019) cycle, USD 884'080 were committed for the projects of the fourth VTF (2020) cycle, USD 1'096'841 were committed for the projects of the fifth VTF (2021) cycle and a further USD 612,184 have thus far been allocated to the implementation of projects approved for the sixth (2022) VTF cycle, subject to the finalisation of Grant Agreements.

### STATUS OF VTF PROJECTS

10. Since the VTF was established by CSP2 in 2016, six calls for project proposals have been issued from the first VTF cycle (2017) to the sixth VTF cycle (2022). The sixth 'Call for Project Proposals' was issued on 20 October 2021, inviting States to submit applications during the period 20 October 2021 – 14 January 2022.

#### *First (2017) and Second (2018) VTF cycles*

11. The VTF funded 15 projects in the first (2017) VTF cycle and 9 projects in the second (2018) VTF cycle. The overview and final reports for 2017 and 2018 are available on the VTF page of the ATT website<sup>1</sup>.

#### *Third VTF cycle (2019)*

12. The VTF Selection Committee approved 20 projects for funding in the third (2019) VTF cycle. Following the withdrawal of one application, 19 VTF projects were implemented upon conclusion of Grant Agreements with the ATT Secretariat. By the conclusion of this report, 13 VTF projects had been completed and one (1) VTF project had been discontinued due to the political situation prevailing in the country of application. Annex B provides an overview of 2019 VTF projects approved and Annex C provides an overview of the status of 2019 VTF projects.

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<sup>1</sup> <https://www.thearmstradetreaty.org/voluntary.html?tab=tab2>

13. As a consequence of the COVID-19 pandemic, all incomplete projects from the 2019 VTF cycle were forced to suspend their activities, and have been granted extensions of time to complete their project activities. Accordingly, while the 2019 VTF-funded projects were scheduled for implementation between June 2019 and June 2021, the end of the cycle is now projected to be December 2022 at the latest. Upon finalization, the final reports of the VTF projects will be made available on the VTF page of the ATT website.

#### ***Fourth VTF Cycle (2020)***

14. The VTF Selection Committee approved 10 projects for funding in the fourth (2020) VTF cycle. Following the withdrawal of one application, nine (9) VTF projects were implemented upon conclusion of Grant Agreements with the ATT Secretariat. Annex D provides an overview of 2020 VTF projects approved and Annex E provides an overview of the status of 2020 VTF projects.

#### ***Fifth VTF Cycle (2021)***

15. The VTF Selection Committee approved 13 projects for funding in the fifth (2021) VTF cycle. Following the withdrawal of two (2) applications, 11 VTF projects were implemented upon conclusion of Grant Agreements with the ATT Secretariat. Annex F provides an overview of 2021 VTF projects approved and Annex G provides an overview of the status of 2021 VTF projects.

#### ***Sixth VTF Cycle (2022)***

16. By the closing date of 14 January 2022, the ATT Secretariat received 15 applications from 13 States. In accordance with its mandate, the ATT Secretariat conducted the pre-screening exercise on the received applications and, in line with previous practice, gave concerned States the opportunity to address certain administrative errors in their project proposals.

17. The VTF Selection Committee met virtually on 25 May 2022 to review and consider the shortlisted applications by applying the VTF criteria set out in the VTF Terms of Reference with a view to assessing the merits and quality of project proposals. The VTF Selection Committee provisionally approved six (6) projects for VTF funding, subject to further clarification of certain aspects and negotiation of grant agreements.

18. The six (6) provisionally approved projects involve six (6) States. The overview of the provisionally approved projects for the 2022 VTF cycle is provided in Annex H. 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 is in the process of negotiating Grant Agreements with the successful applicants.

19. It is expected that the 2022 VTF projects will commence activities in August 2022, at the earliest.

#### ***Seventh VTF cycle (2023)***

20. It is envisaged that the seventh VTF project cycle (2023) will be structured along similar lines to the previous VTF project cycles, with a call for proposals to be issued in October 2022 with a deadline of mid-January 2023.



