

## 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. For your information, a model Grant Application Form can be found [here](#).

### Project Overview

2. This overview section should be completed just before submitting the Grant Application Form as it includes a copy of the information provided in other sections of the Form.

### Section 1 – Applicant State(s)

#### 1.1 Name of Applicant State

3. The name of the State that is making the application should be included here.
4. 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 1.3 ‘*Is this a joint Application with another State?*’ .

#### 1.2 Government department or agency with primary responsibility for implementing the project

5. The Government department, ministry or agency (**division, directorate or unit**) of the State that is applying for VTF funding should be inserted here. Complete the name of Bureau, Committee, Commission with the name of Government department or agency.

*Example 1 : Strategic Trade Directorate, Ministry of Foreign Affairs.*

*Example 2: Commission of Small Arms and Light Weapons, President’s Office*

6. If more than one Government department or agency of the State is involved in implementing the project, the name of the Government department or agency with the main responsibility for implementing the project should be listed here.

#### 1.3 Is this a joint Application with another State?

7. Where an application for funding is being submitted jointly, by more than one State, it should indicate ‘yes’. *Note: This is different from having one lead country and multiple BENEFICIARY countries. In this case, an applicant should indicate ‘no’ and list beneficiaries in the section 2.2. See para 14 for further explanation.*

8. 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 1 (Contact Persons).
9. ***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 final section: Applicant State(s) Signature).***
10. If the application is being submitted by only the applicant State; it should indicate 'no'.

## Section 2 – Beneficiary State(s)

### 2.1 Will other States benefit from the project e.g. through their participation in a regional meeting?

11. If the proposed project is intended to benefit more than one State, for example, if it includes a regional conference or workshop, it should indicate 'yes'.
12. If the proposed project is intended to benefit only the applicant State, it should indicate 'no'.

### 2.2 If yes to 2.1, please list those State(s) this project is intended to benefit

13. 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.
14. **\*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 3 – Contact Persons

### Primary Contact Person

15. 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 day-to-day responsibilities 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).

16. The Primary Contact Person must be an employee of the implementing Government department or agency identified in Section 1 of the Grant Application Form.
17. 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

18. 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.
19. The Secondary Contact Person may be an employee of the implementing Government department or agency 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 4 – Project Implementing Partner(s)

### 4.1 Are you engaging an Implementing Partner e.g., NGO or regional organisation?

20. 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'.
21. If the applicant State intends to implement the proposed project without assistance from an external organisation or entity, it should indicate 'no'.
22. **\*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.

### 4.2 Name of Implementing Partner

23. 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.

### 4.3 What role(s) will the Implementing Partner perform?

24. 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.

#### 4.4 Will the Implementing Partner receive the funds directly from the VTF?

25. 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.
26. 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. When considering who should receive the VTF funds, please consider whether a government agency or an implementing partner would be least affected by e.g. a policy of the Central Bank that imposes extra bank transfer fees in certain cases, such as the transfer or withdrawal of a foreign currency.

## Section 5 – ATT Status of Applicant State

### 5.1 ATT Status of Applicant State(s)

27. This field gives applicants the option to choose 'State Party', 'Signatory', or 'Neither' to indicate the applicant State's status with respect to the ATT.

### 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

28. 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.
29. 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 6 – Project Description

### 6.1 Project title

30. 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. For ease of reference, applicants are encouraged to include *the name of the State* applying for funds in the title of the project.

### 6.2 Start date

31. The date that the project will commence, should funding be granted, should be indicated here (but not earlier than *01 August*). 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.
32. Please also note that the outcome of the selection process for each VTF cycle is generally announced by mid-June following the deadline for applications, and contractual agreements with successful applicants are finalised and grants transferred by mid-July, at the earliest. Applicants should factor this into their considerations when estimating the Start Date of a proposed project.

### End date

33. The date by which the project will be completed, should funding be granted, should be indicated here (e.g., *31 August 2022*). Please note that unless agreed otherwise, all VTF projects shall have an implementation period of up to one year (12 months). Projects of longer duration may also be considered where there is a clear case for, or benefit from, a longer implementation period. Applicants should factor this into their considerations when estimating the End Date of a proposed project.

### 6.3 Project summary

34. A description of the project should be inserted here, including 2 - 3 sentences that identify the purpose and key outputs of the project.

### 6.4 Project aim

35. The applicant State should here describe what the project aims to achieve and how this will contribute to better implementation of the ATT. For example, *the aim of the project is to ensure that the government can establish and maintain a national control list in accordance with the provisions of ATT.*

### 6.5 Project Rationale

36. *The applicant State should here explain the reasons behind the project: why is the project needed, what problems the project is attempting to solve?*

## 6.6 Project beneficiaries

37. The applicant State should provide here a quantified description of individuals, group, institutions, agency, department or ministry that are expected to gain from the results of the projects. Please note that listing broad target groups that are not directly involved in or affected by Treaty implementation may weaken a project design.

