

**Arms Trade Treaty Voluntary Trust Fund**

**FINAL REPORT**

**Zambia**

(Ministry of Defence)

**Project No.: ATT.VTF.G2020.002ZMB**

31 January 2022

## Arms Trade Treaty Voluntary Trust Fund - Final Report

Project Number	ATT.VTF.G2020.002ZMB
Grantee name	Zambia
Project title	Building Capacity to draft the Republic of Zambia's Conventional Arms Control Act for effective ATT Implementation
Grant Amount	USD 88,863
Final Report submission date	31 January 2022
Period covered under this report (MM/DD/YY – MM/DD/YY)	01 December 2021 to 30 November 2021

### 1. Project activities and outcomes

#### a Describe the project outcomes.

The outcomes of the 6 project activities outlined to be undertaken to successfully deliver the “Building capacity to draft the Republic of Zambia’s National Conventional Arms Control Act for Effective ATT Implementation” can be briefly summarized as follows:

#### **1. Prepare the instructions and guidance for the drafters of the Conventional Arms Control Bill.**

The Zambian NCP and SAS team (staff and consultants) consulted with BAFA, the implementing agent for the Eu ATT OP II) and a Zambian legal expert with regards to work already undertaken in relation to the Conventional Arms Control (CAC) Act and a division of labour for progressing the work. It was originally envisaged that BAFA would organize a workshop in early January 2021 to support efforts to draft the CAC Act before the ATT-funded workshop but this workshop did not take place. The Zambian NCP and SAS team (staff and consultants) determined that, given the short period of time between the start of the project and the workshop, rather than prepare a stand-alone technical guide, the SAS team should provide instructions and guidance via a series of powerpoint presentation slides to be presented at the workshop and made available via email to all workshop participants to support the drafting of the CAC Act. These would include some of the broader issues identified through the consultation with BAFA. These steps were duly completed.

**2. Organization of the “Conventional Arms Control Bill drafting workshop”.** The organization for the workshop was conducted in cooperation with BAFA. As the originally foreseen BAFA workshop for January 2021 did not take place, the ATT VTF project workshop was appropriately adapted to take this into account in the preparation for the content of the “Conventional Arms Control Bill drafting workshop”.

**3. Holding the “Conventional Arms Control bill drafting workshop”.** The workshop took place 27 – 29 January 2021. It was conducted in a “hybrid format”, with Zambian participants meeting in Livingstone and the SAS team (staff and consultants) plus a representative of BAFA participating in the workshop via Zoom. By the end of this interactive workshop, considerable progress had been made to prepare a draft Conventional arms Control Act, with issues that required further consultations clearly identified.

The workshop brought together the relevant stakeholders needed to draft Zambia’s CAC Act. The SAS team provided instruction and guidance on (a) ATT provisions that should be reflected in the

CAC Act and supplementary regulations, (b) examples from other countries on how this can be achieved, and (c) an explanation of the Zambian process for preparing a draft Bill that can successfully navigate Zambia's legislative process.

Workshop participants during the workshop and in subsequent consultations crafted a draft Bill that has been well received by key stakeholders in Zambia that could play an important role in ensuring that the Bill can move smoothly through Zambia's legislative process.

**4. Remote advice and assistance to finalize the Conventional Arms Control Bill.** Following the workshop, the SAS team (staff and consultants) worked closely with the Zambian NCP and key Zambian stakeholders to address issues that were identified during the workshop as requiring further consideration and consultation. This remote advice/assistance on the part of the Small Arms Survey team (staff and consultants) played an important assisting the completion of the Bill. The Bill was completed in final form on 31 March 2021 to begin its passage through the steps towards passage into Zambian law. Because of pending Presidential elections in August and resulting change of government, it proved not possible to complete this during 2021. The Bill will be resubmitted to the new Minister of Defence, who will in turn submit it to Cabinet during the first quarter of 2022. Cabinet approval is hoped for by June 2022, with final approval by Parliament and Presidential assent into law by the end of 2022.

The bulk of this type of advice/assistance took place in the first six months of the project, but Small Arms Survey staff and the NCP have been available for further such assistance through to the end of the project.

**5. Briefings with relevant stakeholders to ensure that the Republic of Zambia's Conventional Arms Control Bill is passed by parliament and assented to and signed by the president resulting in the Conventional Arms Control Act.** The NCP has conducted briefings with relevant stakeholders throughout the life of the project. The delay, due to elections and change of government, mean that the process of the passage through Parliament to final signature by the Zambian President is delayed until 2022. The NCP will continue to make himself available to the key stakeholders, including members of Parliament through to the end of this process.

