

Arms Trade Treaty  
**Ninth Conference of States Parties**  
Geneva, 21 – 25 August 2023

**REPORT ON THE WORK OF THE ATT VOLUNTARY TRUST FUND (VTF)  
FOR THE PERIOD AUGUST 2022 TO AUGUST 2023**

**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 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 CSP8.
  - d. Recommendations.

**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 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 Eighth Conference of States Parties appointed *Australia, Canada, Finland, Germany, Japan, Latvia, Madagascar, Mexico, Panama, Republic of Korea, South Africa, Switzerland and the United Kingdom* to serve on the Selection Committee of the VTF for two years, from the Eighth Conference of States Parties to the Tenth Conference of States Parties (eligible for reappointment). In May 2023, Guatemala was also appointed by States Parties to serve on the VTF Selection Committee via silence procedure.
5. On 21 November 2022, the VTF Selection Committee selected Ambassador Aidan LIDDLE of the United Kingdom to serve as Chairperson until the Tenth 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

(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 11'945'590.51 in voluntary financial contributions from 28 States. This includes contributions specifically earmarked for VTF outreach activities from Germany, New Zealand and Republic of Korea. To further consolidate VTF outreach, the UK has recently approved a contribution of £30,000 into VTF Outreach Programme to be transferred into VTF accounts in due course. The breakdown of received financial contributions is reflected in Annex A.

8. The financial contributions received provided a sound basis for seven VTF projects cycles between 2017 and 2023. Of the contributions received by the VTF, a total of USD 1'873'736 has been spent on completed and closed projects, USD 4'504'393 has been committed to ongoing projects and a further USD 1'077'071 has been allocated to the implementation of projects approved for the 2023 VTF cycle, subject to the finalisation of Grant Agreements.

### STATUS OF VTF PROJECTS

9. Since the VTF was established by CSP2 in 2016, seven calls for project proposals have been issued from the first VTF cycle (2017) to the seventh VTF cycle (2023). The seventh 'Call for Project Proposals' was issued on 24 October 2022, inviting States to submit applications during the period 24 October 2022 – 20 January 2023.

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

10. 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)*

11. 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, 16 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.

12. As a consequence of the COVID-19 pandemic, 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

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

September 2023 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)***

13. 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)***

14. 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)***

15. The VTF Selection Committee approved six (6) projects for funding in the sixth (2022) VTF cycle. Four (4) VTF projects were implemented upon conclusion of Grant Agreements with the ATT Secretariat. Annex H provides an overview of 2022 VTF projects approved and Annex I provides an overview of the status of 2022 VTF projects.

#### ***Seventh VTF Cycle (2023)***

16. By the closing date of 20 January 2023, the ATT Secretariat received 28 applications from 20 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 on 25 May 2023 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 12 projects for VTF funding, subject to further clarification of certain aspects and negotiation of grant agreements. Additionally, three (3) applicant states were given an opportunity to clarify and/or reformulate their project proposals for reconsideration by the VTF Selection Committee.

18. The 12 provisionally approved projects involve 12 States. The overview of the provisionally approved projects for the 2023 VTF cycle is provided in Annex J. 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. It is expected that the 2023 VTF projects will commence activities in August 2023.

#### ***Eighth VTF cycle (2024)***

19. It is envisaged that the eighth VTF project cycle (2024) will be structured along similar lines to the previous VTF project cycles. However, the VTF Selection Committee discussed the value of

extending the duration of the call for proposals, starting from September 2023 with a deadline of mid-January 2024 for the benefit of potential applicants from across different regions.

### **ACTIVITIES OF THE VTF SELECTION COMMITTEE BETWEEN CSP8 AND CSP9**

20. In accordance with the past practice, the VTF Selection Committee agreed on the document 'VTF Tasks and Timeline 2022/2023' to guide its work for the CSP9 cycle in terms of expected deliverables and timing of such deliverables (see Annex K).

### **III. UPDATE ON VTF TASKS CONTEMPLATED IN THE VTF REPORT TO CSP8**

21. The VTF report submitted to CSP8 (referenced ATT/VTF/2022/CHAIR/736/Conf.Rep) stated that in the period leading up to CSP9 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.

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

#### **VTF Outreach Activities**

23. In line with the VTF Outreach Strategy, a number of outreach activities were undertaken in the reporting period. The ATT Secretariat hosted a side event in October 2022 at the United Nations Headquarters on the margins of the First Committee, inviting speakers from states and civil society organizations. The ATT Secretariat also hosted a hybrid VTF practical workshop in Geneva in November 2022, which accommodated diversified participants from various regions.

24. In January 2023, the ATT Secretariat participated in the ECOWAS workshop held in Togo and delivered various presentations including on the VTF. In February 2023, the ATT Secretariat hosted a briefing day that covered the VTF topic for ATT sponsored delegates to the First CSP9 Informal Preparatory Meetings, which was livestreamed via UNTV. In April 2023, the ATT Secretariat participated in the ATT virtual course organized by Geneva Centre for Security Policy (GCSP) involving representatives of various states. In May 2023, the ATT Secretariat hosted another briefing day for ATT sponsored delegates to the Second CSP9 Informal Preparatory Meetings which was livestreamed. In the same week, the VTF Chairperson and the ATT Secretariat organized a side event with speakers from Costa Rica, Liberia and the United Nations Institute for Disarmament Research (UNIDIR) highlighting the value of the VTF in supporting States to progress national Treaty implementation.

