Arms Trade Treaty Voluntary Trust Fund

FINAL REPORT

The Republic of Namibia

(Ministry of Defence)

Project No.: ATT.VTF.G2019.005NAM

28 October 2021
Arms Trade Treaty Voluntary Trust Fund - Final Report

<table>
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<tr>
<td>Project title</td>
<td>ATT Academy in Southern Africa</td>
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</tr>
<tr>
<td>Final Report submission date</td>
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<td>Period covered under this report (MM/DD/YY – MM/DD/YY)</td>
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1. Project activities and outcomes

a Describe the project outcomes.

During the period covered by this report, the Namibian Ministry of Defence (“Namibia”) and Control Arms implemented the ATT Academy in Southern Africa project, in six phases.

**Phases 1-3. ATT Academy First in-person Training** (09 - 12 December 2019 in Windhoek, Namibia).

In July 2019, Namibia and Control Arms began preparations for the first in-person training by conducting outreach to target states and initiating the selection of participants. At the same time, Control Arms also began the development of the curriculum, course pack and hypothetical exercises and selection of expert speakers.

The in-person training brought together 30 participants - 22 from government and 8 from civil society - from Botswana, DRC, Eswatini, Lesotho, Namibia, Mozambique, Eswatini, Malawi and Zambia. Over the course of four days, the participants engaged with expert speakers in lectures, small group discussions, and one-on-one exchanges. Participants benefited from expert presentations tailored specifically to their interests and needs and contained information, written materials, data and analysis not previously available. Discussions during the first in-person training and comments in the post-training written evaluations revealed specific areas that require additional time and discussion to ensure participants come away from the ATT Academy with a full understanding of the Treaty provisions and obligations. These topics include national control lists, the completion of ATT annual reports, international cooperation and assistance, and implementation of GBV provision.

**Phase 2. Online support (01 January 2019 – August 2021)**

To monitor progress made by participants in applying the lessons learned during the first in-person training and to identify challenges and needs that could be addressed in the second training, Control Arms provided support to ATT Academy participants. This included regular email communications with ATT-related updates, including announcements regarding upcoming ATT meetings, deadlines for relevant international assistance opportunities and new resources. During
this time participants also had the option to reach out directly to Control Arms staff with ATT-related questions or requests for support.

The interim period also included an interim online exercise as well as two virtual meetings.

The interim exercise, which was focused on the implementation of the gender-based violence in the Arms Trade Treaty, included pre-recorded videos, a required reading list as well as recommended resources along with a series of questions which aimed to guide and assist participants in structuring their research and analysis as they work to implement ATT Article 7(4).

To maintain the momentum achieved during the first in-person training and to address challenges identified by participants as important to their day-to-day jobs, Control Arms and Namibia also held two virtual meetings on 12 and 17 November 2020. They meetings covered substantive topics including CSP7 thematic focus and opportunities for engagement by African states, ATT reporting requirements, ATT general implementation and recommendations for Southern African Development Community (SADC) member states as well as ATT Available Assistance.

While engagement in the interim period was negatively impacted by the COVID-19 pandemic and associated restrictions, between 35% – 50% of participants took part in at least one of the planned activities.

**Phase 3 – Second virtual training (23 August – 30 September)**

Scheduled to take place in June 2020 in Windhoek, Namibia, the ATT Academy in Southern Africa second in-person training was cancelled due to the COVID-19 pandemic and associated travel restrictions and was replaced with a 5-week virtual training.

To limit the impact of any technological and connectivity challenges, the second ATT Academy training combined asynchronous and synchronous learning courses. This enabled participants to access the course and all related materials, via a dedicated online platform, at dates and times convenient to them.

Using the online learning platform Kaya, the training was divided into 4 modules which provided an in-dept look at:

1. Article 5: ATT General Implementation, with a focus on national control lists
2. Articles 6 - 9: Import, Export, Transit and Transshipment Controls
3. Article 13: ATT Reporting Obligations
4. Article 11: Diversion

For each module, the participants were required to watch a 60–90-minute video and complete the assigned reading list before answering a questionnaire or engaging in a guided forum discussion. A virtual meeting was then held to review lessons learned, discuss quiz results or questions that emerged in forum discussions.

Due to connectivity or availability challenges, participation in the virtual meetings was limited (20-35% attendance rate). For this reason, all meetings were recorded, allowing participants to watch these discussions at a later time.

