

EXPLANATORY NOTES FOR COMPLETING THE VTF GRANT APPLICATION FORM

1. This document provides explanatory notes for each of the fields to be completed in the VTF Grant Application Form.

Section 1 – State Applying for VTF Grant

Name of State

2. The name of the State that is making the application should be included here.
3. If the application for VTF funding is being made jointly by more than one State, only one State must be included here and the names of all other States should be listed under the question '*Is this a joint application*' (discussed below).

State department or other entity that will have primary responsibility for implementing the project

4. The agency or department of the State that is applying for VTF funding should be inserted here.
Example: Strategic Trade Directorate, Ministry of Foreign Affairs.
5. If more than one agency or department of the State is involved in implementing the project, the name of the agency or department with the main responsibility for implementing the project should be listed here.

Is this a joint application (i.e. is more than one State applying for VTF funding under this Form)?

6. Where an application for funding is being submitted jointly, by more than one State, the name(s) of the other State(s) submitting the application for funding should be inserted here. Applicants should also ensure that contact details for each State involved in the application are included in Section 2 (Contact Person).
7. While one State may take the lead in a joint application with respect to preparation of the application and communication with the ATT Secretariat, the other State(s) applying for funding will need to demonstrate their involvement in the project and all correspondence and documentation will need to be co-signed by both/all applicant States, including the Grant Application Form (see Section 10 (Applicant State Signature)).

Is this a project where other States will benefit (e.g. does the project involve a regional conference or workshop where participants from other States will attend)?

8. If the proposed project is intended to benefit more than one State, for example, if it includes a regional conference or workshop, the applicant should list the other States that the project is intended to benefit. If the States that will attend or participate are not known or have not been confirmed at the time the application is made, the applicant may indicate that States in a specific

sub-region will benefit (e.g. 'Central American States') or may simply indicate this information will be confirmed if and when funding is granted.

9. ***Please note:** Applicants should be careful to distinguish between a *joint applicant* and a *beneficiary*. Where an application for VTF funding is being submitted jointly, this means two or more States are applying for the funding and will be jointly responsible for implementing the project (including submitting reports to the VTF and accounting for the expenditure of funds). Where a State benefits from the project but is *not* an applicant, this means it does not receive any funding and does not have any responsibility for implementing the project, but may benefit from the activities or outputs of the project (for example, it may attend a training workshop and receive training materials).

Section 2 – Contact Person

Primary Contact Person

10. Details of the Primary Contact Person should be inserted here. The Primary Contact Person is the person who will be the main liaison person for the VTF application and who may be contacted by the ATT Secretariat to clarify aspects of the application. Accordingly, the Primary Contact Person should be the person who will have the main responsibility for implementing the project should the VTF application be successful (i.e. she/he will be the project coordinator to answer for the project's implementation, financial expenditure and reports).
11. The Primary Contact Person must be an employee of the implementing State department or entity identified in Section 1 of the Grant Application Form.
12. If the application for VTF funding is being made jointly by more than one State, the State listed under Section 1 will assume the responsibility of main liaison with the ATT Secretariat. This State will also assume the responsibility of coordinating with the other States.

Secondary Contact Person

13. Details of the Secondary Contact Person should be inserted here. The Secondary Contact Person is the person who serves as the second point of contact for the purposes of liaising on the application during the selection period in the event the Primary Contact Person is temporarily unavailable.
14. The Secondary Contact Person may be an employee of the implementing State department or entity identified in Section 1 of the Grant Application Form, or a representative of a Project Implementing Partner (if any) identified in Section 4 (Project Implementing Partner(s)).

Section 3 – ATT Status of Applicant State

ATT Status of Applicant State

15. This field gives applicants the option to choose 'State Party', 'Signatory', or 'Other State' to indicate the applicant State's status with respect to the ATT.
16. If more than one State is jointly applying for VTF funding, this can be indicated and explained in the field '*What is the current status of ATT ratification and implementation in the applicant State?*' (see below for more details).

What is the current status of ATT ratification and implementation in the applicant State?

17. This field gives the applicant an opportunity to describe its current status with respect to ratification and implementation of the ATT. For example, if the applicant is a Signatory to the ATT, it might explain that there is a bill to ratify the treaty before parliament that is due to be considered in the next parliamentary session; or that the State is currently reviewing its existing national legislation to identify amendments required in order to comply with the treaty prior to ratifying it.
18. If more than one State is jointly applying for VTF funding, this field should be used to clarify the status of each State that is applying, and to describe the implementation efforts undertaken by each State separately.