25. Going forward, the VTF Chair and the ATT Secretariat will consider how best to tailor outreach activities to encourage project proposals of a high technical standard from a wider range of states,

that promote the universalisation and implementation of the Treaty at all stages, and high technical standards in proposals, taking into account the role of implementing partners.

### **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. In support of this effort, the ATT Secretariat conducts capacity building workshops for national and regional experts focusing on various ATT topics including the VTF as a mechanism to support ATT universalization and implementation. In the reporting period, focused capacity building workshops were held in Manila (the Philippines) in December 2022, Port of Spain (Trinidad & Tobago) in February/March 2023, and Abidjan (Cote d'Ivoire) in April 2023. Further capacity building workshops in 2023 are planned for Southern Africa and Latin America.

### **Evaluation of 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. In accordance with the CSP8 decision, the ATT Secretariat has conducted an evaluation of the 2017 completed projects and prepared a report thereto (see Annex L).

## **IV. RECOMMENDATIONS**

28. With due regard to the lessons learnt during the 2017 – 2023 VTF project cycles and the desire to further improve the effectiveness of the VTF operation, the following recommendations are presented for consideration and endorsement by the Ninth Conference of States Parties:

- a. That CSP9 takes note of the Report on the work of the VTF August 2022 – August 2023.
- b. That CSP9 welcomes the fact that the VTF will undertake further outreach activities in the period leading up to CSP10.
- c. That CSP9 takes note of the VTF evaluation report for the 2017 completed projects and welcomes the fact that the VTF will continue with the evaluation of completed projects and report to CSP10.

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**ANNEX A. FINANCIAL STATUS OF THE VTF (As of 20 July 2023)**

<b>Contributions to VTF Projects</b>			
1	Argentina	USD	10'000.00
2	Australia	USD	601'854.11
3	Austria	USD	4'470.17
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	90'220.43
9	Finland	USD	2'186'581.74
10	Government of Flanders, Belgium	USD	110'867.78
11	France	USD	347'190.09
12	Germany	USD	2'325'895.20
13	Ireland	USD	127'815.10
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	220'142.77
20	Philippines	USD	5'000.00
21	Poland	USD	10'000.00
22	Portugal	USD	24'985.80
23	Republic of Korea	USD	360'000.00
24	Slovenia	USD	43'017.12
25	Spain	USD	134'336.74
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>11'817'740.30</b>
<b>Contributions to VTF Outreach Programme</b>			
1	Germany	USD	68'069.21
2	New Zealand	USD	29'781.00
3	Republic of Korea	USD	30'000.00
	<b>Total for VTF Outreach Programme</b>	<b>USD</b>	<b>127'850.21</b>
<b>TOTAL CONTRIBUTIONS TO VTF RECEIVED</b>		<b>USD</b>	<b>11'945'590.51</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>2</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>2</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	99’724.00
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	83'912.00
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>3</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	63'665.00

<sup>3</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>1'391'792.52</b>

## ANNEX C. STATUS OF IMPLEMENTATION OF 2019 VTF PROJECTS (As of 07 July 2023)

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	✓	NA	Completed
2	Burkina Faso	✓	✓	✓	✓	✓	NA	Completed
3	Chile	✓	✓	✓	✓	✓		Completed
4	Côte d'Ivoire	✓	✓	NA	NA	✓	NA	Completed
5	Fiji	✓	✓	✓	✓	✓		Completed
6	Kazakhstan	✓	✓	NA	NA	✓	NA	Completed
7	Lebanon	✓	✓	NA	NA	NA	NA	Discontinued due to political situation
8	Madagascar	✓	✓	NA	NA	✓	✓	Completed
9	Mali	✓	✓	✓	✓	✓	✓	Completed
10	Mozambique	✓	✓	✓	✓	✓	✓	Completed
11	Namibia	✓	✓	✓	✓	✓	NA	Completed
12	Palau	✓	✓	✓	✓	✓	NA	Completed
13	Serbia	✓	✓	✓	NA			Underway
14	Sierra Leone	✓	✓	NA	NA	✓		Underway
15	South Sudan	✓	✓	✓	✓	✓	✓	Completed
16	Togo	✓	✓	NA	NA	✓	✓	Completed
17	Tuvalu	WITHDRAWN						
18	Vanuatu	✓	✓	✓	✓	✓	✓	Completed
19	Zambia (1)	✓	✓	✓	✓	✓	✓	Completed
20	Zambia (2)	✓	✓	✓	✓	✓	✓	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>4</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>4</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>5</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	8'895.83
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	61'028.00
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>5</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>563'546.82</b>

**ANNEX E. STATUS OF IMPLEMENTATION OF 2020 VTF PROJECTS (As of 07 July 2023)**

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	✓	✓	✓	✓	✓	✓	Completed
3	Ghana	✓	✓	NA	NA	✓	✓	Completed
4	Kenya	✓	✓	✓	✓	✓	✓	Completed
5	Madagascar	✓	✓	✓	NA	NA	NA	Discontinued
6	Nigeria	✓	✓	✓	✓	✓	✓	Completed
7	Sierra Leone	✓	✓	NA	NA	✓	✓	Completed
8	South Sudan	✓	✓	✓				Underway
9	Togo	✓	✓	NA	NA	✓	✓	Completed
10	Zambia	✓	✓	✓	✓	✓	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	Total Budget Approved (USD)	Total Budget Spent (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	Instituto Tecnológico de Costa Rica (Technological of Costa Rica), Fundación Tecnológica de Costa Rica (FUNDATEC)	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	96'451.26
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	98'098.65

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>6</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	96'531
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	68'745.00

<sup>6</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.

