



Republic of Zambia

Lessons learned document on the Republic of Zambia’s experience of compiling an initial report

The Republic of Zambia signed the Arms Trade Treaty (ATT) on 25 September 2013 and deposited its instrument of ratification on 20 May 2016. The treaty entered into force for the Republic of Zambia on 18 August 2016. Under Article 13(1) of the ATT, the Republic of Zambia was due to submit its initial report on measures to implement the ATT (ATT initial report) within one year of the treaty entering into force—meaning that the Republic of Zambia was obliged under the treaty to submit its ATT initial report by 17 August 2017. As of 17 October 2019, the Republic of Zambia has not submitted its ATT initial report.

This ‘lessons learned document on the Republic of Zambia’s experience of compiling its initial report’ consists of three parts. The first part seeks to address the question ‘Why hasn’t the Republic of Zambia submitted an ATT initial report?’, by outlining the challenges of compiling and submitting the initial report by 17 August 2017, as explained by key stakeholders in the Republic of Zambia. The second part outlines the solution for overcoming these identified challenges: a national stakeholder workshop to compile the Republic of Zambia’s initial report. The third part presents key lessons learned and findings from the Republic of Zambia’s national stakeholder workshop to compile its ATT initial report.

Why hasn’t the Republic of Zambia submitted an ATT initial report?

Zambian government officials have identified four key factors explaining why the Republic of Zambia did not submit its initial report by 17 August 2017—or indeed by 17 October 2019:

1. Key stakeholders, who possess the knowledge necessary to compile the ATT initial report, had a lack of awareness and understanding of the ATT initial report obligation.
2. It has taken some time to establish an inter-ministerial/agency committee on ATT implementation to facilitate the sharing of relevant information.
3. The ATT initial report was not a high priority for key stakeholders, compared to other daily duties and political priorities.
4. There were insufficient resources to bring all key stakeholders together to raise awareness and understanding in order to facilitate the sharing of knowledge needed to compile an accurate ATT initial report.

The first reason offered by key stakeholders in the Republic of Zambia to explain why the Republic of Zambia has not submitted its ATT initial report is a lack of awareness and understanding of the ATT obligation to report on national measures to implement the ATT within one year of the treaty entering into force. The fact that key stakeholders did not have the necessary knowledge of what to report or understanding of why an initial report should be submitted to the ATT Secretariat contributed to a lack of stakeholder cooperation in sharing information. In 2017, the Republic of Zambia's ATT national point of contact (NPC) circulated a request for information to compile the ATT initial report but received only limited responses. The lack of awareness and understanding is only one of the key factors for non-reporting by the Republic of Zambia.

A second factor offered to explain the delay in submitting the Republic of Zambia's initial report is that a fully functioning inter-ministerial and inter-agency committee on ATT implementation has only recently been put in place. This inter-ministerial and inter-agency committee is a key coordination and information exchange mechanism as the Republic of Zambia seeks to move from a personalized approach to ATT implementation towards an institutionalized process. It is clear that this transition has played a positive role in developing the Republic of Zambia's ability to prepare its ATT initial report. Key stakeholders emphasized that no single person or government ministry in the Republic of Zambia can accurately address all of the issues presented in the ATT initial report "reporting template". The Republic of Zambia's experience of reporting on implementation of the UN Programme of Action on small arms (PoA) highlights the importance of having an inter-ministerial cooperation and coordination mechanism in place in order to report on implementation of international conventional arms control instruments.

A third reason for non-reporting is that the submission of the ATT initial report is not the highest priority for the Republic of Zambia's NPC, nor for other key stakeholders. The submission of an ATT initial report is important for the Republic of Zambia and it is attempting to fulfil all ATT obligations, but for many key stakeholders other tasks in relation to the ATT, and indeed other responsibilities, have been of higher priority than the preparation and submission of the initial report.

The fourth factor is connected to the second and third factors above: there has been a lack resources to bring together all the relevant national stakeholders to compile and validate an ATT initial report. National funds to support ATT implementation have been utilized for preparing national legislation and establishing the inter-ministerial and inter-agency committee. Thus, funds were not available for preparing the ATT initial report until the award of funding from the Arms Trade Treaty Voluntary Trust Fund (ATT VTF) to hold a workshop to build the Republic of Zambia's capacity to fulfil its ATT reporting obligations.

The Republic of Zambia's approach for compiling its initial report

The Republic of Zambia has a positive record of reporting on implementation of the PoA, thanks to the inclusion of reporting on the agenda of the ad hoc inter-ministerial group on small arms. However, on occasion, the meetings addressing the PoA national report are attended only by junior members of staff from agencies and ministries, who do not have sufficient authority to request relevant information; this has made it impossible to answer all questions in the PoA reporting form. This experience was factored into preparations for the Republic of Zambia to compile its ATT initial report.

