

Arms Trade Treaty Voluntary Trust Fund

FINAL REPORT

Zambia (1)

Project No.: ATT.VTF.G2019.0013ZMB

30.09.2020

A decorative graphic in the bottom right corner of the page, consisting of a grid of yellow squares of varying sizes, creating a textured, brush-like effect.

Arms Trade Treaty Voluntary Trust Fund - Final Report

Project Number	ATT.VTF.0013ZMB
Grantee name	Ministry of Defence
Project title	Building Capacity to Establish and Maintain Zambia's National Control List
Grant Amount	USD\$ 48.000
Final Report submission date	30.09.2020
Period covered under this report (MM/DD/YY – MM/DD/YY)	01.02.2020-30.06.2020

1. Project activities and outcomes

a Describe the project outcomes.

Relevant stakeholders in the Republic of Zambia are aware of their responsibilities and options for establishing and maintaining a national control list to fulfil obligations in accordance with Article 5 of the ATT.

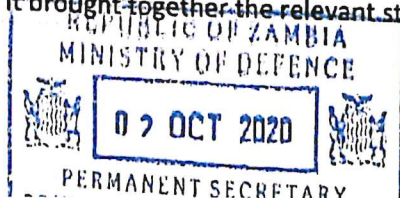
A draft national control list of military goods has been prepared and is ready for adoption as a schedule to be attached to the National Conventional Arms Control Act, which is in preparation.

The project complemented the efforts of the European Union Arms Trade Treaty Outreach Project (EU ATT OP) thanks to excellent coordination and efforts to prevent duplication of activities.

The Republic of Zambia shared the results of the experience of preparing a national control list to fulfil obligations in accordance with Article 5 of the ATT with other states parties, signatories, observers and interested stakeholders via an intervention during the first preparatory committee meeting for the sixth conference of states parties to the ATT (ATT CSP6) and the dissemination at the meeting in February 2020 of a written "lessons learned document on Zambia's experience of establishing a national control list".

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

The preparatory consultations between the Small Arms Survey and the Republic of Zambia's ATT point of contact enabled the design and delivery of the "Workshop to build capacity to establish and maintain Zambia's ATT national control list", which took place in Lusaka during 6-8 November 2019. It brought together the relevant stakeholders needed to draft Zambia's national control list.



The national control list had been identified during the implementation of the EU ATT OP roadmap as a key "missing" element of the Republic of Zambia's regulatory framework for effectively implementing the ATT. As a result of the workshop, a draft national control list is ready for adoption and two clear options were identified for adopting the control list: 1) include the national control list of military goods as a new schedule in an amended Anti-Terrorism and Non-Proliferation Act and/or 2) include the national control list of military goods as a schedule for the National Conventional Arms Control Act, which is under preparation. The Republic of Zambia has determined that the national control list of military goods will be attached as a schedule to the National Conventional Arms Control Act

c List all States that benefitted from the project.

Republic of Zambia. States that participated in the February 2020 preparatory committee meeting for the sixth conference of states parties to the ATT (ATT CSP6).

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

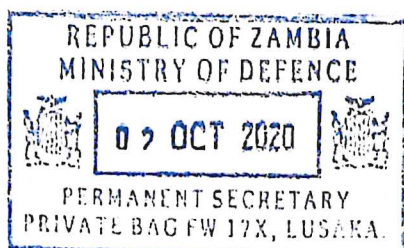
Yes No

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

Yes, all project activities were completed. The main problems and difficulties for project implementation related to the requirements of the ATT Secretariat's interim report, as not all payments had been recorded by the reporting deadline and the Small Arms Survey did not expect such an intrusive and time-consuming process for an interim report.

The Small Arms Survey appreciates the flexibility of the ATT Secretariat regarding the submission of the final report. The date for submission set by the ATT Secretariat does not allow the Small Arms Survey to report on all expenses for the second quarter of 2020.

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).



A handwritten signature in black ink, appearing to read "D. Matale".

D. MATALE

What recommendations would you make in this regard?

The ATT Secretariat should reconsider the administrative burden for implementing partners for projects that are of a relatively small-scale.

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 enabled the Republic of Zambia to prepare a national control list to fulfill its ATT obligations. The Small Arms Survey project team presented a series of options for key stakeholders in the Republic of Zambia to implement ATT provisions regarding the national control list, as well as a range of international good practices to be considered. This project has therefore been very relevant for the Republic of Zambia's efforts to effectively implement 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"/>

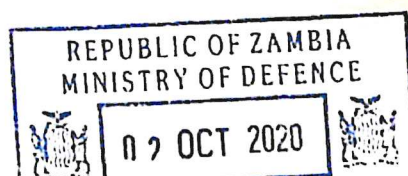
Explain your answer:

The materials prepared by the Small Arms Survey project team for the ATT VTF workshop, which was organized back-to-back with an EU ATT OP workshop on the identification of items to be included on national control lists, provided very effective for enabling the Republic of Zambia to prepare a draft national control list to fulfill ATT obligations. The project built the necessary capacity and provided sufficient technical knowledge to fulfil the aim of ensuring that the government of the Republic of Zambia can establish and maintain a national control list in accordance with the provisions of the ATT.