## ACTIVITIES OF THE VTF SELECTION COMMITTEE BETWEEN CSP7 AND CSP8

21. In accordance with the past practice, the VTF Selection Committee agreed on the document 'VTF Tasks and Timeline 2021/2022' to guide its work in terms of expected deliverables and timing of such deliverables (see Annex I).

22. In addition to the existing three instructional videos to assist applicants to complete and submit quality applications to the VTF, part of the funds contributed by New Zealand to the VTF Outreach Programme was further used to support the development of the fourth instructional video on VTF reporting. All four videos have subtitles in UN languages and are publicly available on the dedicated VTF webpage of the ATT website<sup>2</sup>.

### III. UPDATE ON VTF TASKS CONTEMPLATED IN THE VTF REPORT TO CSP7

23. The VTF report submitted to CSP7 (referenced ATT/VTF/2021/CHAIR/678/Conf.Rep) highlighted the impact of the COVID-19 pandemic on VTF activities, and stated that in the period leading up to CSP8 the VTF will endeavour to:

- a. Undertake further VTF outreach activities, in line with the VTF Outreach Strategy.
- b. Promote the submission of VTF project applications that contribute to Treaty implementation as well as Treaty universalisation.
- c. Provide assistance to States to improve the quality of VTF applications, with the intended goal of enabling more proposals that meet the eligibility and selection criteria for VTF funding by utilizing appropriate assistance material, including instructional videos to assist potential VTF applicants
- d. Evaluate completed VTF projects, in line with the 'Guidance for VTF Project Evaluation', and report to future CSPs.

24. The status of implementation of some of the tasks above is described below.

#### VTF Outreach Activities

25. In line with the VTF Outreach Strategy, a number of outreach activities were undertaken in the reporting period. A member of the ATT Secretariat participated in the ATT virtual course organized by Geneva Centre for Security Policy (GCSP) in April 2022 involving representatives of various states. In the same month, a representative of the VTF Chair and the ATT Secretariat participated in a hybrid briefing day for representatives of States Parties designated as National Points of Contact as well as ATT sponsored delegates to the Second CSP8 Informal Preparatory Meetings. Furthermore, a representative of the VTF Chair and the ATT Secretariat participated in the ATT Universalization Roundtable for Asia-Pacific organized by Australia, Japan, New Zealand and Control Arms in June 2022. The VTF Chairperson, in collaboration with the ATT Secretariat, developed the fourth instructional video to assist applicants to complete and submit VTF reports to the ATT Secretariat, which is accessible on the VTF webpage on the ATT website.

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<sup>2</sup> <https://www.thearmstradetreaty.org/voluntary.html?tab=tab2>

**Promotion of VTF project projects supporting Treaty implementation and universalization**

26. While undertaking VTF outreach activities referenced above, the VTF Chair and the ATT Secretariat have endeavoured to promote the submission of VTF applications and projects that advance Treaty implementation at a national level as well as the universality of the Treaty.

**Evaluation of the VTF Projects**

27. The VTF Terms of Reference (paragraph 13) set out that the ATT Secretariat will evaluate reports on the implementation of VTF projects by beneficiaries. Accordingly, a 'Guidance for VTF Project Evaluation' was developed to help the ATT Secretariat to assess whether the VTF funded projects have met their set objectives. The evaluation of projects is orientated towards completed projects. The 2017 projects were concluded by the end of 2019 and it was planned that a selected sample will be evaluated in the 2020/2021 period. This plan was unexpectedly disrupted by the COVID-19 outbreak resulting in projects delaying their activities thus impacting the capacity of the ATT Secretariat in terms of number of projects to monitor at any given stage. With the COVID situation improving and projects resuming and concluding their activities at this juncture, the evaluation of the 2017 completed projects has commenced and will be reported at CSP9 alongside other VTF activities undertaken.