**6. Lessons learned document on drafting the Conventional Arms Control Bill.** The "lessons learned" document was delayed in its preparation, due to several factors (see d. below). Hence, the document has not been shared further to this point. However, it is expected that there will be utility in making use of an updated version of the document for CSP8. The Small Arms Survey team and the Zambian NCP will consult further on this and other possible outlets for this document.

b Describe how the project has assisted your implementation of the ATT.

The activities of this project (principally the "Conventional Arms Control Bill drafting workshop", 27 – 29 January 2021, which brought together the relevant stakeholders needed to draft Zambia's Conventional Arms Control Bill) were an essential element in Zambia's efforts to implement the ATT as this piece of legislation will: (a) establish the National Conventional Arms Control authority and provide for its functions; (b) constitute the Board of the National Arms Control Authority and provide for its functions; (c) provide for licensing for international transfers of conventional arms; (d) provide for registration of brokers; (e) provide for the inspectorate and its powers; (f) domesticate the Arms Trade Treaty; and (g) provide for matters connected with, or incidental to, the foregoing.

The project complements work undertaken as part of Zambia's EU ATT OP roadmap and complements the two previous ATT VTF-funded projects – filling gaps identified during the preparation of Zambia's initial report on measures to implement the ATT and providing the primary legislation to which the draft national control list can be connected.

c List all States that benefitted from the project.

Republic of Zambia.

d Were all the project activities as specified in the Project Schedule (see Annex G) completed?

Yes  No

If no, explain why and describe any problems, constraints and difficulties experienced in implementing the project.

Projected project activities 1 – 4 were fully completed. With regard to project activity 5, the calling of Presidential elections for August 2021, the subsequent change of government, and the pace of the changeover of heads of relevant Ministries, etc., meant that the hoped-for completion of the Republic of Zambia Conventional Arms Control Act was not possible within the timeframe of the project. Hence, it is expected that the NCP will continue to accompany this process through the expected passage by the new Cabinet, submission to and approval by Parliament of the Conventional Arms Control Bill, ready for Presidential signature by the end of 2022. With regard to activity 6, several factors affected the preparation and sharing of the “lessons learned” document. First, the change in May 2021 in the senior Small Arms Survey staff member principally involved in this project during its first six months meant considerable delay in actual engagement with the preparation of this document. Second, the Presidential election process and hence the delay in the final steps in the CAC Bill process meant that the “lessons learned” document itself could not be completed with the finalization element included, something which would have been desirable. These factors combined to prevent the Survey and the NCP from seeking to make use of the proposed “lessons learned” document during CSP7, as had been hoped. The “lessons learned” document does indeed present a number of dimensions which could be of use to other ATT states as they proceed with national processes related to ATT implementation. Thus, as noted in part (a) (Activity 6), although the chance to share this learning within the context of CSP7 was missed, it should be possible to do so in CSP8 and in other possible outlets.

Project progress must be indicated against the Project Schedule (see Attachment 1). Please indicate the Status of all activities highlighted in YELLOW in the Project Schedule. Please also include comments where you think appropriate (e.g., to explain why certain activities have not been completed on time).

What recommendations would you make in this regard?

It is fortunate that the bulk of the work of this project was completed in its first 6 months. This meant that the only activity affected in a serious way by the change of senior personnel for the project was activity 6. Personnel changes often take place during project implementation. As in this case, replacement of the staff member was found only in October 2021 and this impacted the implementation of Activity 6.

e How would you rate the *relevance* of the project (was the project suited to existing priorities and policies of the benefitting State(s))?

Not relevant at all	Not very relevant	Moderately relevant	Relevant	Very relevant
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Explain your answer:

This project was about as relevant as any set of activities could be in assisting the Republic of Zambia in the completion of its Conventional Arms Control bill. The series of ATT related workshops and activities undertaken in recent years since Zambia's signature to the ATT through the EU Arms Trade Treaty outreach project II and the ATT VTF projects provided essential ground work for the clarity as to purposes for the project. As a result of the overall impact of the project, the Republic of Zambia will have put one more essential piece into place in its implementation of and compliance with the ATT.

f How would you rate the *effectiveness* of the project (to what extent has the project attained its stated objectives)?

