

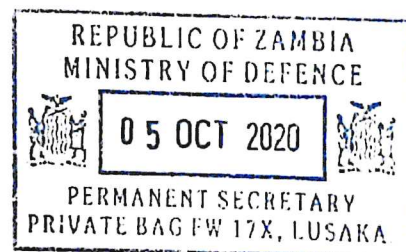
Arms Trade Treaty Voluntary Trust Fund

FINAL REPORT

Zambia (2)

Project No.: ATT.VTF.G2019. 0014ZMB

30.09.2020



Arms Trade Treaty Voluntary Trust Fund - Final Report

Project Number	ATT.VTF.0014ZMB
Grantee name	Ministry of Defence
Project title	Building Capacity to fulfil Zambia's reporting obligations
Grant Amount	USD\$ 76.933
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.

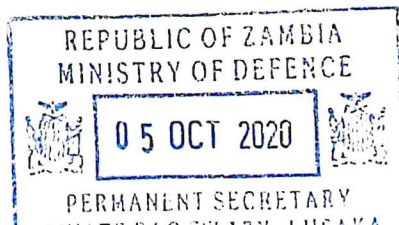
Relevant stakeholders in the Republic of Zambia are aware of their responsibilities and options for submitting an initial report on measures to implement the ATT and procedures to ensure the timely submission of annual reports on exports and imports of conventional arms in accordance with obligations contained in Article 13 of the ATT.

The workshop and process for preparing the initial report enabled key stakeholders to identify gaps in the national transfer control system and helped to prioritise next steps to effectively and comprehensively implement the ATT.

The Republic of Zambia submitted to the ATT Secretariat an initial report on measures to implement the ATT in February 2020. The submitted report is based on the draft initial report prepared during the workshop to prepare Zambia's initial report, which took place during 14-16 October 2019 in Lusaka, Zambia and was finalized following consultations and briefings with other relevant stakeholders.

The Republic of Zambia shared the results of the experience of preparing an initial report on measures to implement the ATT in accordance with Article 13 of the ATT with other states parties, signatories, observers and interested stakeholders via interventions during the first preparatory committee meeting for the sixth conference of states parties to the ATT (ATT CSP6). A written "lessons learned document on Zambia's experience of preparing an initial report" was also made available at this meeting in February 2020.

The Republic of Zambia has adopted a "national procedures document for the preparation of the Republic of Zambia's ATT annual report". The document outlines sources of information for the



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compilation of the ATT report; contains a calendar for preparing and submitting the ATT annual report indicating which ministries and agencies are responsible for providing information and when; and information on what is to be contained in the ATT annual report. The Republic of Zambia intended to share this document with other states parties, signatories, observers and interested stakeholders during CSP6. It will be made available during the CSP7 meeting cycle. The Republic of Zambia will also make available the "lessons learned document on the Republic of Zambia's experience of building capacity to fulfil its ATT annual reporting obligations".

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 prepare Zambia's initial report, which took place in Lusaka during 14-16 October 2019. The workshop brought together the relevant stakeholders needed to draft Zambia's ATT initial report (with the exception of the Ministry of Foreign Affairs, as the relevant personnel were in New York for First Committee). The workshop raised awareness of the purposes and importance of the initial report and the Small Arms Survey facilitated the preparation of a draft initial report on measures to implement the ATT. This draft ATT initial report was subsequently reviewed by relevant stakeholders that were not present at the workshop, in particular Ministry of Foreign Affairs officials, before it was submitted to the ATT Secretariat in February 2020.

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 fulfill the Republic of Zambia's ATT annual reporting obligations, which took place in Livingstone during 13-14 February 2020. It brought together the relevant stakeholders needed to draft a national procedures document for the preparation of the Republic of Zambia's ATT annual report. Participants remarked that the process for drafting this document, and the final product, represents a good practice model for enabling the Republic of Zambia to fulfil its multiple international disarmament and non-proliferation reporting obligations and commitments. The practical Zambia-specific guidance provided in the document provides a roadmap for enabling the Republic of Zambia to submit an ATT annual report in 2021.

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).

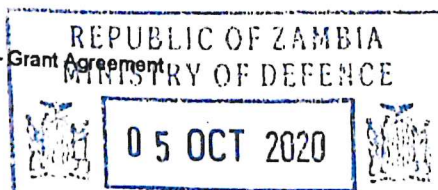
d Were all the project activities as specified in the Project Schedule (see Annex G) completed?

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 dates for the workshops were adjusted slightly, but with no detrimental impact on delivery within the project timeline.

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



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interim report.

The Small Arms Survey appreciates the flexibility of the ATT Secretariat regarding the submission of the final report. As before, 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).

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 an initial report on measures to implement the ATT that fulfilled its ATT obligations. The process and the submitted ATT initial report also clearly revealed areas in which the Republic of Zambia needs to undertake further work to effectively implement the ATT.