9	Mexico <sup>7</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]	
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	

<sup>7</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.

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>	<b>359'825.91</b>

**ANNEX G. STATUS OF IMPLEMENTATION OF 2021 VTF PROJECTS (As of 07 July 2023)**

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	✓	✓	✓	✓	✓		Underway
2.	Costa Rica		✓	✓	✓	✓		Underway
3.	DRC	✓	✓	✓	✓	✓	✓	Completed
4.	El Salvador	✓	✓	NA	NA	✓	✓	Completed
5.	Fiji	✓	✓	✓	✓	✓		Underway
6.	Lebanon	<b>WITHDRAWN</b>						
7.	Liberia	✓	✓	✓	✓	✓	✓	Completed
8.	Mali	✓	✓	✓	✓	✓	✓	Completed
9.	Mexico	<b>WITHDRAWN</b>						
10.	Namibia	✓	✓	✓	✓			Underway
11.	Rwanda	✓	✓	✓	✓	✓		Underway
12.	Sudan	✓	✓					Paused due to national situation
13.	Trinidad and Tobago	✓	✓	✓	✓			Underway

**ANNEX H. 6<sup>TH</sup> VOLUNTARY TRUST FUND CYCLE (2022): 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	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	

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	99'300.00
6	Nigeria	IANSA 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>	<b>99'300.00</b>

**ANNEX I. STATUS OF IMPLEMENTATION OF 2022 VTF PROJECTS (As of 07 July 2023)**

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.	Argentina							Grant Agreement pending
2.	Burkina Faso	✓						Paused due to national situation
3.	Côte d'Ivoire	✓	✓	✓	✓			Underway
4.	The Gambia	✓	✓	✓				Underway
5.	Madagascar	✓	✓	✓	✓	✓	✓	Completed
6.	Nigeria	✓	✓	✓	✓			Underway

**ANNEX J. 7<sup>TH</sup> VOLUNTARY TRUST FUND CYCLE (2023): OVERVIEW OF PROJECTS PROVISIONALLY<sup>8</sup> APPROVED FOR ATT FUNDING**

No.	Applicant State	Partner(s)	Project Title	Type of Implementation Assistance	Total Budget Approved (USD)
1	Burundi (1)	Reveil Communautaire d'assistance aux Victimes (RECOVI)	Burundi ATT action plan: capacity-building and national roadmap in support of ATT universalization and implementation	Organisation of ATT awareness raising workshops, and development of a national action plan for ATT ratification	95'177
2	Cambodia	Control Arms	Raising awareness and building support for the Arms Trade Treaty in Cambodia	ATT awareness raising workshop for development of a national action plan to support Cambodia's ratification of the ATT	63'116
3	Ethiopia	RECSA	Awareness creation to build capacity for public administration on SALW management and control in Ethiopia	Organisation of national awareness-raising workshops on SALW controls and the development of a roadmap on SALW controls	99'959

<sup>8</sup> The projects are provisionally approved subject to Requests for Clarification and negotiations of Grant Agreements. Additionally three (3) applicants were given an opportunity to clarify or reformulate their project proposals for re consideration by the VTF Selection Committee.

4	Guinea	None	Strengthening the legislative and regulatory framework on weapons	Harmonisation of national legislation with ATT and other instruments, popularisation of new legislation, and development of a national policy for the control of Small Arms and Light Weapons (SALW)	99'989
5	Lesotho	Disarmament and Arms Control	Capacity building of national actors and stakeholders on the implementation of the Arms Trade Treaty (ATT)	Organisation of a capacity building workshop and development and adoption of an ATT implementation roadmap	85'423
6	Liberia (1)	United Nations Institute for Disarmament Research (UNIDIR)	The Monrovia workshop to support universalization and effective implementation of the ATT	Organisation of a regional workshop on ATT universalisation and implementation for African states and regional organizations	199'967
7	Madagascar	None	Procurement of additional equipment and materials for the nationwide activation of the weapons destruction and re-marking	Procurement of trucks, field office equipment and tents for onsite destruction of collected small arms	87'260

8	Malawi	Control Arms	Supporting ATT universalization and implementation in Malawi	Organisation of ATT awareness and accession plan workshops	71'039
9	Mauritius	None	Training on the marking of firearms in Mauritius	Training of Mauritius Police Force officers on marking firearms	10'500
10	Paraguay	United Nations Office on Drugs and Crime (UNODC)	Strengthening Paraguay's arms control system and national capacities to prevent and counter the illicit trade and trafficking in small arms and light weapons	Development of Standard Operating Procedures (SOP) for regulating arms transfers; organisation of a national workshop on detection, investigation and prosecution of arms transfer related crimes; and a regional thematic workshop	99'978
11	Togo (1)	None	Capacity building of Arms Trade Treaty (ATT) enforcement agency personnel on annual reporting obligations	Organisation of a national workshop on reporting for government officials	68'962

