

This document contains an analysis of applications to the ATT Voluntary Trust Fund received in response the VTF 2018 Call for Proposals

ATT/VTF18/2018/SEC/299/AnalysisAppl2018

Analysis of applications to the 2018 VTF project cycle

(for information only)



ATT Secretariat 15 May 2018

Contents

List of Charts	2
1. Introduction.....	3
2. Analysis of proposals	3
2.1 Regional overview	3
2.2 ATT status	4
2.3 OECD-DAC analysis	4
2.4 Overview of Implementing Partners	4
2.5 Overview of Types of Assistance Requested	5
2.6 Overview of Project Duration.....	5
2.7 Other Funding.....	6
2.8 Status of Contributions.....	6
3. Comparison of Proposals Submitted to the 2017 and 2018 VTF Cycles	6

List of Charts

Chart 1. VTF Proposals Received: by Region

Chart 2. VTF Proposals Received: by Sub-region

Chart 3. VTF Proposals Shortlisted: by Partners

Chart 4. VTF Proposals Shortlisted: by Type of Assistance Requested

Chart 5. VTF Proposals Shortlisted: by Project Duration

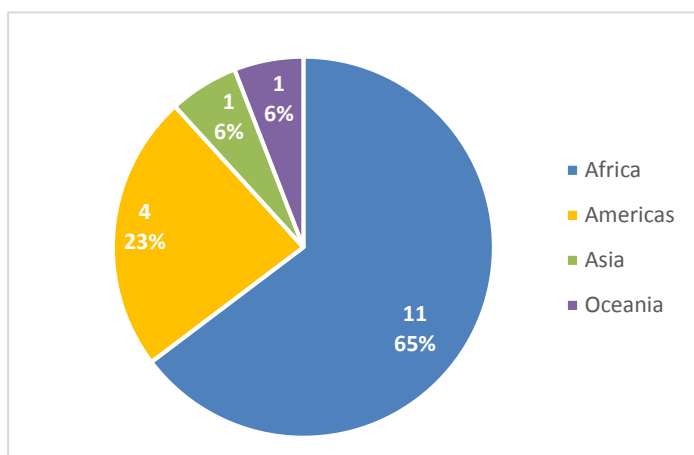
1. Introduction

1. The deadline for the submission of Voluntary Trust Fund (VTF) applications for the 2018 cycle was 24h00 Geneva, Switzerland time on 08 January 2018. By the closing date, the ATT Secretariat had received 23 x VTF proposals with a total budget of \$2,210,062 from 17 States.
2. Twenty-one (21) proposals from 15 States qualified to be shortlisted by the ATT Secretariat for consideration by the VTF Selection Committee following the completion of the ATT Secretariat's preliminary assessment of *all* VTF proposals received, against administrative considerations.
3. The following section of the report provides a statistical analysis of the regional breakdown of applications, the OECD-DAC status of shortlisted applicants, and the ATT status of applicants.

2. Analysis of proposals

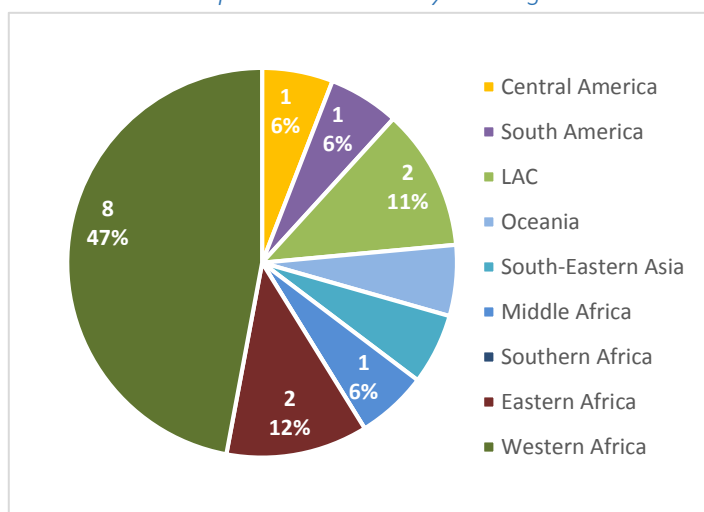
2.1 Regional overview

Chart 1. VTF Proposals Received: by Region



4. Chart 1 provides an overview of all VTF proposals *received* according to region. A total of 17 States were involved in submitting VTF applications. As illustrated by Chart 1, 11 of those States are from Africa (65% of States involved in an application).