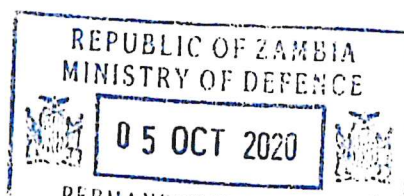
The "national procedures document for the preparation of the Republic of Zambia's ATT annual report" provides clear instruction for the Republic of Zambia to be able to fulfill its annual reporting obligation under the ATT. The workshop and the document helped to raise awareness among all relevant stakeholders in the process for preparing and submitting an annual report.


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 project built the necessary capacity and provided sufficient technical knowledge to fulfil the aims of (a) building necessary capacity to compile and submit an initial report on measures to implement the ATT; and (b) put in place the necessary capacity and procedure to compile and




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submit its ATT annual reports in a timely fashion in accordance with Article 13 of the ATT. The results of this experience were shared with other states parties, signatories, observers and interested stakeholders via interventions during the first preparatory committee meeting for the sixth conference of states parties to the ATT (ATT CSP6) in February 2020.

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:

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 below the projected expenditure. The difference between actual spending and the budget proposal is USD 2,594.58, due in large part to the good deals with the venues for both workshops. The actual spending could have been lower but for unplanned additional costs for project implementation as a result of 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 sustainable capacity and agreed inter-agency procedures in place to fulfil its reporting obligations under Article 13 of the ATT in order to (1) submit an initial report on measures undertaken to implement the ATT and (2) submit an annual report by 31 May each year on exports and imports of conventional arms that took place during the previous calendar year."

The Republic of Zambia submitted its initial report on measures to implement the ATT. Relevant key stakeholders are aware and ready to provide updates to the ATT Secretariat as the Republic of Zambia continues to take steps to implement all ATT obligations.

Relevant stakeholders in the Republic of Zambia fully understand the ATT annual reporting obligation. They have also agreed on the necessary procedures to enable the Republic of Zambia to submit annual reports on imports and exports of conventional arms in accordance with Article 13 of the ATT. The "national procedures document for the preparation of the Republic of Zambia's ATT annual report" provides a clear roadmap for achieving the goal of submitting the first annual report by 31 May 2021.

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"/>



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Explain your answer:

The Republic of Zambia through the EU ATT OP and ATT VTF projects has established a committed community of expertise on the ATT and obligations for the Republic of Zambia. This community has sufficient capacity to continue implementing the ATT's reporting provisions. As noted above, there is understanding and agreement that the Republic of Zambia will provide updates to the initial report when new measures have been taken (e.g. when the National Conventional Arms Control Act and national control list of military goods enter into force).

All ministries and agencies present at the workshop in Livingstone in February 2020 endorsed the draft "national procedures document for the preparation of the Republic of Zambia's ATT annual report". Zambian competent national authorities finalized the document in April 2020. It provides for sustainability of the reporting procedures as the knowledge on "how" to prepare and compile an ATT annual report does not reside in the head of one individual or a small group of individuals. A step-by-step guide exists that can be used for handover purposes when contact points change, as well as updated as the national transfer control system in the Republic of Zambia evolves.

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?


Yes, as noted above, the initial report will be updated and the "national procedures document for the preparation of the Republic of Zambia's ATT annual report" will be used.

The experience of preparing the initial report has been shared with other states and interested stakeholders via interventions during the first prepcom for CSP6 and the written lessons learned document. The national procedures document and lessons learned for the annual report will be shared during the CSP7 meeting cycle. These materials will also be made available via the Small Arms Survey and other outreach opportunities to provide inspiration and guidance for other states parties that are faced with reporting challenges, as well as to reassure states that are concerned about the potential reporting burden of becoming an ATT state party.

2. Final expenditure report


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




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RECONCILIATION
ZAMBIA-ATT.VTF-G2019.014ZMIB
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							
SAS Administrative Support	9'900.00	2'722.82	10'400.74	13'123.56	USD -	USD 3'223.56	133%
SAS Senior Researcher	19'600.00	9'895.43	13'499.90	23'395.33	USD -	USD 3'795.33	119%
Editor	2'800.00	45.45	3'456.11	3'501.56	USD -	USD 701.56	125%
Consultant (Act. 2.3. 5 days)	3'500.00	-	3'747.32	3'747.32	USD -	USD 247.32	107%
Travel costs							
Travel from Europe to Zambia for Activity 1.3	4'400.00	3'368.70	841.16	4'209.86	USD -	USD 190.14	96%
Accommodation, for Activity 1.3	2'400.00	1'826.26	21.13	1'847.39	USD -	USD 552.61	77%
Travel from Switzerland to Zambia for Activity 2.3	6'600.00	4'242.02	379.02	4'621.04	USD -	USD 1'978.96	70%
Travel to Livingstone from Lusaka for Activity 2.3	6'000.00	4'052.50	454.73	4'507.23	USD -	USD 1'492.77	75%
Accommodation, including breakfast and dinner, in Livingstone for Activity 2.3	8'100.00	5'489.16	2'310.46	7'799.62	USD -	USD 300.38	96%
Operating Costs							
Venue hire in Lusaka for 3 days for Activity 1.3	3'000.00	1'220.18	14.12	1'234.30	USD -	USD 1'765.70	41%
3 day conference package for Activity 1.3	2'760.00	453.66	31.55	485.21	USD -	USD 2'274.79	18%
Venue hire in Livingstone for 2 days for Activity 2.3	1'400.00	58.93	10.17	69.10	USD -	USD 1'330.90	5%
2 day conference package for Activity 2.3	1'440.00	796.12	137.52	933.64	USD -	USD 506.36	65%
Total Direct Costs	71'900.00	34'171.23	35'303.93	69'475.16	2'424.84	2'072.84	97%
Total Indirect Support Costs - 7%	5'033.00	2'391.99	2'471.28	4'863.26	169.74	2'790.42	97%
Total	76'933.00	36'563.22	37'775.21	74'338.42	2'594.58	2'790.42	97%
Amount of 1st installment	38'467.00						
Amount of 2nd installment	33'081.00						
Amount of 3rd installment	2'790.42						
Balance owing to VTF							