12	Zambia (1)	Small Arms Survey	Building capacity of the drafting of the secondary legislation necessary for the implementation of the Republic of Zambia's Conventional Arms Control Act	Development of and consultations on secondary national legislation to implement the ATT primary legislation in Zambia	95'701
<b>TOTAL</b>					<b>1'077'071</b>

**ANNEX K. VTF TASKS AND TIMELINE 2022/2023****VTF DRAFT TIMELINE: 2022/2023**

This draft timeline reflects major VTF milestones foreseen for the period between CSP8 and CSP9.

	<b>TASK</b>	<b>TIMELINE</b>	<b>RESPONSIBILITY</b>
1.	Call for contributions	17 October 2022	ATT Secretariat
2.	Call for project proposals	24 October 2022 – 20 January 2023	ATT Secretariat
3.	Deadline for submission of project proposals	20 January 2023	ATT Secretariat
4.	Pre-screening of project proposals and preparation of shortlist	23 January – 21 April 2023	ATT Secretariat
5.	Informal Selection Committee meeting	08 February 2023 (at 3:00 pm)	Selection Committee ATT Secretariat
6.	Circulation of shortlist of project proposals to Selection Committee	28 April 2023	ATT Secretariat
7.	VTF outreach event	10 May 2023	ATT Secretariat VTF Chairperson
8.	Selection Committee meeting consideration and approval of successful project proposals	25 May 2023	Selection Committee ATT Secretariat
9.	Notification to applicants on the Selection Committee's final decision	12 June 2023	ATT Secretariat
10.	Request for clarification of approved proposals (selected applicants asked to respond to request for refinement of certain aspects of their proposals as determined by Selection Committee)	26 June – 06 October 2023	ATT Secretariat Grant Recipients
11.	Contracting (Grant Agreement) between VTF and successful Grant Recipients; transfer of grants (1 <sup>st</sup> instalment)	17 July – 10 November 2023	ATT Secretariat Grant Recipients

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12.	Finalisation of VTF report to CSP9	07 July 2023	ATT Secretariat
13.	Selection Committee meeting	14 August 2023	Selection Committee ATT Secretariat
14.	Presentation to CSP9	24 August 2023 ( <i>tbc</i> )	ATT Secretariat VTF Chairperson

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**ANNEX L. VTF EVALUATION REPORT FOR 2017 COMPLETED PROJECTS**

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22 June 2023

Prepared by: the ATT Secretariat

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**ATT SECRETARIAT: EVALUATION OF ATT IMPLEMENTATION PROJECTS FUNDED BY THE VOLUNTARY TRUST FUND (VTF) IN THE 2017 VTF CYCLE****INTRODUCTION**

1. Article 13 of the Voluntary Trust Fund (VTF) Terms of Reference determines that the ATT Secretariat will evaluate reports on the implementation of VTF projects by beneficiary states 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.

2. To operationalize the provisions of the VTF Terms of Reference cited above, the '*Guidance for VTF Project Evaluation*' was developed to help the ATT Secretariat assess whether VTF-funded projects have indeed met their set objectives. The *Guidance* document outlines guidelines and parameters for evaluating completed VTF projects by the ATT Secretariat. The evaluation of completed VTF projects is aimed at facilitating continuous improvement of the VTF as an effective and efficient Treaty implementation support tool. In summary, the VTF project evaluation process is designed to achieve the following objectives: transparency and accountability; effective allocation of resources; and improvement of the quality of projects. The *Guidance* document was elaborated by the ATT Secretariat in collaboration with the VTF Selection Committee and was submitted to and noted by the Fifth Conference of States Parties (CSP5) in 2019.

3. To rollout the project evaluation process, it was planned that the evaluation of completed VTF projects was to commence in 2020. However, this plan was unexpectedly disrupted by the outbreak of the COVID-19 pandemic resulting in many VTF projects delaying their activities, thus impacting the capacity of the ATT Secretariat in terms of the number of projects to monitor at any given stage. With the improved COVID situation and most projects having resumed and concluded their activities, the evaluation of completed projects from the 2017 project cycle has become possible and has been conducted in accordance with the indicative plan notified to CSP8 through the VTF report.

**EVALUATION APPROACH AND METHOD**

4. The main purpose of the project evaluation exercise is to assess whether VTF-funded projects have met their set objectives, and to enable continuous improvement of the VTF operation. The VTF report submitted to CSP8 states that the first VTF evaluation report to be submitted to CSP9 will focus on the 2017 completed projects, and other completed projects will follow afterwards.

5. In preparing the current VTF project evaluation report, the ATT Secretariat has adopted the evaluation principles outlined in the VTF Terms of Reference and elaborated in the *Guidance* document for project evaluation. In this regard, the current evaluation report reflects the review of

completed VTF projects on the basis of the indicators set out in the *Guidance* document focusing on project management and project deliverables (Attachment A). Accordingly, the report highlights lessons learned and brings to the fore areas of possible improvement that the VTF Selection Committee and the ATT Secretariat can consider in their endeavor to better the VTF operation in support of Treaty universalization and implementation objectives.