Chart 2. VTF Proposals Received: by Sub-region



5. Chart 2 provides an overview of all VTF proposals *received* according to sub-regions. Eight (8) or 47% of the 17 States that were involved in submitting VTF applications are from Western Africa.

2.2 ATT status

6. Of the 15 States involved in the *shortlisted* VTF applications, all 15 (100%) are States Parties to the ATT.

2.3 OECD-DAC analysis

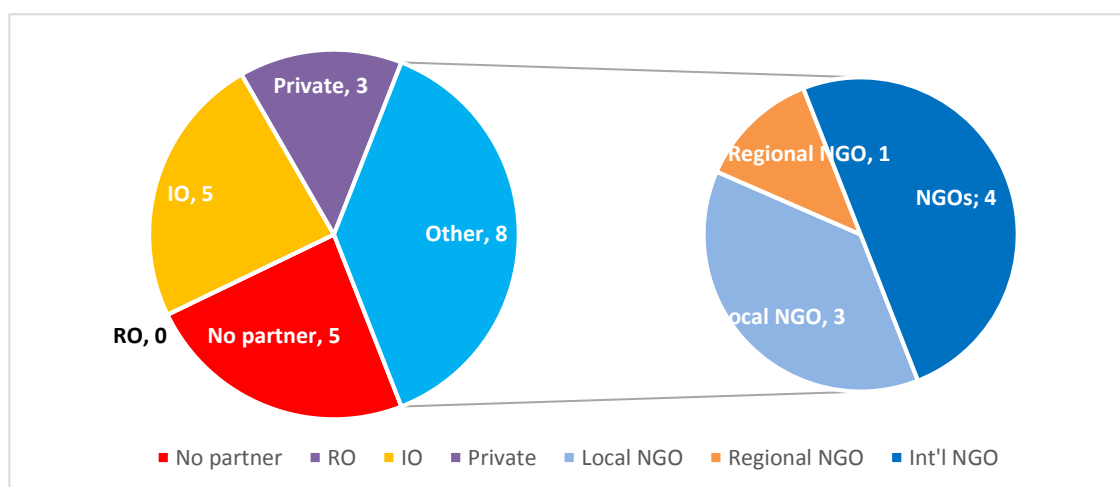
7. Some donors to the VTF have stipulated that their contribution can only be allocated to VTF proposals where the applicant is on the list of official development assistance (ODA) recipients established by the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) ('OECD DAC List of ODA Recipients'). The Secretariat undertook an analysis of the 15 States involved in shortlisted VTF applications to assess their ODA recipient status.

8. All of the shortlisted applicants appear on the [DAC List of ODA Recipients](#) for 2018-2020.

2.4 Overview of Implementing Partners

9. As noted in the eligibility criteria of the VTF Terms of Reference, '*Assistance projects required by requesting States may be implemented by or in conjunction with UN agencies, international or regional organisations, civil society organisations or other competent bodies*'. Many applicant States nominated an implementing partner in their proposals. Chart 3 provides an overview of the types of implementing partners selected.

Chart 3. VTF Proposals Shortlisted: by Partners



10. Of the 21 x projects shortlisted for consideration by the VTF Selection Committee, none involve a regional organisation as the implementing partner; five (5) involve an international organisation as an implementing partner; three (3) involve a private entity (such as a local law firm or consulting agency); eight (8) involve a non-governmental organisation (NGO) as an implementing partner; and in five (5) projects, *no* implementing partner is involved.