The European Union Arms Trade Treaty Outreach Project (EU ATT-OP) introduced the ATT's reporting obligations to the Republic of Zambia's key stakeholders, but its roadmap does not foresee additional time and resources to develop capacity to fulfil ATT reporting obligations. The government of the Republic of Zambia therefore requested support from the ATT VTF to build capacity to establish and maintain national procedures to enable Zambia to fulfil its ATT reporting obligations. The Republic of Zambia asked the Small Arms Survey to provide assistance in developing national procedures for ATT reporting, drawing upon appropriate national experiences and practices, to enable the Republic of Zambia to compile its ATT initial report. In 2019, the ATT VTF awarded the Republic of Zambia funding to support the implementation of the 'Building capacity to fulfil the Republic of Zambia's ATT reporting obligations' project.

Under the project, the Republic of Zambia, with the support of the Small Arms Survey, organized a national stakeholder workshop to prepare the Republic of Zambia's initial report on measures to implement the ATT, held from 14–16 October 2019 in Lusaka (Zambia). The workshop brought together participants from the Ministry of Defence, the Ministry of Finance (Zambia Revenue Authority), and the Ministry of Justice, as well as Zambia's Armed Forces, Immigration Service, National Service, and Police Service. Experts from the Ministry of Foreign Affairs were unable to participate due to the UN General Assembly First Committee.

The first workshop session introduced the Republic of Zambia's recent experience in reporting on implementation of the PoA, to highlight practices and experiences that could be useful for preparing the ATT initial report, in particular the importance of inter-ministry and inter-agency cooperation to ensure that all relevant information is available for completing the reporting template. The second session addressed the issue of awareness and understanding of the Republic of Zambia's reporting obligations under the ATT, with a focus on the ATT initial report on measures to implement the treaty, and on tools that can be used to fulfil this obligation. The session introduced different approaches to reporting, with a focus on the ATT reporting template. The rest of the workshop consisted of group work to complete the ATT initial report template section by section. The key lessons learned from this experience are detailed below.

Key findings from the Republic of Zambia's national stakeholder workshop to compile its ATT initial report

1. The Republic of Zambia's national PoA report contains some useful information for completing the ATT initial report—namely, the sections of national PoA report sections on 'International transfers' and 'Brokering'—but the ATT initial report template seeks more detailed information than that provided in the national PoA report. The ATT initial report workshop participants noted that the PoA national report applies only to small arms and light weapons, whereas the ATT covers a broader range of conventional arms, ammunition, and parts and components.
2. The process of preparing the ATT initial report helped to identify areas in which the Republic of Zambia has measures in place to implement the ATT, even if these measures are not contained in legislation or regulations. The process of compiling the ATT initial report helped to identify existing practices that will need to be included in new national legislation and regulations to implement the ATT.
3. As noted by the experience of compiling the national PoA report, it is essential not only to have all relevant ministries and agencies participating in a national stakeholder workshop to compile the ATT initial report, but also to ensure participants have sufficient knowledge

- of the national control system and relevant legislation. Therefore, technical experts are required to accurately answer the questions in the ATT initial report template.
4. Due to competing ‘every day work tasks and priorities’, it was necessary to secure the time of technical experts to spend almost two days working section by section through the report as a group, to accurately present the current state of ATT implementation in the Republic of Zambia. The ATT initial report workshop provided time to validate the draft initial ATT report and ensure that the technical experts agreed on the responses. This enabled the workshop participants to address several outstanding issues on which there were differences of opinion. Next, the draft initial report will pass through a second validation by the inter-ministerial and inter-agency committee on ATT implementation before sign-off by the Permanent Secretary of Ministry of Defence. The Ministry of Defence will then send the Republic of Zambia’s ATT initial report to the Ministry of Foreign Affairs, which will submit the report to the ATT Secretariat via the Permanent Mission of the Republic of Zambia to the United Nations in Geneva.
 5. The Republic of Zambia’s situation made it difficult to answer simply ‘yes’ or ‘no’ to some of the questions and statements contained in the ATT initial report template. For example, for some questions the Republic of Zambia could answer ‘yes’ with regards to controls and regulations for small arms under the Firearms Act, but ‘no’ for other conventional arms that are not addressed by this Act. At the same time, as noted above, national practices currently regulate and control international transfers of conventional arms even if there is not a single Act that provides an easy-to-navigate legal framework. For example, the national stakeholder workshop deliberated at length as to whether the current approach in the Republic of Zambia constitutes a ‘national control system’ and whether it should answer ‘yes’ or ‘no’ to questions 3.A.i, 3.B, 4.A, 4.E, 5.A, 5.B, 5.G, and 8.D.
 6. The Republic of Zambia was able to provide a lot of information for the ATT initial report, but the initial report template questions in several places led to different interpretations of the information being requested, or repetition of the same information several times.

Small Arms Survey project team

Dr David Atwood

Dr Paul Holtom

This lessons learned document was prepared thanks to support from the Arms Trade Treaty Voluntary Trust Fund (ATT VTF). The Small Arms Survey is the implementing partner of the Republic of Zambia for the ATT VTF project “Building capacity to fulfil Zambia’s reporting obligations”