6. The source documents (information) that the ATT Secretariat relied upon in preparing the evaluation report included Grant Application Forms, Budget Forms, Interim reports, Final reports, Grant Agreements, and recorded communication exchanges between the ATT Secretariat and beneficiary states.

#### **2017 VTF CYCLE PROJECTS APPROVED BY THE VTF SELECTION COMMITTEE**

7. The VTF Selection Committee approved 17 projects for funding in 2017, the first VTF cycle. Following the withdrawal of two applications, 15 VTF projects were implemented upon conclusion of Grant Agreements with the ATT Secretariat. Attachment B provides an overview of the 2017 VTF projects implemented.

**Table 1. List of approved and implemented projects in the 2017 VTF cycle**

No.	State	No.	State
1	Cameroon	9	Mauritius
2	Costa Rica	10	Palau
3	Côte d'Ivoire (1)	11	Philippines
4	Côte d'Ivoire (2)	12	Senegal
5	El Salvador	13	Sierra Leone
6	Ghana	14	Togo (1)
7	Guatemala	15	Togo (2)
8	Liberia		

## EVALUATION OF VTF PROJECTS: THE PROJECT MANAGEMENT DIMENSION

8. The *Guidance* document determines that VTF projects shall be evaluated in two dimensions: 1) project management and 2) project deliverables. For each dimension, there is a set of indicators that must be considered in assessing the performance of a project. With respect to the project management dimension, the following indicators are relevant: Grant Agreement negotiations, Interim reports, Final reports, communication between beneficiary states and the ATT Secretariat, project schedule, budget considerations, and project implementing partner.

### Grant Agreement negotiations

9. The VTF Selection Committee met in May 2017 to consider and decide on project proposals submitted to the 2017 project cycle. Following this, applicants were notified of the Selection Committee's decisions by mid-June, and requested to clarify or refine certain aspects of their proposals in accordance with the determination of the Selection Committee. Except for the two projects withdrawn, all 15 projects approved for funding in the 2017 VTF cycle were successful in providing necessary clarifications or refinement of specified elements of their projects by the set deadline of 30 June 2017. Consequently, the negotiation of Grant Agreements for approved projects started in July 2017 as planned.

10. The next step of the process was for beneficiary states to submit information necessary for the preparation of Grant Agreements. This information included bank account details, a bank account verification letter, and a completed project schedule. In addition, where a project implementing partner was involved, beneficiary states were expected to submit a Memorandum of Understanding (MoU) or Letter of Intent between the beneficiary state and the project implementing partner setting out terms of their relationship.

11. For this step of the process, five (5) beneficiary states did not submit Grant Agreement supporting documents by the set deadline due to, but not limited to, incomplete negotiations concerning MoUs with project implementing partners and other intervening national events. Some beneficiary states submitted their documentation two months after the set deadline and after repeated enquiries from the ATT Secretariat.

12. With respect to projects involving the United Nations entities, delays were partly due to long national processes, UN internal processes, as well as the establishment of a framework agreement between the United Nations Office of Disarmament Affairs (UNODA) and the ATT Secretariat.

13. By February 2018, 15 beneficiary states had concluded their Grant Agreements with the ATT Secretariat. While some beneficiary states took just a few weeks to submit the necessary documentation to conclude Grant Agreements, some took a longer time to finalize Grant Agreements negotiations with the ATT Secretariat.

### *Lesson learnt*

14. It is assessed that the withdrawal of two projects from this cycle was partially caused by, firstly, insufficient understanding of the nature, requirements and intricacies of a joint project, and secondly, a lack of dedicated internal human resource capacity within a beneficiary state to facilitate the implementation of a project in the midst of competing national priorities. In a bid to address circumstances surrounding the withdrawal of approved projects, the ATT Secretariat has amended the explanatory notes for VTF applications to clarify the distinct requirements for regional projects

and joint projects, and this information is strongly communicated to stakeholders during VTF promotion events.

15. It is also assessed that delays experienced in the submission of documentation necessary for finalization of Grant Agreements were caused by: insufficient understanding of the necessity/importance of required documentation, delayed national processes, and delayed negotiations between beneficiary states and implementing partners, where applicable. To address this challenge, the ATT Secretariat has begun a process of informing applicants of the documentation required for Grant Agreements early on in the process, including at the outreach stage of the VTF. With respect to MOUs between beneficiary states and implementing partners, the establishment of a framework agreement between the ATT Secretariat and UNODA has served to ease the process in cases where UN entities are engaged as implementing partners. Additionally, the ATT Secretariat also issues guidance and/or advice to applicants concerning essential elements to be included in a typical MOU for a VTF-funded project.

### **Interim reports and Final reports**

16. One of the key provisions of Grant Agreements is that beneficiary states agree to submit an interim narrative and expenditure report halfway through the project activities and a final narrative and expenditure report after the completion of the project activities. Interim and final reports are important mechanisms for the ATT Secretariat to monitor how projects are progressing and to release financial tranches on satisfactory project performance. In addition, final reports are expected to also outline the impact of a project as well as shortcomings and recommendations.

