Voluntary Trust Fund
GRANT APPLICATION FORM

PROJECT OVERVIEW

This overview section includes a copy of the information you will provide later in the Form.
We would recommend completing this section just before submitting your Application.

0.1	Applicant State	Sadistan
0.2	ATT status of Applicant State(s)	State Party
0.3	Project title	Building the Capacity of CARICOM States to Report Under the Arms Trade Treaty
0.4	Project duration	6 months
0.5	Total budget (US$)	152,293
0.6	Project summary	Sadistan plans to hold a 4-day regional workshop for CARICOM States to raise awareness of the reporting obligations under Article 13 of the ATT and build the capacity of CARICOM States to prepare and submit their ATT reports in a timely manner.
0.7	Project Implementing Partner	The Centre for the Control of Armaments (CCA)

1   Applicant State(s)

1.1	Name of Applicant State	Sadistan	
1.2	Government department or agency with primary responsibility for implementing the project	Ministry of Foreign Affairs	
1.3	Is this a joint Application with another State?	☐ YES Name of Co-Applicant State:	☒ NO
		Click Here to enter text	

2   Beneficiary State(s)

2.1	Will other States benefit from the project *e.g. through their participation in a regional meeting?*	☒ YES	☐ NO
2.2	If yes to 2.1, please list those State(s) this project is intended to benefit	Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Suriname, and Trinidad and Tobago.	

3   Contact Persons

Primary Contact Person [1]		**Secondary Contact Person [2]**	
Title (e.g. Mr., Ms., Dr.)	Ms.	Title (e.g. Mr., Ms., Dr.)	Mr.
First Name	Amanda	First Name	Toby
Last Name	Bellington	Last Name	Winters
Job Title	Deputy Director	Job Title	Policy Officer
Government Department or Agency	Ministry of Foreign Affairs	Government Department or Implementing Partner	Ministry of Foreign Affairs
Telephone Number	+23 79 854 69 70	Telephone Number	+23 79 854 69 75
E-mail	a.bellington@mfa.sdn.gov	E-mail	t.winters@mfa.sdn.gov

[1] A Primary Contact Person acts as the project co-ordinator and will be responsible for implementing the project, and providing narrative and financial expenditure reports to the ATT Secretariat. They must be a representative of the State named in 1.1.

[2] A Secondary Contact Person may be a State representative from the Co-Applicant State or your Implementing Partner, if you have one.

4   Project Implementing Partner(s)

4.1	Are you engaging an Implementing Partner *e.g. NGO or regional organisation?*	☒ YES	☐ NO
4.2	Name of Implementing Partner	The Centre for the Control of Armaments (CCA)	
4.3	What role(s) will the Implementing Partner perform?	CCA is a Lagos-based think tank that has considerable experience working with States to provide technical knowledge and build capacity to prepare and submit ATT Initial and Annual Reports in accordance with Article 13 of the Treaty. The CCA will undertake the logistical preparations for the workshop (including booking flights, venue, catering, accommodation and transportation for participants) and will prepare the training materials for the workshop.	
4.4	Will the Implementing Partner receive the funds directly from the VTF?	☒ YES	☐ NO

5   ATT Status of Applicant State

5.1	ATT status of Applicant State(s)	☒ State Party	☐ Signatory	☐ Neither
5.2	If you are not yet a State Party to the ATT, please comment on your progress towards ratification of or accession to the Treaty	*Click Here to enter text*		

If you are not yet a State Party, you must provide an official letter or note verbale that shows a 'clear and unambiguous political commitment to accede to the ATT', as required by the VTF Terms of Reference.

6   Project Description

6.1	Project title	Building the Capacity of CARICOM States to Report Under the Arms Trade Treaty		
6.2	Start date	01/10/2021	End date	31/03/2022
6.3	Project summary	Sadistan plans to hold a 4-day regional workshop for CARICOM States to raise awareness of the reporting obligations under Article 13 of the ATT and build the capacity of CARICOM States to prepare and submit their ATT reports in a timely manner.		
6.4	Project aim	This project will build the capacity of CARICOM States to meet their reporting obligations under the ATT and will improve ATT reporting rates in the region.		
6.5	Project rationale	CARICOM States have one of the lowest rates of reporting, with some 36% of CARICOM States that are States Parties to the Treaty having submitted their Initial Reports under Article 13(1), and only 18% having submitted their Annual Reports under Article 13(3). The low reporting rate in the region is a result of several factors, including: lack of awareness among CARICOM States of the existence of the reporting obligations and deadlines; confusion regarding reporting requirements; lack of internal coordination and communication; underdeveloped information-collection processes; lack of capacity and resources; lack of time to complete reports. This project will seek to address some of these challenges.		
6.6	Project beneficiaries	CARICOM States are the direct beneficiaries of this project. Specifically, the key individuals involved in ATT reporting.		