If the applicant State is not a State Party to the ATT, please provide an official letter or note verbale with your application outlining the steps taken by the State that show a 'clear and unambiguous political commitment to accede to the ATT' as required by the VTF Terms of Reference. Please also provide a brief description here.

19. If the applicant is not a State Party to the ATT, it should use this field to describe steps it has taken that demonstrate its 'clear and unambiguous political commitment to accede to the ATT', which is a requirement under the [VTF Terms of Reference](#) for a State that is neither a State Party nor a Signatory to be eligible for VTF funding.
20. In addition, any applicant that is not a State Party to the ATT must submit an official letter or note verbale to the ATT Secretariat as part of its VTF application, outlining any activities or steps taken that show the State has a clear and unambiguous political commitment to accede to the ATT. Such steps could include: draft legislation has been submitted to and is being considered by Parliament; a policy document adopted by Government specifies ratification of or accession to the ATT is an objective or priority of the Government, etc.

Section 4 – Project Implementing Partner(s)

Will you engage an implementing partner to help you implement the project (e.g. a UN agency or NGO)?

21. If the applicant State will be engaging another State agency, UN agency, regional organisation, academic institute, or civil society organisation to help to implement the project, it should indicate 'yes'.
22. If the applicant State intends to implement the proposed project without assistance from an external organisation or entity, it should indicate 'no'.
23. ***Please note:** If an implementing partner will be involved in the project and the proposed project is approved, the applicant State will be required to provide a copy of the Memorandum of Understanding, Letter of Intent, or some other document that confirms, in writing, the agreement between the applicant State and the implementing partner with respect to their roles and responsibilities in implementing the project, as well as the disbursement of funds. Applicants are encouraged to agree the terms of the arrangement between the applicant State and the implementing partner(s) **as early as possible in the project process** – and in advance of submitting the VTF application if possible – in order to avoid delays in finalising the project documentation and project start date if the project is approved by the VTF Selection Committee.

Name of Organization

24. If the applicant State will be engaging another State agency, UN agency, regional organisation, academic institute, or civil society organisation to help to implement the project, such entity or entities should be listed here. The full official/registered name of such entity or entities should be included.
25. If the application for VTF funding is being made jointly by more than one State, details of the other States should be listed here. Letters of confirmation from the other States must be attached.

Type of Organization

26. In addition to providing the name of any entity or organization that will be engaged to help implement the project, the applicant should indicate the type of organization by selecting: 'International Organization', 'Regional Organization', 'NGO', 'Institute', or 'Firm'. If the type of organization is not captured by the list, the applicant should select 'other' and include the relevant details in the field marked: 'If other, specify'.

What is the role of the organization in the project?

27. The applicant should use this field to explain what the role of any organization nominated as an implementing partner will be. For example, if the project involves reviewing the State's current national legislation governing arms transfers to assess compliance with the ATT, and the implementing partner comprises a law firm or legal faculty of a university that will be conducting or assisting with the assessment, this should be explained. The applicant should also indicate why it is necessary to engage the implementing partner in this role.

Is the implementing partner charging overheads or service fees?

28. Implementing partners will generally request payment for services provided to help a State implement a project, and such costs associated with the project should appear in the project budget (see the Detailed Budget Form in Annex 2). So, for example, an implementing partner will likely request payment for time spent by its staff helping the State implement the project (i.e. staff salaries). In addition, some implementing partners also request that they receive money to cover the costs of overheads or indirect costs associated with their engagement in the project, such as office rental, the costs associated with administering payroll for their staff, etc. For example, the United Nations generally charges 13% Programme Support Costs (PSC) on top of project funding received to recover incremental costs, namely the additional costs incurred supporting activities financed from extra budgetary contributions to the UN.
29. Applicant States should ask their implementing partner(s) upfront if they expect to receive money for overheads and other indirect costs, and if so, what amount or percentage of the project funds they receive.
30. ***Please note:** The VTF already allows Grant Recipients to receive indirect support costs of up to a maximum of 7% of the Total Direct Costs of the project (see the Detailed Budget Form in Annex 2), which can be passed on to an implementing partner. The VTF Selection Committee may decline to approve a request by an implementing partner to receive indirect support costs of more than 7% of the Total Direct Costs the applicant State has agreed to transfer to the implementing partner.