17. To facilitate project reporting, the ATT Secretariat makes available to beneficiary states the prescribed reporting templates one month in advance of applicable submission dates of required project reports.

18. It is observed that only half of beneficiary states from the 2017 project cycle managed to submit their interim reports by their respective deadlines. It is further observed that some interim reports received were not presented in the prescribed reporting template, which necessitated further enquiries and follow ups by the ATT Secretariat. Another observation is that most beneficiary states that did not meet their reporting deadlines did not inform the ATT Secretariat upfront why the reports were not submitted and what time extension were required. A similar trend is observable in so far as the submission of final reports is concerned both in terms of numbers of reports submitted and the general lack of advance notice to the ATT Secretariat regarding delays in the submission of reports.

19. With respect to the overall impact of projects, all beneficiary states from the 2017 project cycle indicated in their final reports that the projects were relevant to planned objectives and were conducted in an effective and efficient manner. In addition, beneficiary states also indicated that project outcomes will be sustained as part of broader national effort to implement Treaty obligations. On a rating scale of 1 to 5<sup>9</sup>, all beneficiary states rated their projects between four and five.

### ***Lesson learnt***

20. It is assessed that there are many reasons for the delayed submission of project reports in time and in full compliance with set requirements. Firstly, some beneficiary states were unfamiliar

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<sup>9</sup> 1 being the weakest point and 5 the strongest point.

with the VTF reporting requirements particularly the submission of supporting documentation (e.g. invoices and receipts), which are not a standard feature of some other donor agencies. To raise the level of understanding of VTF reporting requirements, the ATT Secretariat has started to include reporting templates in the Grant Agreements, and to raise this issue prominently in VTF outreach events. Furthermore, a VTF tutorial video focusing on how to prepare VTF reports was completed in 2022 and made publicly available on the ATT website.

21. Secondly, some beneficiary states experienced challenges in transmitting large volume of supporting documentation to the ATT Secretariat. This issue has, however, been resolved with the introduction of an online shared drive enabling document transmission with ease. Thirdly, some beneficiary states could not submit reports in time due to non-availability of national officials authorized to sign-off reports.

22. Finally, as the 2017 VTF cycle was the first year for the United Nations entities to implement VTF projects and to report according to VTF-prescribed reporting templates, it took longer for UN entities to provide tailored input to beneficiary states to enable submission of project reports in the prescribed format. The establishment of a framework agreement between the ATT Secretariat and UNODA has since improved the situation.

#### **Communication between beneficiary states and ATT Secretariat**

23. Most beneficiary states from the 2017 cycle responded in a timely manner to the ATT Secretariat's queries and requests for information and documentation during project implementation. However, a few beneficiary states were delayed in responding, and eventually, a letter from the VTF Selection Committee Chairperson had to be sent. All beneficiary states communicated with the ATT Secretariat through the designated VTF email address. As an overall observation, it is noted that communication between the ATT Secretariat and beneficiary states was effective and ensured the successful implementation of all 15 projects.

#### **Project Schedule and Budget Considerations**

24. The ATT Secretariat uses project schedules to track progress being made in project implementation and to disburse budget instalments. More than half of the projects under review requested project extensions of between one (1) to nine (9) months. In the main, time extension requests were due to, amongst others, general lack of preparedness of beneficiary states to commence approved projects, political transition, delayed contracting with implementing partners and experts, and congested parliamentary programmes, where applicable. To facilitate project implementation, the ATT Secretariat supported beneficiary states in finding experts upon their requests.

25. Despite a few project duration extensions, all projects under review completed their activities within the approved budget. More than half of the projects had at least one budget item of over- or under-spent by 20%.

#### ***Lesson learnt***

26. It is observed that the 20% of instances that registered under or over expenditure in certain budget lines were caused by the following factors: currency exchanges, inflation, less focused project cost estimates and inadequate project management and monitoring capacities. To assist beneficiary states to work on realistic financial estimates, the ATT Secretariat advises beneficiary states on budget

refinements before concluding Grant Agreements. The ATT Secretariat also routinely invites applicants to refer to the VTF website, where information on approved budgets and actual expenditure of completed projects is reflected and publicly available.

### **Project implementing partners**

27. Eleven of the fifteen projects engaged international organizations (such as the United Nations) and civil society organizations as project implementing partners. To formalize collaboration arrangements between beneficiary states and implementing partners, the VTF requires parties to conclude a Memorandum of Understanding (MOU) or Agreement setting out roles and responsibilities of the parties. For projects under review, project implementing partners mainly supported beneficiary states by conducting research, including interviews, providing expertise as trainers and content developers, drafting VTF project reports, monitoring projects, organizing events and procuring equipment and personnel. Almost all project implementing partners involved in supporting the 2017 projects fulfilled their obligations under their agreements with respective beneficiary states, with some exceptions where support to beneficiary states in preparing VTF reports was delayed.

28. Although communication regarding the implementation of VTF projects is primarily between the ATT Secretariat and beneficiary states, there are instances where direct communication with implementing partners was necessary. In the latter instance, all project implementing partners cooperated with and responded to the ATT Secretariat's queries and requests for information and documentation in a timely manner.