Not effective at all	Not very effective	Moderately effective	Effective	Very effective
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Explain your answer:

The delay in the process of CAC bill finalization due to the presidential election process in 2021 should not detract from the fact that this project, principally through the Livingstone workshop process, put the essential elements in place for the establishment of this key dimension of Zambian legal commitment. It is safe to say that without this project, enabling key stakeholders to wrestle with and draft core dimensions of the creation of the CAC Act, Zambia would not be in this fortunate position today, with all indicators showing that this is on track for finalization in 2022.

g How would you rate the *efficiency* of the project (to what extent were the project results attained on time and within budget)?

Not efficient at all	Not very efficient	Moderately efficient	Efficient	Very efficient
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Explain your answer:

With the exceptions noted earlier in section (d), the project proved very efficient in delivering the promised outputs. This was due to a number of factors: a) what was done built efficiently on previous EU ATT OP II and ATT-VTF projects with Zambia and collaborative work between BAFA and the Small Arms Survey throughout; b) the participation of the Zambia NCP through the earlier processes and this project; c) the involvement of stakeholders with the previous projects and hence their trust in the value of what was being proposed through the workshop; d) the knowledge and experience of Small Arms Survey team (staff and consultants) with not only the content but also the methodologies utilized in the project. The requirement for the workshop of delivering it in a “hybrid” way, although not easy, did not seem to have negatively influenced the outcome. However, it is doubtful that the workshop would have achieved the results it did had all the stakeholder participants been required to engage remotely. Project funds were efficiently used within the approved budget parameters.

h Please describe the impact of the project (i.e. the positive or negative changes or effects that the project results have on the surrounding circumstances).

Other than the basic impact that is expected by the work of the project on the CAC Act process, which has to be considered positive, it is difficult to conceive of other impacts at this stage of things. This piece of Zambian national legislation, coupled with other steps taken with regard to ATT reporting, will enhance overall compliance by Zambia with its commitments under the ATT. The devil of course is in the detail. Even with a CAC Act in place, much will depend on national commitment to fulfilling the requirements of the Act, as with other dimensions of ATT implementation. This experience by Zambia could provide some lessons for other countries in developing their own legislative elements in relation to ATT obligations.

i How would you rate the *sustainability* of the project (to what extent can the project benefits continue after the project has finished)?

Not sustainable at all	Not very sustainable	Moderately sustainable	Sustainable	Very sustainable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Explain your answer:

The impact of the project will live on in the existence of the Conventional Arms Control Act once the process is complete.

j How will the Project outcomes be further used or applied in the future? Are there plans for the activities to be continued or for the experience gained to be shared?

The experience of this project, particularly the workshop process involving key stakeholders, is potentially a model for other countries to draw upon. In addition, the partnership between the Zambian government, in particular the NCP, and its implementing partner, the Small Arms Survey, demonstrates a useful case of mutually supportive components in committed national attempts to fulfill ATT requirements. While this experience was not actually shared, as planned, at the CSP7 in 2021, the NCP and the Small Arms Survey will consult on how lessons can be more widely shared, including at CSP8. A logical further step for the work of this project could also be for a follow-on project which would help build commitment to the actual implementation of the

eventual Conventional Arms Control Act.

## 2. Final expenditure report

Please complete the Worksheet titled 'input' in the VTF Expenditure Template – Final Report (Zambia) in Attachment 2

3. Certification

Please complete a separate certification for each consultant engaged to undertake the project activities that have been implemented.

For the purposes of this certification:

Grantee means Ministry of Defence of Zambia.

Consultant means Ms. Leah Mukuka.

I, Mr. Dominic Matale, being a person duly authorised by the Grantee hereby certify that:

1. The Consultant was engaged by the Grantee on or after the date the Grant Agreement was executed to deliver services to the Project.
2. The service provided by the Consultant to the Grantee has been completed in accordance with the Grant Agreement.
3. The amount paid by the Grantee to the Consultant for the provision of services to help implement the Grant project to date is USD 7,150.
4. I have attached the tax invoice provided to the Grantee by the Consultant for the provision of services for the Grant project to date.
5. I have attached a receipt from the Consultant confirming that the amount referred to in 3 above has been paid in full by the Grantee.
6. All the information I have provided to the ATT Secretariat (including the contents of this declaration) is complete, true and correct.
7. I am aware of the Grantee's obligations under their Grant Agreement, including the need to keep the ATT Secretariat informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
8. I am aware that the Grant Agreement empowers the ATT Secretariat to terminate the Grant Agreement and to request repayment of funds paid to the Grantee where the Grantee is in breach of the Grant Agreement.