Will the implementing partner receive the funds directly from the VTF?

31. Under paragraph 35 of the VTF Administrative Rules, 'Funds shall only be transferred to the beneficiary State or to an entity authorised by them'. This means that, if the application is approved by the VTF Selection Committee, the applicant State may request that all the funds be transferred to it (and the State will then transfer whatever payment is due to the implementing partner under the terms of the arrangement between them) OR it may request that all the funds be transferred directly to the implementing partner. If the applicant State knows at the time of submitting its application whether or not all the funds are to be transferred to the implementing partner, it should indicate this on the Grant Application Form. If the applicant State does not know the answer to this question at the time of submitting its application, it should leave it blank.

Section 5 – Project Overview

Project Title

32. The title of the project should be included here. This will serve as the reference in correspondence between the ATT Secretariat and the applicant, and in the contract documentation issued in the event the application for VTF funding is successful.

Total Budget

33. The total estimated cost of the project should be included here and should correspond with the Total Budget figure in the VTF Detailed Budget Form.
34. ***Please note:** The Total Budget must not exceed USD 100,000 except in instances where the project involves more than one State or a group of States whose details should be provided under Section 4 of the Grant Application Form (Project Implementing Partner(s)). There is no specific budget cap for projects of this nature (i.e. where more than one State is applying to the VTF under the same project proposal). However, the VTF Selection Committee will determine what is reasonable on a case-by-case basis.

Start Date

35. The date that the project will commence, should funding be granted, should be indicated here (e.g. *01 July 2019*). Please note that unless agreed otherwise, all VTF projects shall start immediately after the signing of a Grant Agreement between the VTF and the grant recipient. Projects with a later commencement date shall also be considered.
36. Please also note that, at this stage, it is foreseen that the outcome of the selection process will be announced by 29 March 2019, contractual agreements with successful applicants finalised and grants transferred by the end of June 2019. Applicants should factor this into their considerations when estimating the Start Date of a proposed project.

End Date

37. The date that the project will be completed by, should funding be granted, should be indicated here (e.g. *30 September 2020*). Please note that unless agreed otherwise, all VTF projects shall have an implementation period of one year (12 calendar months). Projects of longer duration shall also be considered. Applicants should factor this into their considerations when estimating the End Date of a proposed project.

Project description

38. A detailed description of the project should be inserted here, including an initial sentence that identifies the purpose and key outputs of the project, followed by a brief summary outlining essential details such as: the project aims (what is the project designed to achieve?), project rationale (why is the project needed?), project activities (what activities will be undertaken? will the project involve national or regional workshops?), beneficiaries (who will benefit from the project?), and project outputs (what will the project produce or deliver?).

Indicate the types of implementation assistance the project will involve

39. The applicant should indicate the types of implementation assistance the proposed project will involve by ticking those listed that are relevant to the project. For example, if the project involves a workshop to develop a national control list, the applicant should tick 'National Control List'.

Section 6 – Project Details

Does the applicant State have a strategy to implement the ATT?

40. The applicant State should indicate whether it has developed a strategy or roadmap for implementing the ATT that indicates the steps it is planning to take to fulfil the Treaty obligations. The applicant State should also describe the basis for the development of such a strategy or roadmap, indicating, for example, whether it is based on a gap analysis or needs assessment that has been conducted.

Specify the project phases and the outputs or deliverables associated with each phase

41. Details of the phases of the project and the outputs or deliverables of each phase should be included here. For example, if the project involves a workshop to build the capacity of customs officials to identify weapons in the national control list, this might involve several phases: Phase I: organise workshop logistics including confirming venue and inviting participants; Phase II: draft and prepare workshop training materials and confirm speakers and presenters; Output: training manual; Phase III: hold workshop and deliver training; Output: 25 participants trained; Phase IV: follow-up with participants to monitor the impact of the training.

What is the expected impact of the project?

42. Information on what problem the project will solve and how it will improve or contribute to the State's ATT implementation or ratification efforts (if it is not yet a State Party) should be included here. This relates to the long term value and effects of the project. This is not the same as the expected outputs or deliverables, which are the short-term, tangible products of the project activities. Using the example above, the expected impact may be that 30 customs officials have increased capacity to identify items that are on the national control list.