### **Lesson learnt**

29. The decision of beneficiary states whether or not to engage an implementing partner in a VTF project is critical to a successful project. Some beneficiary states had rightfully opted not to engage an implementing partner, allocated internal resources and delivered successful projects. In cases where beneficiary states decide to engage an implementing partner due to internal capacity constraints, the choice of an appropriate implementing partner is essential. Where an appropriate implementing partner is selected, projects tend to be successful. However, where an inappropriate partner is selected, there are always implementation challenges that take place. In general terms, working with a project implementing partner is no guarantee for a successful project.

30. To address some of the issues raised above, the ATT Secretariat advises beneficiary states to, firstly, carefully assess internal capacities before deciding on involving an implementing partner and, secondly, to select an appropriate implementing partner. The MoU between beneficiary states and project implementing partners has proven to be an effective tool in encouraging parties to think through their relationship in terms of roles, responsibilities and working arrangements.

31. Finally, while capacity building for some beneficiary states in project management is necessary, the same can also be said for some project implementing partners. It is suggested that VTF future capacity building initiatives on project management should also include organizations that serve as VTF project implementing partners.

### **EVALUATION OF PROJECTS: THE PROJECT DELIVERABLES DIMENSION**

32. In terms of the *Guidance* document, the second dimension of VTF project evaluation is by assessing deliverables produced by a project. In this regard, the following indicators are applicable: general considerations, tangible deliverables and capacity building and training.

### **General considerations**

33. Of the 15 projects implemented under the 2017 project cycle, ten (10) were capacity building workshops involving various national stakeholders, ministries and agencies, five (5) focused on gap analysis assessing national baselines against ATT requirements, three (3) looked at strengthening national control systems and/or on development of a national control list setting out categories of items subject to ATT based national controls. Overall, the majority of the 2017 projects were more focused on capacity building workshop and less on other aspects of Treaty implementation.

34. One of the annexes to Grant Agreements is a project schedule that details a project timeline, activities and outputs to be delivered at certain milestones. In this respect, most of the projects under review completed their activities in accordance with agreed project schedules. However, it is noted that two projects could not complete their projects within the agreed timeframe and had to request time extension and for one this included additional workshops by utilizing unspent funds. In final analysis, the majority of the 2017 projects completed their activities within the agreed timeframe and where time extension was requested, it was reasonable and did not negatively impact the VTF planning and management timeline.

### **Tangible deliverables**

35. Based on the orientation of the 2017 projects detail in Attachment B, the tangible deliverables of the various projects were the development of a national control list, drafting of legislation, development of a roadmap to join the ATT, development of a national action plan to implement the Treaty, development of training materials and briefing papers, procurement of equipment, designation of a national point of contact; and establishment of an inter-agency arrangement. Some tangible outputs from the 2017 projects were made available to the ATT Secretariat. In final analysis, it is assessed that all 2017 projects were able to achieve their planned, agreed and funded project deliverables (outputs).

### **Capacity building and Training**

36. As evident above, the majority of the projects (10 projects) involved capacity building or training workshops of some kind. From projects final reports submitted, it is clear that the workshops benefitted about 210 trainees in total. In the evaluation part of project final reports, most beneficiary states indicated that the training received from the workshops helped their trainees to build and deepen their understanding of the ATT and its implications.

37. It is worth mentioning that two (2) of the 15 beneficiary states implemented two (2) projects during the 2017 VTF cycle. One state conducted a workshop for national stakeholders to implement the Treaty and another workshop on tools and procedures for transfer controls. The other state implemented a regional workshop on ATT and a national workshop to build national capacity for Treaty implementation.

### **CONCLUSION**

38. The final reports received from the 2017 completed projects indicate that all beneficiary states are satisfied about how their projects went in terms of interface and support from the ATT Secretariat, the VTF Selection Committee and the VTF in general. The 2017 beneficiary states have also registered satisfaction concerning the deliverables achieved by their respective projects. It is noted that three (3) beneficiary states from the 2017 cycle applied and received VTF funding in 2018.

39. Since 2017, the VTF has implemented additional five (5) project cycles, which will be evaluated in the coming years. It is worth mentioning that during the five project cycles further lessons have been learnt as the VTF gathers more experience in its work . These lessons will be discussed in future evaluation reports, and they include among others:

- a. The VTF and multi-year projects.
- b. The VTF in COVID-19 times.
- c. The VTF in real time and through changing circumstances.

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**ATTACHMENT A. THE INDICATORS FOR THE EVALUATION OF PROJECT MANAGEMENT AND PROJECT DELIVERABLES OF THE GUIDANCE FOR THE VTF PROJECT EVALUATION**