Control Arms made informational materials about the ATT Academy in Southern Africa available to participants on a project webpage, including course pack(s), agendas, presentations, and reports and other resources: controlarms.org/attacademy/insouthernafrica, as well as on the Kaya platform. The online course will remain available on Kaya to registered participants until August 2022. This will enable them to review videos and access recommended readings and resources as well as to continue to engage in forum discussions in the coming months.
b. Describe how the project has assisted your implementation of the ATT.

The ATT Academy in Southern Africa facilitated a common understanding of ATT provisions and implementation requirements from both national and regional perspectives. With this strong collective foundation, we can expect continued concrete efforts toward effective ATT implementation in Southern Africa and across the continent.

Namibia's experience with the ATT Academy has facilitated a solid fundamental understanding of the ATT general implementation requirements among governmental stakeholders and established positive on-going working relationships, all of which paved the way for the Treaty's ratification on 28 April 2020, only four months following the first in-person training. As a result of this engagement, Namibia also took steps to ensure compliance with the ATT by securing authorization to establish a Competent National Authority and seeking further VTF support to facilitate the adoption of the National Control List and the drafting of the ATT initial report.

Southern African Region. The ATT Academy in Southern Africa also contributed to the development of a regional approach to ATT universalization and implementation. Throughout the project, participants exchanged information, experiences and good practice at the national level, discussed challenges and explored solutions that can help advance the Treaty's implementation. For instance:

- Participants from states not yet party to the ATT noted their intention to share knowledge obtained at the training with relevant national departments and agencies.
- One participant from a non-state party invited Namibia for an in-country visit to discuss the importance of the ATT with relevant government officials and to share Namibia’s experience with the ATT ratification process.
- Participants identified gaps in national legislation that must be updated in order to ensure compliance with the ATT, including the adoption or update of the national control list, the inclusion of brokering in national legislation, or strengthening inter-agency cooperation and record-keeping to facilitate comprehensive ATT annual reporting.
- Export control officials and licensing officials from among the participants noted their commitment to strengthen their countries’ risk assessment criteria, particularly for civilian licenses and “dealers”.

c. List all States that benefitted from the project.

Botswana, the Democratic Republic of Congo, Eswatini, Lesotho, Mozambique, Malawi, Mauritius, and Namibia

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.
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?

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

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Explain your answer:

Membership in the ATT remains limited in the Southern Africa - only 9 of the 16 SADC member states have joined the ATT to date - and progress towards the Treaty implementation has been slow over the past few years. However, the review and update, in June 2019, of the 2001 Protocol on the Control of Firearms, Ammunition and Other Materials (SADC Protocol) in line with regional and international disarmament and arms control instruments, including the ATT, has renewed momentum for the Treaty for the SADC sub-region.

By providing an in-depth understanding of the Treaty’s linkages with other regional and international instruments, the ATT Academy training highlighted the role of the ATT in strengthening national and regional arms transfer controls and mapped out practical steps towards its implementation. The project therefore served as a step towards facilitating both individual and collective capacity towards the Treaty’s universalization and implementation.

Additionally, in the pre-training self-assessment, participants identified the prevention of gender-based violence, wildlife poaching, diversion and terrorism as key priorities for their governments. These topics, along with other regional specific challenges, were explored both during the two training as well as in the interim period.

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

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Explain your answer:

The project sought to facilitate:
- Greater understanding of and confidence in the ATT among participating states
- Development of strategies towards the effective implementation of ATT by participating states
- Development of plans for ratification/accession by participating states
- States participate in subsequent CSP processes

Of the four goals, objective 1 (greater understanding of and confidence in the ATT among participating states) and objective 4 – (states participate in subsequent CSP processes) were successfully met during this project.
The first in-person training was explicitly designed to provide an in-dept, article-by-article review of the ATT as well as an analysis of the Treaty’s synergies with key relevant regional and international instruments in order to ensure a greater understanding of and confidence in the ATT among participating states. A comparison of results from the initial self-assessment with those of quizzes assigned in the second training indicates a clear improvement in the participants’ understanding of the Treaty’s provisions. Similarly, evaluations completed by participants indicate that the project has not only enabled them to have a better understanding of the ATT, but also of their countries role in preventing the illicit trafficking and diversion of arms.

Participant’s engagement in the ATT process has also increased over the past two years, indicating that the ATT Academy project has contributed to the prioritization of the ATT among some participating states. For instance, at least one ATT Academy participant attended – for the first time - the ATT Working Groups and CSP6 Preparatory Meetings held in February 2020. Similarly, five participants - four government and one civil society representatives - attended the Seventh Conference of States Parties to the ATT (CSP7). During the interim period, participants also had the opportunity to hear directly from the CSP7 President, Ambassador Gberie regarding his plans and expectations for CSP7 and to discuss the importance of African states engagement in the CSP process.