**IV. RECOMMENDATIONS**

28. With due regard to the lessons learnt during the 2017 – 2022 VTF projects cycles and the desire to further improve the effectiveness of the VTF operation, the following recommendations are presented for consideration and endorsement by the Eighth Conference of States Parties:

- a. That CSP8 takes note of the Report on the work of the VTF August 2021 – August 2022.
- b. That CSP8 welcomes the fact that the VTF will undertake further outreach activities in the period leading up to CSP9.
- c. That CSP8 welcomes the fact that the VTF will, through the ATT Secretariat, evaluate the 2017 completed projects, in line with the 'Guidance for VTF Project Evaluation', and report to CSP9.

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**ANNEX A. FINANCIAL STATUS OF THE VTF (As of 08 July 2022)**

<b>Contributions to VTF Projects</b>			
1	Argentina	USD	10'000.00
2	Australia	USD	548'840.67
3	Austria	USD	1'970.17
4	Bulgaria	USD	2'039.77
5	Canada	USD	11'000.00
6	Costa Rica	USD	6'000.00
7	Cyprus	USD	33'279.30
8	Czech Republic	USD	64'648.08
9	Finland	USD	1'934'385.90
10	Government of Flanders, Belgium	USD	90'006.02
11	France	USD	347'190.09
12	Germany	USD	2'243'039.10
13	Ireland	USD	108'579.12
14	Japan	USD	3'000'000.00
15	Mexico	USD	60'000.00
16	Montenegro	USD	1'616.78
17	Netherlands	USD	452'889.00
18	New Zealand	USD	185'559.50
19	Norway	USD	170'111.72
20	Philippines	USD	5'000.00
21	Poland	USD	10'000.00
22	Portugal	USD	17'671.70
23	Republic of Korea	USD	240'000.00
24	Slovenia	USD	21'849.04
25	Spain	USD	92'624.22
26	Sweden	USD	563'955.87
27	Switzerland	USD	509'843.03
28	United Kingdom	USD	389'180.00
	<b>Total for VTF projects</b>	<b>USD</b>	<b>11'121'279.08</b>
<b>Contributions to VTF Outreach Programme</b>			
1	Germany	USD	82'328.89
	Germany, reimbursement	USD	-41'878.38
2	New Zealand	USD	29'781.00
	<b>Total for VTF Outreach Programme</b>	<b>USD</b>	<b>70'231.51</b>
<b>TOTAL CONTRIBUTIONS TO VTF RECEIVED</b>		<b>USD</b>	<b>11'191'510.59</b>

**ANNEX B. 3<sup>RD</sup> VOLUNTARY TRUST FUND CYCLE (2019): OVERVIEW OF PROJECTS APPROVED FOR ATT VTF FUNDING**

No.	State	Implementing Partner(s)	Project Title	Type of Implementation Assistance	Total Budget Approved (USD)	Total Budget Spent (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	64,998.00
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	72,630.25
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	46,758.89
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	57,852.00

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	89,326.16
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	47,839.00
7	Lebanon <sup>3</sup>	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	17,899.64
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	95,190.00

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<sup>3</sup> The VTF project implemented by Lebanon was discontinued due to political situation in the country.

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	87,192.16
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 firearms, 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	137,037.00
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	72,114.00
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	233,316.00
17	Tuvalu <sup>4</sup>	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	

<sup>4</sup> The VTF application submitted by Tuvalu was approved by the VTF Selection Committee, however, Tuvalu's application was withdrawn prior to the finalisation of a Grant Agreement with the ATT Secretariat, and this project is not proceeding.