## 6.7 Projects phases – activities- output and deliverables

38. Details of the phases of the project (including the duration and activities of each phase) 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 (one month) : organise workshop logistics including confirming venue and inviting participants; Phase II (two months): draft and prepare workshop training materials and confirm speakers and presenters; Output: training manual; Phase III (two months): hold workshop and deliver training; Output: 25 participants trained; Phase IV (one month): follow-up with participants to monitor the impact of the training. Each activity in each phase should have corresponding information in the Budget Form.
39. The breakdown of activities in each phase will be used at a later stage to design a feasible project plan and schedule. It is important to indicate the number of participants (including targeted organisations), events, days and places (town, countries) to ensure an accurate calculation of the budget. Please note that the number of staff or representatives of the project implementers that participate in any workshops or trainings should not exceed 20 % of the total number of participants.

## 6.8 Indicate the keys focus(es) of the project

40. 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'.

## 6.9 How does this project contribute to your strategy to advance Implementation of the ATT?

41. 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.

## 6.10 Please describe the expected impacts of the project as a whole?

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. Applicants are also encouraged to explain how the expected impacts of the project can be measured.

### 6.11 Please explain if (and how) gender considerations will be taken into account

43. The applicant State should use this section to describe and explain how gender 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.

### 6.12 Please describe any other relevant considerations as part of your overall project plan

44. The applicant should use this section to describe and explain how broader consideration and objectives have been incorporated into the planning of the project and its proposed implementation such as the United Nations' Sustainable Development Goals.

## Section 7 – Financial Information

### 7.1 Total budget (US\$)

45. The total estimated cost of the project should be included here and should correspond with the Total Budget figure in the VTF Budget Form.
46. **\*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 2 of the Grant Application Form (Beneficiary State(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.

### 7.2 Indicate the State's in-kind contribution to the project

47. 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.
48. **\*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 Budget Form. For example, a staff member or employee of the Government that is applying to the VTF cannot be listed as a consultant, trainer or expert to be paid under or by the project.

### 7.3 Are you providing any funding to the project?

49. 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.

#### 7.4 Are you seeking or receiving funding from any other State or Organisation for this project (i.e. co-funding)?

50. 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.
51. **\*Please note:** The VTF contribution to a co-funded project shall not exceed the budget cap of USD 100,000 except in instances where the project involves more than one State or a group of States.

#### 7.5 If yes to 7.4, from whom and what is the amount of the co-funding?

52. If the project is being part-funded from another source and the applicant State ticked 'yes' to section 7.4, the donor or other source of the funding should be indicated here as well as the amount of co-funding the applicant has or will receive.

### Section 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

53. If the applicant State has received funding for ATT-related projects in the past (e.g., from the ATT VTF, UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) or the EU-ATT Outreach Project), this should be indicated here by ticking 'yes'.

#### 8.2 If yes to 8.1, who provided the assistance, and in what year?

54. If the applicant State ticked 'yes' to section 8.1, the donors or other sources of funding for previous or ongoing ATT-related projects should be indicated here as well as the year(s) the assistance was given. The applicant State should also indicate the amount of funding the applicant received for past ATT-related projects.

#### 8.3 If yes to 8.1, please explain how that assistance relates to the project proposed in this application?

55. If the applicant State has received assistance for ATT-related projects in the past and ticked 'yes' to section 8.1, information on this assistance should be provided here including information on how past or ongoing ATT-related projects complement or overlap with the project that is the subject of the VTF application. 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.
56. 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 as well as an explanation for how the proposed VTF project fits with or relates to assistance already



received will help the VTF Selection Committee assess the application and avoid any potential duplication of funding.

## **Section 9 – Project Controls (Internal Control Mechanisms)**

### **9.1 What are the key risks associated with the project?**

57. 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 describe 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. Applicants also need to consider the risk of delays to the project caused by the COVID pandemic.

### **9.2 Please outline your risk management strategy?**

58. Applicants should describe how they intend to mitigate any risks identified with the project in this field, or minimise their impact. The strategy should correspond to the risks identified above. With respect to COVID, applicants should describe steps that will be taken to mitigate risks to the project associated with the pandemic, and should factor in the costs associated with implementing pandemic measures in their budgets (e.g. securing an online meeting platform as an alternative to in-person meetings, the procurement of masks and hand sanitizer etc.).

### **9.3 How will you manage the project during its lifecycle, including monitoring its progress?**

59. Applicants should describe how they intend to monitor 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. For example, applicants need to identify the body that will monitor the project, its composition, the means of communication and the frequency of the monitoring meetings.

### **9.4 How do you intend to evaluate the project?**

60. Applicants should include information on how they intend to evaluate the project and its impact. That is, they should include information on how they will determine and measure the success of the project and whether and to what extent it achieved its objectives (e.g. conduct pre- and post-workshop surveys to measure improvement of understanding following a capacity building workshop or training).

### **9.5 Do you commit to providing regular reports on progress to the ATT Secretariat?**

61. 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.

#### 9.6 Do you agree to being audited by the ATT Secretariat?

62. 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.

#### **Applicant State(s) Signature**

63. A representative of the applicant State that has authority to commit the State to international agreements and contracts must sign the Grant Application Form.
64. As indicated in paragraph 9 above, where an application for funding is being submitted jointly, by more than one State, all the States involved in the joint application for funding will need to demonstrate their involvement in the project and all correspondence, including by signing the Grant Application Form.

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