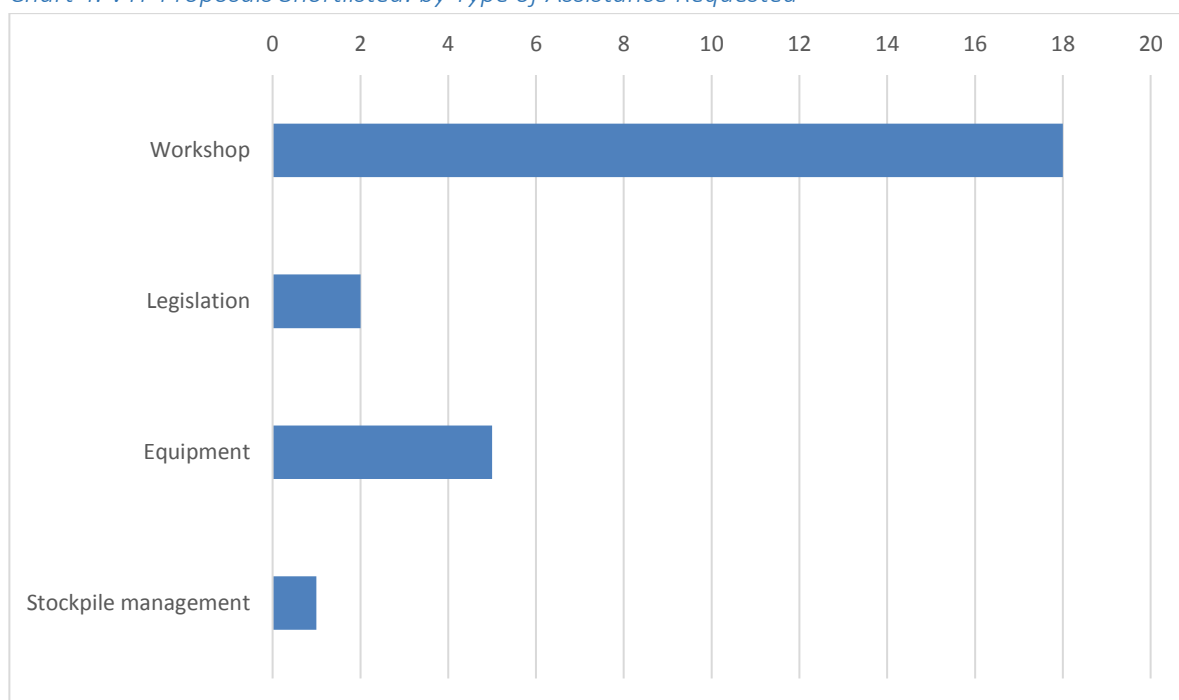
11. Of the 8 x projects involving NGOs as implementing partners, three (3) involve local NGOs (i.e. NGOs active and operational in the applicant State); one (1) involves a regional NGO (i.e. an NGO that operates in the region or sub-region, but which may not be located in the applicant State); and four (4) involve international NGOs (i.e. NGOs that operate internationally and are not tied to any specific region).

2.5 Overview of Types of Assistance Requested

12. The project proposals shortlisted for consideration by the VTF Selection Committee include several different types of assistance, ranging from training workshops or awareness raising workshops; revision of existing legislation; building the capacity of national authorities; purchasing equipment such as marking machine to help prevent diversion; etc.

13. Most project proposals involve more than one type of assistance (e.g. a workshop and a review of existing legislation). Chart 4 provides an overview of the frequency with which the different types of assistance are requested in the 21 x project proposals shortlisted for consideration by the VTF Selection Committee. It illustrates that the majority of project proposals – 18 – include a workshop of some kind, while at least two (2) include the review and/or development of national legislation and five (5) include requests to purchase equipment (such as marking equipment and data storage equipment).

Chart 4. VTF Proposals Shortlisted: by Type of Assistance Requested

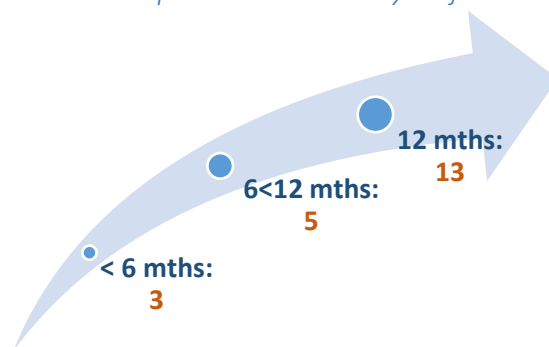


14. With respect to the proposals that include workshops of some kind, thirteen (13) exclusively or *only* involve a workshop or workshops; twelve (12) of these involve national workshops, while only one (1) involves a regional workshop.