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:



[Handwritten signature]

D. MATALE

As shown by the final financial report, the project's outputs and outcomes have been delivered in accordance with the project schedule and for a total that is just above the projected expenditure. The difference of USD 80.39 is covered by the Small Arms Survey. The additional costs for project implementation are because of unplanned time spent on responding to ATT Secretariat requests for additional information and grant management processes.

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).

The expected impact of the project was that "Zambia will have the necessary capacity and procedures in place to establish and maintain a national control list that complies with ATT provisions".

The project has helped to increase the knowledge of key stakeholders in the Republic of Zambia on ATT obligations regarding items to be included in the national control list, as well as good international practices with regards to establishing and maintaining a national control list.

As a result of the workshop, the Republic of Zambia has prepared a draft national control list of military goods to be attached as a schedule for the National Conventional Arms Control Act (being drafted during in 2020-21).

The workshop also provided a space for discussion on further work to be undertaken within the Republic of Zambia to determine items to be included in the national control list of military goods that are not currently reflected in multilateral control lists. Therefore, the workshop not only enabled the Republic of Zambia to establish a national control list but laid the foundations for further work to maintain and develop the control list in accordance with national security policy interests.

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

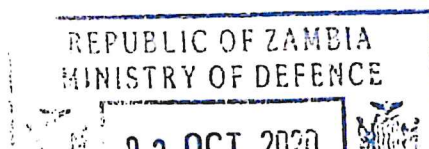
Not sustainable at all	Not very sustainable	Moderately sustainable	Sustainable	Very sustainable
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Explain your answer:

As noted above, the project has provided knowledge and tools that will be utilized by the Republic of Zambia to put in place a national control list of military goods that fulfills ATT Article 5 obligations.

Key stakeholders in the Republic of Zambia will undertake additional work in the coming years to ensure that the national control list of military goods meets the national security needs of the Republic of Zambia.

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?

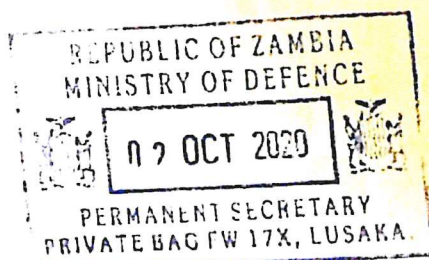


The national control list of military goods will be attached as a schedule to the National Conventional Arms Control Act – the Republic of Zambia has applied for VTF support to finalize the Act and related regulations and schedules. Therefore, the work for the 2019-2020 VTF project will be utilized for the 2020-2021 VTF project.

The experience of establishing a national control list of military goods has been shared with other states and interested stakeholders via interventions during the first prepcom for CSP6 and a written “lessons learned document on Zambia’s experience of establishing a national control list”. It will also be shared via outreach activities with other states seeking to put in place a national control list to implement the ATT.

2. Final expenditure report

Please complete the Worksheet titled ‘input’ in the VTF Expenditure Template – Final Report (Zambia (1)) in Attachment 2.



D. MATALE

ATT Final Expenditure Report

INSTRUCTIONS

- 1) Complete all pink fields only.
- 2) Print, sign, scan and email expenditure report to trustfund@theafricastrade treaty.org along with the electronic version.
- 3) All original receipts should be chronologically numbered according to the reference number in this report. Copies of all receipts should be emailed with the expenditure report. Original receipts must also be sent to the ATT Secretariat.

Project No.	ATT/VTE-670319-001/ZAMB (SAS REF 4137)
Reporting period	08.07.2019-30.06.2020
Local Currency Code	CHF
Grant Received USD (1st instalment)	24'000.00
Grant Received USD (2nd instalment)	20'640.00
Grant Received USD (Total)	44'640.00

<https://www.oanda.com/currency/converter/>
Click here first cell for exchange rate site