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	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	74,338.42
<b>Total</b>					<b>1,911,288.00</b>	<b>1,144,491.52</b>



## ANNEX C. STATUS OF IMPLEMENTATION OF 2019 VTF PROJECTS (As of 08 July 2022)

No	State	Grant Agreement signed	1 <sup>st</sup> instalment transferred	Interim Report received	2 <sup>nd</sup> instalment transferred	Final Report received/ due	3 <sup>rd</sup> /Final instalment transferred	Status
1	Antigua and Barbuda	✓	✓	NA	NA	06-Dec-19	NA	Completed
2	Burkina Faso	✓	✓	01-Dec-19	✓	28-Sep-20	NA	Completed
3	Chile	✓	✓	15-Feb-20	✓	12-Jan-22		Completed
4	Côte d'Ivoire	✓	✓	NA	NA	31- Jan-20	NA	Completed
5	Fiji	✓	✓	30-Apr-20	✓	08-Apr-21		Completed
6	Kazakhstan	✓	✓	NA	NA	04-Nov-20*	NA	Completed
7	Lebanon	✓	✓	NA	NA	NA	NA	Discontinued due to political situation
8	Madagascar	✓	✓	NA	NA	16-Dec-19	✓	Completed
9	Mali	✓	✓	06-Jan-20	✓	12-Apr-21	✓	Completed
10	Mozambique	✓	✓	19-Jan-20	✓	01-Mar-22		Underway
11	Namibia	✓	✓	15-Jan-20	✓	05-Nov-21	NA	Completed
12	Palau	✓	✓	18-Jun-20	✓	19-Oct-21	NA	Completed
13	Serbia	✓	✓	11-Feb-20	NA	28-Feb-22		Underway
14	Sierra Leone	✓	✓	NA	NA	08-Dec-22		Underway
15	South Sudan	✓	✓	02-Dec-19	✓	30-Aug-21		Underway
16	Togo	✓	✓	NA	NA	25-Mar-20	✓	Completed
17	Tuvalu	WITHDRAWN						
18	Vanuatu	✓	✓	15-Mar-20	✓	29-Apr-22		Underway
19	Zambia (1)	✓	✓	07-Feb-20	✓	30-Sep-20	✓	Completed
20	Zambia (2)	✓	✓	07-Feb-20	✓	30-Sep-20	✓	Completed

**ANNEX D. 4<sup>TH</sup> VOLUNTARY TRUST FUND CYCLE (2020): OVERVIEW OF PROJECTS APPROVED FOR ATT FUNDING**

No.	Applicant State	Partner(s)	Project Title	Type of Implementation Assistance	Total Budget Approved (USD)	Total Budget Spent (USD)
1	Botswana <sup>5</sup>	Small Arms Survey	Building Capacity to fulfil the Republic of Botswana's ATT reporting obligations	Capacity building effort to enable ATT reporting in terms of establishment of reporting processes and procedures as well as submission of initial report and annual reports	[79,702.00]	
2	Côte d'Ivoire	None	Interconnection of end-use weapons sites	Development of an integrated data management IT system for stockpile management and training of stockpile managers	98,119.00	90,918.00
3	Ghana	Lex Emporium Attorney @Law	Adoption of a comprehensive harmonized legislation for the implementation of the ATT	Development and adoption of a comprehensive and harmonised single legislation for the implementation of the ATT in Ghana	99,826.00	90,204.60
4	Kenya	Regional Centre on Small Arms (RECSA)	ATT awareness raising and creation of momentum for Kenya's accession to the ATT	National workshop to raise awareness about the ATT and its implications with a view to building momentum for Kenya's accession to the ATT	95,604.00	89,944.00

<sup>5</sup> The VTF application submitted by Botswana was approved by the VTF Selection Committee, however, Botswana's application was withdrawn prior to the finalisation of a Grant Agreement with the ATT Secretariat.