**INDICATORS FOR THE EVALUATION OF PROJECT MANAGEMENT**

	<b>GRANT AGREEMENT NEGOTIATIONS</b>	<b>Yes</b>	<b>No</b>	<b>Comment</b>
1.	Did the Grantee respond to the Request for Clarification by the required deadline?	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Did the Grantee respond to all the elements of the Request for Clarification?	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Did the Grantee submit the Grant Agreement supporting documents (Bank Account Information, Project Schedule, MoU) by the required deadline?	<input type="checkbox"/>	<input type="checkbox"/>	
4.	Did the Grantee sign and initial all pages of the Grant Agreement as requested?	<input type="checkbox"/>	<input type="checkbox"/>	
	<b>INTERIM REPORT</b>			
5.	Did the Grantee submit the Interim Report (narrative) by the required deadline?	<input type="checkbox"/>	<input type="checkbox"/>	
6.	Did the Grantee use the prescribed format for the Interim Narrative Report?	<input type="checkbox"/>	<input type="checkbox"/>	
7.	Did the Grantee respond to all sections of the Interim Narrative Report narrative?	<input type="checkbox"/>	<input type="checkbox"/>	
8.	Did the Grantee submit the Interim Report (expenditure) report by the required deadline?	<input type="checkbox"/>	<input type="checkbox"/>	
9.	Did the Grantee use the prescribed format for the Interim Expenditure Report?	<input type="checkbox"/>	<input type="checkbox"/>	
10.	Did the Grantee provide a clear description for each relevant budget line?	<input type="checkbox"/>	<input type="checkbox"/>	

11.	Did the Grantee provide copies of all relevant invoices and receipts pertaining to the Interim Expenditure Report?	<input type="checkbox"/>	<input type="checkbox"/>	
12.	Did the Grantee provide accurate calculations in the Interim Expenditure Report?	<input type="checkbox"/>	<input type="checkbox"/>	
	<b>FINAL REPORT</b>			
13.	Did the Grantee submit the Final Report (narrative) by the required deadline?	<input type="checkbox"/>	<input type="checkbox"/>	
14.	Did the Grantee respond to all sections of the Final Narrative Report?	<input type="checkbox"/>	<input type="checkbox"/>	
15.	Did the Grantee use the prescribed format for the Final Narrative Report?	<input type="checkbox"/>	<input type="checkbox"/>	
16.	Did the Grantee submit the Interim Final (expenditure) report by the required deadline?	<input type="checkbox"/>	<input type="checkbox"/>	
17.	Did the Grantee use the prescribed format for the Final Expenditure Report?	<input type="checkbox"/>	<input type="checkbox"/>	
18.	Did the Grantee provide a clear description for each relevant budget line?	<input type="checkbox"/>	<input type="checkbox"/>	
19.	Did the Grantee provide copies of all relevant invoices and receipts pertaining to the Final Expenditure Report?	<input type="checkbox"/>	<input type="checkbox"/>	
20.	Did the Grantee provide accurate calculations in the Final Expenditure Report?	<input type="checkbox"/>	<input type="checkbox"/>	
	<b>GENERAL</b>			
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?	<input type="checkbox"/>	<input type="checkbox"/>	

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?	<input type="checkbox"/>	<input type="checkbox"/>	
23.	Was the Grantee more than 20% under-budget on any budget line? If so, did the Grantee provide a satisfactory explanation for why?	<input type="checkbox"/>	<input type="checkbox"/>	
24.	Was the Grantee more than 20% over-budget on any budget line? If so, did the Grantee provide a satisfactory explanation for why?	<input type="checkbox"/>	<input type="checkbox"/>	
25.	Did the Grantee communicate with the ATT Secretariat through the appropriate (and requested) channels i.e. via the <a href="mailto:trustfund@thearmstradetreay.org">trustfund@thearmstradetreay.org</a> email address?	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	
	<b>PROJECT IMPLEMENTING PARTNER</b>			
27.	Did the Project Implementing Partner fulfil its obligations under the agreement or MoU with the Grantee with respect to project reporting (if applicable)?	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	

**INDICATORS FOR THE EVALUATION OF PROJECT DELIVERABLES**

	<b>GENERAL</b>	<b>Yes</b>	<b>No</b>	<b>Comment</b>
1.	Were all the project activities completed in accordance with the Project Schedule?	<input type="checkbox"/>	<input type="checkbox"/>	
2.	If not, did the Grantee give a satisfactory explanation of why certain activities were not completed?	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Did the Grantee integrate gender considerations in the development and implementation of the project?	<input type="checkbox"/>	<input type="checkbox"/>	
	<b>TANGIBLE DELIVERABLES</b>			
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?	<input type="checkbox"/>	<input type="checkbox"/>	
5.	If not, did the Grantee give a satisfactory explanation of why certain deliverables were not achieved?	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<input type="checkbox"/>	<input type="checkbox"/>	
	<b>CAPACITY BUILDING AND TRAINING</b>			
7.	If the project involved capacity building or training, how many people profited from the capacity building/training?	<input type="checkbox"/>	<input type="checkbox"/>	
8.	Did the Grantee conduct an evaluation of the training?	<input type="checkbox"/>	<input type="checkbox"/>	
9.	If so, what were the results?			

## ATTACHMENT B. LIST OF 2017 VTF CYCLE PROJECTS APPROVED BY THE VTF SELECTION COMMITTEE

No.	State	Project Title	Budget Total (USD)	Duration (months)			Implementing Partner	Type of implementation assistance
				12	6to8	<6		
1	Cameroon	Fast Tracking the Universalisation 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	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
13	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
14	Togo (1)	TCA appropriation and implementation training project; Advocacy for the adoption and popularisation 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 popularisation campaign of the

								preliminary draft law on weapons (exchanges dialogues, radio broadcasts and broadcast of audio spots)
15	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
				8	4	3		
		<b>Total</b>	<b>1,140,501.58</b>					