Posting Date	Project code	Budget Line	Ref. N°	Description 1	Description 2 - Receipt or Invoice No. - Date*	Total budget		Actual spend to date**		Balance of funds available		Balance of funds received	
						USD	CHF	USD	CHF	USD	CHF	USD	CHF
		Staff	1	SAS Administrative Support (Act. 1. 6 days; Act. 3. 5 days)	Please refer to piece 140081, 142472, 145887	4'950.00	6'268.51	1.0170	6'374.85	-1'424.85		38'265.15	
			2	SAS Senior Researcher (Act. 2. 6 days; Act. 3. 8 days; Act. 5. 2 days)	Please refer to piece 142472, 140081, 145887, 147234	11'200.00	13'935.09	1.0170	14'171.48	-2'971.48		24'093.67	
			3	Editor (Act. 2. 2 days; Act. 5. 1 day)	Please refer to piece 129190, 143112, 146072, 131460, 144755, 147234	2'100.00	2'087.85	1.0170	2'123.27	-23.27		21'970.40	
		Consultant	4	Consultant (Act. 2. 6 days; Act. 3. 8 days; Act. 5. 1 day)	Please refer to piece 125977, 127360	10'500.00	10'482.14	1.0170	10'659.95	-159.95		11'910.45	
		Travel Costs	5	Travel from Europe to Zambia for Activity 3 (Flight, insurance, visa, local transportation to/from airport)	Please refer to piece 140936, 141430, 141892, 125878, 125885, 125977, 126907, 127360, 146444, 146446	6'600.00	6'613.89	1.0170	6'736.08	-126.08		4'584.37	
			6	Accommodation, including breakfast and dinner, for 5 nights in Lusaka, Zambia, for 3 people for Activity 3	Please refer to piece 127371, 141892, 126815, 126907, 127360	3'750.00	2'549.34	1.0170	2'592.59	1'157.41		1'991.78	
		Operating Costs	7	Venue hire in Lusaka for 3 days (including equipment hire costs) for Activity 3	Please refer to piece 127371	3'000.00	393.50	1.0170	400.18	2'599.82		1'591.60	
			8	3 day conference package for 23 people in Lusaka (lunch and tea/coffee) for Activity 3	Please refer to piece 125151, 141892	2'760.00	1'955.26	1.0170	1'986.73	873.27		-255.13	
				TOTAL DIRECT COSTS		44'860.00	44'185.58		44'935.13	-75.13			
				OVERHEADS 7%		3'140.20	3'092.99		3'165.46	-5.26			
				GRAND TOTAL		48'000.20	47'278.57		48'000.59	-80.39			

* Description 2 - Receipt or Invoice No. - Date: include information on the date of the receipt received, as well as the receipt number. Also include additional information e.g. if the budget line item relates to an airfare, include the airline that issued the ticket, the departure city and arrival city etc.
**Actual spend to date: insert the actual amount spent on the budget item. If the item was paid for in local currency, insert the figure in the column headed 'Local amount', and it will automatically be calculated in USD. If the item was paid for in USD, enter the figure in the column headed 'USD'.

Signature:  Henri Wacogne
Head of Accounting

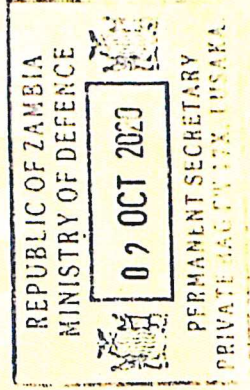
Date: 23.09.20

Date: 01/10/20

DOMINIC MATALE

HEAS: ATT SECRETARIAT

 approved
10 Nov. 2020



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
	USD	USD	USD	USD	USD	USD	
Personnel costs							
Staff							
SAS Administrative Support	4'950.00	4'959.37	1'415.48	6'374.85	1'424.85	38'265.15	129%
SAS Senior Researcher Editor	11'200.00	11'217.78	2'953.70	14'171.48	2'971.48	24'093.67	127%
	2'100.00	65.12	2'058.15	2'123.27	23.27	21'970.40	101%
Consultant							
Consultant	10'500.00	10'499.99	159.96	10'659.95	159.95	11'310.45	102%
Travel costs							
Travel from Europe to Zambia for Activity 3	6'600.00	6'153.45	572.63	6'726.08	126.08	4'584.37	102%
Accommodation for Activity 3	3'750.00	2'553.68	38.91	2'592.59	1'157.41	1'991.78	69%
Operating Costs							
Venue hire in Lusaka for 3 days for Activity 3	3'000.00	394.17	6.01	400.18	2'599.82	1'591.60	13%
3 day conference package for Activity 3	2'760.00	1'858.42	28.31	1'886.73	873.27	295.13	68%
						295.13	
Total Direct Costs	44'860.00	37'701.98	7'233.15	44'935.13	75.13	295.13	100%
Total Indirect Support Costs - 7%	3'140.20	2'639.14	506.32	3'145.46	5.26	3'440.59	100%
Total	48'000.20	40'341.12	7'739.47	48'080.59	80.39	3'440.59	100%

Amount of 1st installment
Amount of 2nd installment
Amount of 3rd installment


Luigi De Martino

Balance owing to VTF



Head, Grant Management and Fundraising
Small Arms Survey 6.11.2020