Signed .....  ..... Date

ATT National Coordinator

Please submit this report and signed declaration to ATT Secretariat along with;

- A copy of the tax invoice issued to you by the Consultant for the provision of services
- Proof the Consultant was paid. This could be a receipt issued to you by the Consultant or a bank statement.





4. Certification

Please complete a separate certification for each consultant engaged to undertake the project activities that have been implemented.

For the purposes of this certification:

Grantee means Ministry of Defence of Zambia.

Consultant means Ms. Mariann Vidal-Mezey.

I, Mr. Dominic Matale, being a person duly authorised by the Grantee hereby certify that:

1. The Consultant was engaged by the Grantee on or after the date the Grant Agreement was executed to deliver services to the Project.
2. The service provided by the Consultant to the Grantee has been completed in accordance with the Grant Agreement.
3. The amount paid by the Grantee to the Consultant for the provision of services to help implement the Grant project to date is USD 5,850.
4. I have attached the tax invoice provided to the Grantee by the Consultant for the provision of services for the Grant project to date.
5. I have attached a receipt from the Consultant confirming that the amount referred to in 3 above has been paid in full by the Grantee.
6. All the information I have provided to the ATT Secretariat (including the contents of this declaration) is complete, true and correct.
7. I am aware of the Grantee's obligations under their Grant Agreement, including the need to keep the ATT Secretariat informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
8. I am aware that the Grant Agreement empowers the ATT Secretariat to terminate the Grant Agreement and to request repayment of funds paid to the Grantee where the Grantee is in breach of the Grant Agreement.

Signed .....  ..... Date

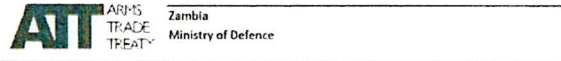
ATT National Coordinator

Please submit this report and signed declaration to ATT Secretariat along with;

- A copy of the tax invoice issued to you by the Consultant for the provision of services
- Proof the Consultant was paid. This could be a receipt issued to you by the Consultant or a bank statement.



# ATT Final Expenditure Report



Project No.	ATT-VTF-G2020.002ZMB / SAS REF 4152	
Reporting period	01 Dec 2020 - 30 Nov 2021	
Local Currency Code	CHF	
	Grant Received USD (1st instalment)	44'432.00
	Grant Received USD (2nd instalment)	38'211.00

<https://www.oanda.com/currency/converter/>

Click above first cell for exchange rate site

Accounting Details		General Details		Total budget	Actual spend to date**			Balance of budget available	Balance of funds received
Budget Line	Ref. N'	Description 1	Description 2 - Receipt or Invoice No. - Date*	USD	Local Amount	Rate	USD	USD	USD
Personnel costs	1	SAS Senior Researcher (Act 1-15 days; Act 3-6 days; Act 4-6 days; Act 6-5 days)	Please refer to piece 154472, 155288, 151231, 152290, 153685, 155754, 155971, 157140, 157795, 158438, 158970	25'600.00	22'299.36	1.0919	24'348.57	1'251.43	58'294.43
	2	SAS Researcher (Act 1-12 days; Act 2-10 days; Act 3-6 days; Act 4-2 days)	Please refer to piece 151231, 151532, 136287, 137061, 137062, 154472, 155284, 155288, 138705, 155754, 155971, 155990, 141499	18'000.00	17'816.90	1.0919	19'454.16	-1'454.16	38'840.27
	3	SAS Administrative Support (Act 2-8 days)	Please refer to piece 154472, 155288, 151231, 153685	3'600.00	3'904.43	1.0919	4'263.23	-663.23	34'577.04
	4	SAS Grant Management Officer (VTF reporting requirements)	Please refer to piece 151231, 154472, 155971, 157795	1'600.00	1'531.52	1.0919	1'672.27	-72.27	32'904.77
	5	Consultant (Act 1-8 days; Act 3-6 days; Act 4-6 days)	Please refer to piece 138016, 154820, 136923, 137233, 137908, 155284, 156057	14'000.00	12'638.95	1.0919	13'800.40	199.60	19'104.37
Travel costs	6	Travel to Livingstone from Lusaka for 15 people for Activity 3	Please refer to piece 150875, 154820, 135668, 136770	6'000.00	5'380.06	1.0919	5'874.46	125.54	13'229.91
	7	Accommodation, breakfast, dinner, tourism fee, and allowances for 15 people for 4 nights in Livingstone for Activity 3	Please refer to piece 135666, 150875	10'200.00	3'869.41	1.0919	4'224.99	5'975.01	9'004.92
Operating Costs	8	Venue hire in Livingstone for 3 days (including equipment hire costs) for Activity 3	Please refer to piece 136812, 154820, 135666, 136781	2'100.00	2'631.49	1.0919	2'873.31	-773.31	6'131.61
	9	3-day conference package for 15 people in Livingstone (lunch and tea/coffee) for Activity 3	Please refer to piece 135666	1'800.00	570.10	1.0919	622.49	1'177.51	5'509.12
	10	Annual licence for Zoom Meetings Pro		150.00	-	1.0919	-	150.00	5'509.12
	11								5'509.12
	12								5'509.12
									5'509.12
		<b>Overhead</b>	7%	5'813.50	4'944.96		5'399.37	414.13	
				88'863.50	75'587.18		82'533.25	6'330.25	