Objectives 2 (Development of strategies towards the effective implementation of ATT by participating states) and 3 (Development of plans for ratification/accession by participating states) have been only partially met due to disruptions caused by the COVID-19 pandemic and the shift from an in-person training to a virtual format.

As most participants saw a shift in responsibilities and priorities during the COVID-19 pandemic, progress towards the ATT domestication in these countries has been limited. Similarly, the shift in the format of the second in-person training limited opportunities for engagement in the development of plans for Treaty implementation or ratification/accession. However, throughout the four modules of the second training, participants discussed existing national legislation and processes and identified gaps that must be addressed in order to ensure compliance with the Treaty’s provisions. These discussions and exercises were intended to guide and assist participants in conducting a gap analysis that would enable their governments to substantially develop national control systems in line with their Treaty responsibilities.

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

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Explain your answer:

Due to the COVID-19 pandemic and associated travel restrictions, the project received a 16-month extension which delayed the achievement of planned project outputs by over a year. However, due to the change in format for the second training from an in-person meeting to a virtual training, the project was completed under the allocated budget.

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).
As noted under question B, the project facilitated a common understanding of ATT provisions and implementation requirements from both national and regional perspectives.

In Namibia, the project contributed to the Treaty’s ratification and to the subsequent development of plans towards its implementation, including the adoption of a national control list and the completion of the ATT initial report.

In other participating countries, the project brought renewed attending to the ATT at the national level, as evidenced by the attendance by ATT Academy participants in the CSP process. The project also provided a thorough and technical understanding of the Treaty, ensuring that participants are equipped to support the effective implementation of the Treaty.

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

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Explain your answer:

The careful selection of participants which was undertaken in phase 1, ensures that key government officials from different ministries/departments with a direct responsibility for the ATT benefit from the training. This process also ensures that should there be turnover among government officials, at least one other participant is able to continue to provide support towards the Treaty’s implementation in the long term. The inclusion of civil society representatives facilitates the establishment of a regional network of experts that will continue to advance the Treaty’s implementation long after the training has been completed as civil society representatives are known to remain in their positions and to focus on a particular area of work for longer than government officials are able to. It also fosters cooperation among government officials and civil society representatives at the national and regional level allowing civil society not only to maintain momentum towards the Treaty’s implementation but also to monitor and evaluate the efficacy of national efforts in this regard.

Additionally, the long-term format of the project (six months to one year) coupled with the mix of states at different states in their engagement with the ATT (states parties, signatory states and non-states parties) is specifically designed to facilitate cooperation among regional counterparts in order to advance the Treaty’s universalization and implementation even after the project is completed. While the inability to meet in person for a second time has negatively impacted relationships-building and cooperation, several ATT Academy participants and Control Arms staff continue to engage with each other via email and/or via a bespoke WhatsApp message group.

j. How did the Project contribute to the progress of joining the Arms Trade Treaty?

As noted in previous sections, in Namibia, the project facilitated the Treaty’s ratification on 28 April 2020, only four months following the first in-person training.

The project also provided a better understanding of the Treaty’s provisions which helped address misunderstandings regarding key Treaty obligations among some participating states. For others,
the training provided the necessary knowledge and tools to overcome other ratification and implementation challenges.

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?

Namibia has built on its experience from the ATT Academy and using this model, in 2022 it will hold a four-day meeting with national stakeholders to discuss the ATT implementation and pave the way towards the establishment of a Competent National Authority.

Similarly, Madagascar has also used the ATT Academy for Southern Africa to develop a bespoke project for Indian Ocean states, expected to take place in 2022.

2. Final expenditure report

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

For the purposes of this certification:

Grantee means Ministry of Defence

Consultant means Ms. Rachel Stohl, The Stimson Center.

I, Dr. Wilhelmine Shivute, Executive Director, 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 $5,000.

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 to the Grantee where the Grantee is in breach of the Grant Agreement.

Signed: [Signature]

Date: 03/03/2022

Executive Director

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.
Certification

For the purposes of this certification:

Grantee means Ministry of Defence

Consultant means Ms. Katza Gamma Cortes Martiney.

I, Dr. Wilhelmine Shivute, 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 $5,000.
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 ... 18/03/2022  
Executive Director

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.
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Mr. S.D. Mwinda  
Head: ATT Sec.  
23/03/2022
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*As per the proposed resolution of 17 July 2020, the budget for the year 2021-2022 between the KPI is as follows:*