2.6 Overview of Project Duration

15. As noted in the VTF Administrative Rules (paragraph 49), VTF projects shall have an implementation period of one year. Of the 21 x project proposals shortlisted for consideration by the VTF Selection Committee, 13 have indicated an implementation period of at least one year; five (5) have indicated an implementation period of between 6 and 12 months; and the remaining three (3) have indicated an implementation period of less than 6 months. Chart 5 provides a summary.

Chart 5. VTF Proposals Shortlisted: by Project Duration



2.7 Other Funding

16. The VTF Terms of Reference note that ‘Overlap/duplication with projects funded by UNSCAR, by States Parties on a bilateral basis or through other channels, shall be avoided’. Accordingly, the Secretariat liaised with UNSCAR’s administration to identify possible overlaps with past or current UNSCAR-funded projects. No overlaps were identified.

17. The Secretariat also liaised with the implementing partner for the EU ATT Outreach Project (the Federal Office for Economic Affairs and Export Control (BAFA)) to determine whether there is any duplication with projects currently or previously funded by the EU. Potential duplication was identified, and clarification is being sought with the relevant applicants.

2.8 Status of Contributions

18. The VTF Selection Committee has agreed that the status of an applicant State’s financial contributions to the ATT Secretariat will be a consideration in assessing its application as of the 2019 VTF project cycle. Though not yet applicable as a consideration, the ATT Secretariat prepared an overview of the status of financial contributions among the shortlisted VTF applicants for VTF Selection Committee’s information. In summary, to date, only one (1) applicant has paid its contributions in full. Four (4) of shortlisted applicants are in arrears for 2 years, and seven (7) are in arrears for 3 years. The remaining three (3) applicants have not yet paid their 2018 financial contributions that were due on the 31 January 2018.

3. Comparison of Proposals Submitted to the 2017 and 2018 VTF Cycles

19. The VTF is only in its second year of operation, and so it is too early to start to speak of ‘trends’ in the nature of applicants or projects participating in the VTF. Nevertheless, in three to four years it may be possible to observe ‘patterns’ that may help to inform the VTF Selection Committee of the direction the VTF should go.

20. In the meantime, the ATT Secretariat has prepared the following comparisons and observations regarding the proposals submitted to the 2017 and 2018 VTF cycles to provide examples and food-for-thought regarding the types of information that could be usefully analysed and compared in the future:

- More proposals were submitted to the VTF cycle in 2018 than in 2017. In 2017, the ATT Secretariat received 21 applications and shortlisted 18; in 2018, 23 applications were received and 21 have been shortlisted.

- Fewer non-States Parties applied to the VTF in 2018 than in 2017. In 2017, of the 19 States that applied, 13 were States Parties, 5 were Signatories, and one had not yet joined the Treaty. In 2018, of the 17 States that applied, 15 are States Parties, and two are Signatories (neither of which has been shortlisted).
- Three (3) States that were approved for funding in 2017 have reapplied in 2018.
- The ratio of applications from the different regions is similar to the 2017 cycle:

2017			
Africa	Americas	Asia	Oceania
13	3	1	2

2018			
Africa	Americas	Asia	Oceania
11	4	1	1

- A larger proportion of applications to the 2018 cycle involve requests for equipment (such as equipment for marking, data storage, and destruction). In 2017, only one project involved the purchase of equipment (a laser marking machine), while in 2018, five (5) shortlisted proposals involve a request for equipment.
- Conversely, fewer projects in the 2018 cycle involve legislative gap analyses or the development of national control lists.
- There is also an increase in the number of projects involving international organisations (specifically UNODA regional offices) as implementing partners. In the 2017 cycle, three (3) projects involved UN agencies as an implementing partner. In the 2018 cycle, five (5) do.