Signature: M. Cargill  
Head of Research Projects

Date: 31.03.2022

*[Handwritten Signature]*  
D. MATALE  
S. A. DUTKA  
HEAD: ATT SEC. 22/06/22

Date: 31.03.2022




**RECONCILIATION**  
**ZAMBIA-ATT.VTF.G2019.013ZMB**  
**2019**


Description	Total budget	Actual spend (Interim Report)	Actual spend (Final Report)	Actual spend (Total)	Balance of budget available	Balance of funds received	% of over- or under-spend	Comments
<b>Personnel costs</b>	<b>USD</b>	<b>USD</b>	<b>USD</b>	<b>USD</b>	<b>USD</b>	<b>USD</b>		
SAS Senior Researcher (Act 1-15 days; Act 3-6 days; Act 4-6 days; Act 6-5 days)	25600.00	17050.69	7297.88	24348.57	1251.43	58294.43	95%	
SAS Researcher (Act 1-12 days; Act 2-10 days; Act 3-6 days; Act 4-2 days)	18000.00	13434.41	6019.79	19454.20	-1454.20	38840.23	108%	
SAS Administrative Support (Act 2-8 days)	3600.00	4263.23	0.00	4263.23	-663.23	34577.00	118%	
SAS Grant Management Officer (VTF reporting requirements)	1600.00	868.76	803.50	1672.26	-72.26	32904.74	105%	
Consultant (Act 1-8 days; Act 3-6 days; Act 4-6 days)	14000.00	14140.87	-340.46	13800.41	199.59	19104.33	99%	
<b>Travel costs</b>								
Travel to Livingstone from Lusaka for 15 people for Activity 3	6000.00	5874.46	0.00	5874.46	125.54	13229.87	98%	
Accommodation, breakfast, dinner, tourism fee, and allowances for 15 people for 4 nights in Livingstone for Activity 3	10200.00	4224.99	0.00	4224.99	5975.01	9004.88	41%	This came to less than anticipated in the original budget only because of the deal that the Survey got with the conference centre.
<b>Operating Costs</b>								
Venue hire in Livingstone for 3 days (including equipment hire costs) for Activity 3	2100.00	2873.31	0.00	2873.31	-773.31	6131.57	137%	This is due to the fact that additional equipment had to be arranged in order for the conference centre to be able to manage the "hybrid" nature of the meeting. The Survey contracted a local company to provide an extra projector, extra laptops for group work, and for a technician to manage it all.
3-day conference package for 15 people in Livingstone (lunch and tea/coffee) for Activity 3	1800.00	622.49	0.00	622.49	1177.51	5509.08	35%	This underspend was due to the favourable negotiated package with the conference centre.
Annual licence for Zoom Meetings Pro	150.00			0.00	150.00	5509.08	0%	Was not charged as other projects covered the annual license costs.
<b>Total Direct Costs</b>	<b>83050</b>	<b>63353</b>	<b>13781</b>	<b>77134</b>	<b>5916</b>			
<b>Total Indirect Support Costs - 7%</b>	<b>5814</b>	<b>4435</b>	<b>965</b>	<b>5399</b>				
<b>Total</b>	<b>88864</b>	<b>67788</b>	<b>14745</b>	<b>82533</b>				


Amount of 1st installment 44432  
 Amount of 2nd installment 38211  
 Amount of 3rd installment  
 Balance owing to VTF 110

Small Arms Survey

Zambia NPC

  
 Henri Wacongne  
 25.05.2022

  
 Dominique Matala  
 26.05.2022

  
 S.S. SHAMA  
 HEAD: ATT SEC.  
 22/06/22