6.7	Please set out below the distinct phases of the project, including a description of the main activities for each phase, the sequencing or timing of activities, and the outputs or deliverables for each phase

Activity 1. Organisation of the workshop to build CARICOM States' reporting capacity

The CCA, with the support of the Sadistan Government, will organize the regional workshop to build capacity on ATT reporting, including:

a)   Identifying and inviting 3 participants from each CARICOM State, targeting individuals involved in record-keeping and reporting in each State.

b)   Identifying and inviting international expert to attend and facilitate the workshop.

c)   Making the logistical arrangements, including booking flights, accommodation, venue, catering and ground transportation.

Output: List of participants and logistics of the workshop are confirmed.

Activity 2. Preparation of the agenda and training materials for the workshop

The CCA will prepare the agenda for the workshop, in consultation with the Sadistan Government, and will prepare the training materials for the workshop, including a guide on resources participants may consult to receive assistance with ATT reporting. The agenda will include the following elements and topics:

1)   Challenges CARCIOM States face in completing and submitting ATT reports.

2)   Overview of ATT reporting obligations and deadlines.

3)   National processes for preapring reports.

4)   Sources of information for completing ATT reports.

5)   Persons and entities with a role to play in reporting.

6)   How to submit ATT reports: options and obstacles.

7)   Practical exercise to complete ATT reports.

In addition, participating States will be required to submit specific information in advance of attending the meeting via a questionnaire, such as: individuals and departments responsible for reporting; status of reporting and report preparation; internal processes for report prearation; and challenges to reporting.

Output: Training materials for the workshop that are tailored to participants are prepared and printed in advance of the workshop.

Activity 3. Holding the workshop

The 4-day workshop will be held in January 2022 in Stefan town, the capital of Sadistan. There will be a total of 50 attendees. This will comprise: 42 participants from CARICOM States (14 States x 3 participants per State), plus 3 staff from the CCA, one international expert, one representative of the regional organization CARICOM and 3 local support staff. In addition, locally-based personnel from the Sadistan Government will be encouraged to attend. The workshop will involve a combination of presentations, group discussions, individual and group practical exercises.

Output: 42 participants/government officials from 14 CARICOM States will have received training on ATT reporting and will have the capacity and tools to prepare and submit ATT reports moving forward. Ideally, each participating State will have identified the key individuals responsible for ATT reporting in its State.

Activity 4. Follow up with each participating State after the workshop to encourage and assist with the submission of their 2021 Annual Reports

The CCA will follow up via email and telephone with each State participant two months after the workshop (i.e. in March) to assess whether the participants found the workshop useful in their daily work, to encourage them to submit their 2021 Annual Reports by 31 May 2022, and to offer assistance in preparing and completing 2021 Annual Reports.

Output: 14 CARICOM States will have received individual support to prepare and submit their 2021 Annual Report. Ideally, the number of Annual Reports submitted by the States in the region will increase, relative to previous years.

Activity 5. Drafting of summary report of the regional workshop, including outcomes and recommendations for further activity in this area

The CCA in consultation with Sadistan, will draft a summary report of the workshop (separate ad distinct from the Interim and Final Reports due under the project to the ATT Secrtariat/VTF) that highlights the findings of the workshop and, if appropriate, makes recommendations and suggestions for future activities on this topic for the region and/or individual

participating States. These recommendations could lead to future projects.
Output: Report on the outcomes of the workshop, including lessons learned and recommendations for further activity in this area.

Indicate the key focus(es) of the project	
☐ National Control List	☐ Export controls
☐ Competent National Authority	☐ Import controls
☐ National Point of Contact	☐ Brokering controls
☒ Reporting	☐ Transit/transshipment controls
☐ Gap analysis / needs assessment	☐ Diversion prevention
☐ Legal assistance	☒ Record keeping
Other. Please specify:	*Click Here to enter text*

6.9	How does this project contribute to your strategy to advance implementation of the ATT?	Sadistan has developed a five-year strategic plan to implement the ATT. The plan for the first year includes establishing the elements of a national control system in accordance with Article 5 and setting up a mechanism to ensure Sadistan can meet its reporting obligations under Article 13. This project will help Sadistan (as well as other States in the region) to establish a sustainable mechanism to ensure ATT reports are prepared and submitted in a timely manner.
6.10	Please describe the expected impacts of the project as a whole	CARICOM States will have the necessary capacity to fulfil their ATT reporting obligations under Article 13. There will be an increase/improvement in the submission of ATT reports by States in the region.

6.11	Please explain if (and how) gender considerations will be taken into account	The invitation to participating States will request that each participating State strives for gender balance, and the project will aim to ensure at least 40% of participants in the workshop are women and that they participate actively in the workshop. In addition, the experts engaged to deliver training at the workshop will be 50% women.
6.12	Please describe any other relevant considerations as part of your overall project plan	The CARICOM region has one of the highest rates of participation in the ATT but one of the lowest rates of ATT reporting. This project will seek to find a collective approach to this anomaly to improve the rate of reporting by this region and the engagement of this region in the ATT process as a whole.