5	Madagascar <sup>6</sup>	Controls Arms (Non-Violence International)	ATT Academy in the Indian Ocean Region	Regional workshop to build capacity of five Indian Ocean States (IOC) to implement the ATT	193,015.00	8,895.00
6	Nigeria	IANSA Women Network Nigeria	Strengthening inter-agency cooperation for the Treaty implementation and reporting	National capacity building workshop to strengthen inter-agency cooperation to facilitate the implementation of the ATT and to enhance national capacity to meet its reporting obligations	95,102.00	90,145.00
7	Sierra Leone	None	Capacity building workshops for effective ATT implementation at regional level	Capacity building workshops on ATT implementation conducted at regional level	55,977.00	
8	South Sudan	Regional Centre on Small Arms (RECSA)	Support towards operationalization of the National ATT Accession and Implementation Strategy for the Republic of South Sudan	Implementation of South Sudan's national ATT implementation strategy by undertaking the following activities: 1) review of national legislation, 2) development and adoption of national control list, 3) capacity building workshop for customs officials and, 4) capacity building workshop for parliamentarians on ATT domestication	99,524.00	
9	Togo	None	Training workshops on the safe and secure management of weapons and ammunition stockpiles	Workshops to train defence and security officers in the safe and secure management of weapons and	53,716.00	49,878.39

<sup>6</sup> The VTF project implemented by Madagascar was discontinued.

				ammunition stocks throughout the country to prevent diversion		
10	Zambia	Small Arms Survey	Building capacity to draft Zambia's Conventional Arms Control Act to implement the ATT	Building of Zambia's legislative drafting capacity and preparation of Zambia's legislation to implement the ATT	93,197.00	82,533.00
	<b>Total</b>				<b>884,080.00</b>	<b>502,518.82</b>

**ANNEX E. STATUS OF IMPLEMENTATION OF 2020 VTF PROJECTS (As of 08 July 2022)**

No.	State	Grant Agreement signed	1 <sup>st</sup> instalment transferred	Interim Report due	2 <sup>nd</sup> instalment transferred	Final Report due	Final instalment transferred	Status
1	Botswana	<b>WITHDRAWN</b>						
2	Côte d'Ivoire	✓	✓	1-Mar-21	✓	01-Mar-22	✓	Completed
3	Ghana	✓	✓	NA	NA	28-May-21	✓	Completed
4	Kenya	✓	✓	14-Jul-21	✓	15-Nov-21	✓	Completed
5	Madagascar	✓	✓	30-Jun-21	NA	NA	NA	Discontinued
6	Nigeria	✓	✓	01-Jun-21	✓	03-Jan-22	✓	Completed
7	Sierra Leone	✓	✓	NA	NA	11-Mar -22		Delayed due to local elections
8	South Sudan	✓	✓	14-Apr-22		30-Jun-22		Underway
9	Togo	✓	✓	NA	NA	14-Jul-21	✓	Completed
10	Zambia	✓	✓	01-Jun-21	✓	31-Jan-22	NA	Completed

**ANNEX F. 5<sup>TH</sup> VOLUNTARY TRUST FUND CYCLE (2021): OVERVIEW OF PROJECTS APPROVED FOR ATT FUNDING**

No.	Applicant State	Partner(s)	Project Title	Type of Implementation Assistance	Value of (USD)
1	Chile	Small Arms Survey	Build capacity to prevent, detect, and respond to the diversion of conventional weapons in line with Article 11 of the ATT in Chile and Colombia	Development and implementation of training for Chilean and Colombian security forces on preventing and detecting diversion of conventional arms	170,034.00
2	Costa Rica	Fundación Arias para la Paz y el Progreso Humano (Arias Foundation for Peace and Human Progress)	Digital platform of the Costa Rican control system of conventional arms transfers	Development of a digital platform to enable inter-ministerial coordination on national control, licencing, risk analysis and integration of existing databases	100,000.00
3	Democratic Republic of Congo (DRC)	Group for Research and Information on Peace and Security (Groupe de recherche et d'information sur la paix et la sécurité) (GRIP)	Develop and validate a roadmap for DRC accession to the ATT	Organisation of seminars for stakeholders involved in the DRC's accession to the ATT, and drafting of the DRC's roadmap to ATT accession	93,433.00
4	El Salvador	None	Purchase of a basic military version MTI Projectile Recovery Chamber of 24 inches	Procurement of equipment to be used in recovering projectiles for forensic analysis	98,500.00
5	Fiji	Centre for Armed Violence Reduction (CAVR)	Final steps to ATT accession and full compliance	Facilitation of ATT accession process, review of the Arms and Ammunition Acts and customization of record keeping system	92,491.00