What other ATT assistance have you received and how does it relate to the project proposed in this application?

43. If the applicant State has received funding for ATT-related projects in the past (e.g. from the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) or the EU-ATT Outreach Project), information on this assistance should be provided here as well as an explanation for how the proposed VTF project fits with or relates to assistance already received. For example, perhaps the applicant received funding on a previous occasion to conduct a review of existing legislation to

assess the compatibility of existing legislation with ATT requirements, and is now seeking further funding to develop legislation to fill the gaps identified during the legislative review.

Indicate the project's synergies and cooperation with completed and/or ongoing projects

44. If related or similar projects have been conducted in the State or are ongoing, information on how these complement or overlap with the project that is the subject of the VTF application should be included here.

Explain whether and how the project incorporates the following considerations in its planning and implementation (Gender, Sustainable Development Goals, Security, Environment, Regional relevance)

45. The applicant State should use this section to describe and explain how broader considerations and objectives have been incorporated into the planning of the project and its proposed implementation. For example, if the project includes the holding of a regional workshop to build capacity on the ATT, perhaps the applicant has made an internal commitment that at least 30% of the workshop attendees will be women and will reflect this in invitations to the workshop issued to neighbouring States.

Section 7 – Co-Funding

Is the project receiving funding from another source (co-funding)?

46. If the proposed project is being part-funded from another source, this should be indicated here by ticking 'yes'. For example, if the State has received funding from a donor government or another fund that covers some of the project costs, the amount of co-funding it has or will receive and what proportion of the total budget this represents for the project as a whole should be indicated in the field 'If yes: What is the status and amount of the co-funding?'

47. ***Please note:** The VTF contribution to a co-funded project shall not exceed the budget cap of USD 100,000.

Section 8 – State's contribution

Indicate the State's in-kind contribution to the project (e.g. personnel, office space, etc.)

48. The applicant should use this section to indicate the nature of any in-kind contribution the State is making to the project. This could include the salaries of the staff involved in implementing the project, a conference venue and conference services being provided for a workshop, etc.

49. ***Please note:** The salaries of any staff members of the State(s) implementing the project must be in-kind contributions and cannot be listed as direct costs in the Detailed Budget Form.

Is the applicant State funding any of the project itself?

50. The applicant should use this section to indicate the nature of any financial contribution the State is making to the project. This could include paying to hire an external venue (such as a hotel) for a workshop.

Section 9 – Project Controls (Internal Control Mechanisms)

What are the key risks associated with the project?

51. A project risk is “An uncertain event or condition that has a positive or negative effect on a project's objectives.” It is an unexpected event that can affect a project in a negative or positive way. Applicants should identify any risks that may be associated with the project and described them here. For example, if the project involves a capacity building workshop for legal drafters to prepare a legislative bill that ensures the national control system is consistent with the ATT requirements, one risk may be that there is no guarantee that, once trained, participants in the workshop will stay in their jobs/roles and actually participate in the drafting; another might be that consideration by parliament of any draft bill that is prepared is stalled due to other competing priorities or a political crisis.

How do you intend to mitigate or manage these risks (Risk Management Strategy)?

52. Applicants should describe how they intend to mitigate any risks identified with the project in this field, or minimise their impact.

What internal project management mechanisms will you put in place to manage the project?

53. Applicants should describe how they intend to manage the project during its lifecycle, including details of: how they will track the progress of the project and cash flow; how they will ensure the project is delivered on time; how they will communicate with the different stakeholders involved in the project; etc.

How do you intend to monitor and evaluate the project?

54. Applicants should include information on how they intend to monitor the project, to ensure project milestones are met and the successful and timely completion of the project as a whole. They should also describe how they intend to evaluate the project and its impact.

Commitment to reporting

55. By ticking ‘yes’ to this field, the applicant confirms that it understands and accepts that reporting obligations will be imposed as part of a Grant Agreement, if the applicant is successful in its application and is granted VTF funding.

Commitment to VTF auditing

56. By ticking ‘yes’ to this field, the applicant confirms that it understands and accepts that, if the applicant is successful in its application and is granted VTF funding, the approved Project may be subject to auditing.