7 Financial information

7.1	Total budget (US$)	US$	152,293	
	The total bid must not exceed US$ 100,000, except where the project involves more than one Applicant State or more than one State is benefitting from the project.			
7.2	Indicate the State's in-kind contribution to the project	Sadistan will provide ground transportation to all participants during the workshop, including to and from the aiport..		
7.3	Are you providing any funding to the project?	☐ YES		☒ NO
		If yes, how much funding is the Applicant State contributing?		
		US$ *Click Here to enter text*		
7.4	Are you seeking or receiving funding from any other State or Organisation for this project (i.e. co-funding)?	☐ YES		☒ NO
7.5	If yes to 7.4, from whom and what is the amount of the co-funding?	*e.g. direct funding from X donor State for US$30,000 (45% of the total project).*		

8 Relationship to other projects

8.1	Have you received assistance for ATT-related projects in the past, including from other sources? *e.g. ATT VTF, EU-ATT Outreach and UNSCAR*	☐ YES	☒ NO
8.2	If yes to 8.1, who provided the assistance, and in what year?	*e.g. ATT VTF (2017), UNSCAR (2016).*	
8.3	If yes to 8.1, please explain how that assistance relates to the project proposed in this application?	*e.g. how does this project build on previous projects, or does it relate to a different aspect of ATT implementation?*	

9 Project Controls (Internal Control Mechanisms)

9.1	What are the key risks[3] associated with the project?	1. Lack of interest by key state officials to participate in the workshop (low risk 2. Workshop participants are rotated out of positions shortly after the workshop and are no longer involved in the compilation of reports (medium risk) 3. Lack of political will and required inter-agency cooperation to compile and submit accurate reports following the workshop (low risk) 4. Lack of resources for accessible record-keeping necessary for compiling reports (medium risk) 5. Inclement weather in the region preventing participants attending the workshop (low risk)
9.2	Please outline your risk management strategy	1. Sadistan and the CCA will lobby key state officials well in advance of the project to raise awareness of the workshop, generate momentum and buy-in, and encourage participation in the workshop. 2. To mitigate this risk, the project will focus on building institutional capacity and putting procedures in place rather than focusing on the skills of individuals. Adopting national procuedures for reporting will help ensure there are written guidelines for compiling reports that can be followed irrespective of staff turnover. 3. Ensuring the participation of one or more senior members of each participating Government, who will be responsible for endorsing or signing off on the content and submission of future ATT reports as part of the lobbying in advance of the workshop, should help mitigate the risk of lack of political will. 4. The CCA team has experience working with states with limited capacities and resources to build capacity to report. This experience will be utilized to determine the appropriate national procedures for effective reporting in the context of each participating State's circumstances. The workshop will also identify potential infrastructure needs to improve record-keeping and access to records for reporting purposes. 5. The Caribbean's hurricane season runs from 01 June to 30 November each year. The workshop is scheduled to take place in January to avoid possible disruption due to hurricanes.
9.3	How will you manage the project during its lifecycle, including monitoring its progress?	A memorandum of understanding (MoU) has been agreed between the Sadistan Government and the CCA that outlines the respective responsibilities of the two parties as follows: The CCA: - Responsible for logistical arrangements for the workshop - Draft the agenda and training materials for the workshop - Facilitate the workshop (from an administrative and substantive perspective, with the assistance of the international expert) - Follow up with participating States after the workshop - Draft the summary report of the workshop, including recommendations - Prepare the draft narrative and expenditure reports for the Interim and Final Report to be submitted to the ATT Secretariat/VTF, to be endorsed and finalized by Sadistan Sadistan Government - Support CCA with the identification of

		participants to invite to the workshop and issue official invitations - Consult with CCA on the agenda - Assist with logistical preparations (e.g. identification of a suitable venue) - Provide ground transportation for participants in Sadistan - Endorse and finalize Interim and Final VTF reports prepared by CCA - Serve as liaison between the project and the ATT Secretariat In order to track the progress of the project, Sadistan and the CCA will maintain regular contact via: - Weekly progress reports by email - Monthly 'virtual' progress meetings via Skype These regular communications will ensure the project activities are on track to deliver the outputs outlined in this application, and progress is made towards realizing the aims of the project. The primary point of contact for Sadistan, Ms. Bellington, will serve as the main liaison between CCA and the Government of Sadistan, as well as between the project and the ATT Secretariat.
9.4	How do you intend to evaluate the project?	The regular communications described above will help monitor the progress of the project and ensure it is on track. In order to assess the impact of the project, the organisers will issue a questionnaire or survey to workshop participants at the end of the workshop to determine how well participants think the workshop was orgnised and whether they found it 'useful'. As part of the follow up to the workshop, the CCA will ask participants to what extent they have used the information provided during the workshop in their work following the workshop, and reporting rates in the region will be measured in the months/year following the workshop to determine whether there is a rise in reporting rates (though it is understood that it will not be possible to prove conclusively that any rise that does occur is/was attributable to the workshop itself).
9.5	Do you commit to providing regular reports on progress to the ATT Secretariat?	☒ YES ☐ NO
9.6	Do you agree to being audited by the ATT Secretariat?	☒ YES ☐ NO

Applicant State(s) Signature[4]

Name(s) and Title(s)	Signature	Date

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[3] A risk is any uncertain event or condition that might have an impact on delivery of a project's aim(s).
[4] All Applicant States must sign the Application Form and submit required documents.