6	Lebanon <sup>7</sup>	None	Lebanese ISF Territorial Intervention Units Firearms Control	Security upgrade of stockpile of warehouses to ensure safe and secure weapons and ammunition	[70,675.00]
7	Liberia	Centre for Armed Violence Reduction (CAVR)	Filling arms control record keeping gaps in Liberia	Installation of a record keeping and reporting system (Arms Tracker) as well as training of government officials on the use of the record keeping system	98,654.00
8	Mali	Group for Research and Information on Peace and Security (Groupe de recherche et d'information sur la paix et la sécurité) (GRIP)	Building knowledge and capacities to strengthen the implementation of the ATT Roadmap	Implementation of the national ATT roadmap by conducting legal analysis and organising seminars for government officials, parliamentarians, private sector and civil society	69,250.00
9	Mexico <sup>8</sup>	None	Fortalecimiento del Registro y Controles de los Flujos de Armas en Mexico	Establishment of a system to complement the National Arms Database to control and record arms transfers in Mexico. And to facilitate coordination and information sharing between national and federal authorities in Mexico as well as with Central and South American States	[95,200.00]

<sup>7</sup> The VTF application submitted by Lebanon was approved by the VTF Selection Committee, however, Lebanon's application was withdrawn prior to the finalisation of a Grant Agreement with the ATT Secretariat.

<sup>8</sup> The VTF application submitted by Mexico was approved by the VTF Selection Committee, however, Mexico's application was withdrawn prior to the finalisation of a Grant Agreement with the ATT Secretariat.

10	Namibia	Control Arms (Nonviolence International)	ATT Implementation in Namibia: Toward a Comprehensive National Control System	Review of legislation governing arms transfers; development of National Controls List; preparation of Initial Report; and recommendations for future areas of work	79,709.00
11	Rwanda	Regional Centre on Small Arms (RECSA)	Support towards Operationalization of the ATT ratification for the Republic of Rwanda	Raising awareness and building support for ratification of the ATT	95,829.00
12	Sudan	Regional Centre on Small Arms (RECSA)	Support towards Development of the National Strategy for the Implementation of the Arms Trade Treaty in the Republic of the Sudan	Development of a National Strategy for implementation of the ATT through consultation meetings and validation workshop	99,645.00
13	Trinidad and Tobago		Technical and financial assistance for a capacity building workshop on the ATT and the development of an integrated data management IT system for better stockpile management and reduce loopholes for diversion	Capacity building workshop and development of an integrated data management IT system for stockpile management to facilitate reporting and information sharing	99,296.00
<b>Total</b>					<b>1,096,841.00</b>



**ANNEX G. STATUS OF IMPLEMENTATION OF 2021 VTF PROJECTS (As of 08 July 2022)**

No	State	Grant Agreement signed	1 <sup>st</sup> instalment transferred	Interim Report due	2 <sup>nd</sup> instalment transferred	Final Report due	Final instalment transferred	Comment
1.	Chile	✓	✓	01 Apr 22		30 Nov 22		Underway
2.	Costa Rica	✓	✓	30 June 22		29 Jan 23		Underway
3.	DRC	✓	✓	03 Jan 22	✓	31 Jul 22		Underway
4.	El Salvador	✓	✓	NA	NA	14 Aug 22		Underway
5.	Fiji	✓	✓	28 Feb 22		29 Nov 22		Underway
6.	Lebanon	<b>WITHDRAWN</b>						
7.	Liberia	✓	✓	30 Mar 22		30 Nov 22		Underway
8.	Mali	✓	✓	07 Feb 22	✓	31 Jul 22		Underway
9.	Mexico	<b>WITHDRAWN</b>						
10.	Namibia	✓	✓	30 Mar 22		30 Nov 22		Underway
11.	Rwanda	✓	✓	19 Apr 22	✓	30 Nov 22		Underway
12.	Sudan	✓	✓	14 Apr 22		30 Sep 22		Underway
13.	Trinidad and Tobago	✓	✓	30 Apr 22	✓	30 Nov 22		Underway