Luigi De Martino
Head, Grant Management and Fundraising
Small Arms Survey 6.11.2020

ATT Interim Expenditure Report

INSTRUCTIONS
 1) Complete all pink fields only.
 2) Print, sign, scan and email expenditure report to trustfund@zambiaministryofdefence.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/G2019/0014/ZMB
Reporting period	08.01.2019-30.06.2020
Local Currency Code	ZMW
Grant Received (USD) (Not cashed)	38,947
Grant Received (USD) (Paid cash)	33,081
Grant Received (Local)	71,928

<https://www.osanda.com/currency/convert/>
 Click show first cell for exchange rate site

Accounting Date	General Details	Total Budget	Actual system to date	Balance of budget available	Balance of funds received	SAS Bl.
Staff	Contract No.	USD	Total Amount in ZMW	USD	USD	
1	SAS Administrative Support (Act. 1.1, 6 days; Act. 1.3, 5 days; Act. 2.1, 6 days; Act. 2.3, 5 days)	9,900.00	12,948.91	1,021.4	-3,223.56	10
2	SAS Senior Researcher (Act. 1.2, 6 days; Act. 1.3, 5 days; Act. 1.5, 3 days; Act. 2.2, 6 days; Act. 2.3, 5 days; Act. 2.5, 3 days)	19,600.00	22,905.72	1,021.4	-3,795.33	11
3	Editor (Act. 1.5, 1 day; Act. 2.2, 2 days; Act. 2.5, 1 day)	2,800.00	3,428.28	1,021.4	-701.56	12
4	Consultant (Act. 2.3, 5 days)	3,500.00	3,668.90	1,021.4	-247.32	13
5	Travel from Europe to Zambia for Activity 1.3 (Flight, insurance, visa, local transportation to/from airport)	4,400.00	4,121.76	1,021.4	190.14	20
6	Accommodation, including breakfast and dinner, for 2 people for 5 nights in Lusaka, Zambia for Activity 1.3	2,400.00	1,808.73	1,021.4	552.61	21
7	Travel from Switzerland to Zambia for Activity 2.3 (Flight, insurance, visa, local transportation to/from airport)	6,600.00	4,534.33	1,021.4	1,978.96	22
8	Travel to Livingstonia from Lusaka for 15 people for Activity 2.3	6,000.00	4,412.90	1,021.4	1,492.77	23
9	Accommodation, including breakfast and dinner, for 18 people for 3 nights in Livingstonia for Activity 2.3	8,100.00	7,636.39	1,021.4	300.38	24
10	Venue hire in Lusaka for 3 days (including equipment hire costs) for Activity 1.3	3,000.00	1,208.47	1,021.4	4,799.09	30
11	3 day conference package for 23 people in Lusaka (lunch and tea/coffee) for Activity 1.3	2,760.00	475.06	1,021.4	1,765.70	31
12	Venue hire in Livingstonia for 2 days (including equipment hire costs) for Activity 2.3	1,400.00	67.65	1,021.4	2,774.79	32
13	2 day conference package for 18 people in Livingstonia (lunch and tea/coffee) for Activity 2.3	1,440.00	914.10	1,021.4	1,330.90	33
40						
TOTAL DIRECT COSTS		71,900.00	68,021.20	6,947.516	2,424.84	2,072.84
Overhead 7%		5,033.00	47,614.88	4,863.26	169.74	
GRAND TOTAL		76,933.00	72,782.58	74,338.82	2,594.58	40

[Signature]
 Approved

Signature: Henri Wacongne
 Head of Accounting

10 Nov. 2020

HEAS: ATT SECRETARY

Dominic Matale

Date: 28.09.2020
 Date: 05-10-20

REPUBLIC OF ZAMBIA
 MINISTRY OF DEFENCE
05 OCT 2020
 PERMANENT SECRETARY
 PRIVATE BAG FW 17X, LUSAKA.