**ANNEX H. 6<sup>TH</sup> VOLUNTARY TRUST FUND CYCLE (2022): OVERVIEW OF PROJECTS PROVISIONALLY<sup>9</sup> APPROVED FOR ATT FUNDING**

No.	Applicant State	Partner(s)	Project Title	Type of Implementation Assistance	Value of (USD)
1	Argentina	Red Argentina por el Desarme (Argentine Network for Disarmament)	Comprehensive firearms control and voluntary civil disarmament program of the Argentine Republic	Establishment of mobile registry units and mobile disarmament units; Awareness raising seminars on firearms control	100'000.00
2	Burkina Faso	None	Awareness-raising and capacity-building workshops for public administration staff and civil society organizations on the Arms Trade Treaty (ATT) and the law of internalisation in the Center-East Regions (TENKODOGO) and from the Center-West (KOUDOUGOU)	Organisation of two national workshops: 1) aimed at sensitization and capacity building of Government officials in Centre-East region; 2) awareness-raising and promoting the national law internalizing the ATT among civil society organisations, in Centre-West region.	99'713.00
3	Cote d'Ivoire	None	Strengthening the capacity of ECOWAS States to report under the Arms Trade Treaty	Organization of three/four -day regional workshop on the reporting obligations for ECOWAS member states	134'707.00
4	Gambia	Saferworld	Assessing and preparing The Gambia's ATT implementation compliance	Gap analysis as well as the development of a national assessment report and a national action plan	78'784.00

<sup>9</sup> The projects are provisionally approved subject to Requests for Clarification and negotiations of Grant Agreements.

5	Madagascar	None	Procurement of weapons destruction equipment	Procurement of two mobile arms grinder machine and two trucks for the destruction of the collected arms	99'300.00
6	Nigeria	IANSAs Women Network	Drafting, validation and adoption of a Comprehensive National Legislation for the Arms Trade Treaty Implementation	Development of a draft comprehensive national legislation for effective implementation of the ATT, and organisation of workshops	99'680.00
<b>Total</b>					<b>612,184</b>

## ANNEX I. VTF TASKS AND TIMELINE 2021/2022



Prepared by: the ATT Secretariat  
24 May 2022

## VTF TIMELINE: 2021/2022

This timeline reflects major VTF milestones foreseen for the period between CSP7 and CSP8.

	TASK	TIMELINE	RESPONSIBILITY
1.	Call for contributions	18 October 2021	ATT Secretariat VTF Chairperson
2.	Call for project proposals	20 October 2021 – 14 January 2022	ATT Secretariat VTF Chairperson
3.	Deadline for submission of project proposals	14 January 2022	ATT Secretariat
4.	Pre-screening of project proposals and preparation of shortlist	15 January – 14 April 2022	ATT Secretariat
5.	Circulation of shortlist of project proposals to Selection Committee	20 April 2022	ATT Secretariat
6.	VTF outreach event	25 April 2022	ATT Secretariat VTF Chairperson
7.	Selection Committee meeting consideration and approval of successful project proposals	25 May 2022	Selection Committee ATT Secretariat
8.	Notification to applicants on the Selection Committee's final decision	10 June 2022	ATT Secretariat
9.	Request for clarification of approved proposals (selected applicants asked to respond to request for refinement of certain aspects of their proposals as determine by Selection Committee)	20 June – 30 September 2022	ATT Secretariat Grant Recipients

10.	Contracting (Grant Agreement) between VTF and successful Grant Recipients; transfer of grants (1 <sup>st</sup> instalment)	07 July – 04 November 2022	ATT Secretariat Grant Recipients
11.	Finalisation of VTF report to CSP8	08 July 2022	ATT Secretariat
12.	Presentation to CSP8	25 August 2022 ( <i>tbc</i> )	ATT Secretariat VTF Chairperson

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