
Arms Trade Treaty
Sixth Conference of States Parties
Geneva, 17– 21 August 2020
(By written procedure)

MANAGEMENT COMMITTEE REPORT ON THE CONTRACT OF HEAD OF SECRETARIAT FOR THE ARMS TRADE TREATY

BACKGROUND AND FUNCTIONS

1. The Head of the ATT Secretariat (HoS) took office December 1st, 2016. With respect to the functional (appointment) mandates for ATT Secretariat staff, **Section 2.3 of the ATT Secretariat Staff Rules and Regulations** provides that: *‘The contract period is for four (4) years, renewable once in the same position/level based on favorable performance reviews and with the approval of the Management Committee in case of the Head of the Secretariat and subject to available funds. Staff can apply after two functional mandates for a higher position within the Secretariat’.*
2. In accordance with Section 2.3 of the ATT Secretariat Staff Rules and Regulations referenced above, contracts of ATT Secretariat staff are renewable once subject to two important considerations: 1) favorable performance review and, 2) availability of funds.
3. The contract renewal of the Head of the ATT Secretariat is subject to the approval of the Management Committee, whereas the renewal of contracts for other members of the ATT Secretariat is subject to the approval of the Head of the ATT Secretariat.
4. The required funds for the ATT Secretariat are part of the budgetary planning of each CSP-cycle and consequently considered available, although they are subject to the actual payment of assessed contributions.
5. It should be noted that the necessary performance review for the Head of Secretariat has never been conducted and that there is no fixed format for this review. None withstanding the above mentioned Section 2.3 of the ATT Secretariat Staff Rules and Regulations, a shorter yearly performance review should be considered in the future.

ATT STAFF MANDATE

6. The mandate of the ATT Secretariat, set out in Article 18 (3) of the Treaty, is to assist States Parties in the effective implementation of the Treaty. The **ATT Secretariat** executes its mandate through undertaking specific responsibilities that could be categorized into the following broad Key Performance Areas, with a variety of activities and sub-activities:
 - a. Financial Management. This responsibility includes designing, implementing and maintaining a financial management system that meets the necessary transparency, efficiency and effectiveness objectives envisaged in the ATT Financial Rules.

- b. Substantive Support. This responsibility includes policy and technical advice and support to all ATT office holders (including the President), established ATT subsidiary bodies, and the rest of the States Parties and other states.
- c. Administrative Support. This responsibility involves the maintenance of the ATT reporting system, maintenance of the ATT database for national points of contact, as well as maintenance of an effective IT system. In addition, it involves the maintenance of an internal control system for procurement, resource allocation, infrastructure utilization and accounting.
- d. Conference support services. This responsibility entails the provision of substantive support and advice to all ATT meetings, as well as the management of all logistical and technical arrangements pertaining to all ATT meetings.
- e. Administration of the Voluntary Trust Fund (VTF). This responsibility includes the establishment of the VTF and the management of all processes and activities critical to the effective and efficient functioning of the Fund in supporting ATT implementation at a national level.
- f. Administration of the ATT Sponsorship Program. This responsibility includes the establishment and maintenance of all processes relevant to ensuring an effective program focused on maximizing the scale and diversity of participation in ATT meetings.

7. These activities require adequate staffing of the Secretariat under the guidance of the Head of Secretariat. As laid out in ATT/CSP1/CONF/3, the **Head of Secretariat**, inter alia, coordinates the work of the Secretariat; liaises with States and International Organizations; ensures documentation of meetings of the various ATT bodies and proper communication of their decisions; and advises the CSP President on all matters related to the ATT, including its future development.

8. The Head of the ATT Secretariat ensures that the work of the Secretariat is carried out in accordance with established rules and in conformity with the directives of relevant subsidiary bodies and decisions of the Conference of States Parties.

9. The work requires a high degree of transparency, efficiency and effectiveness in the defined Key Performance Areas. Internal management requirements vis-à-vis the staff are required in establishing and fostering internal workflows within the Secretariat, providing guidance where and when needed.

OPERATIONALIZING THE STAFF MANDATE

10. In order to allow for the required evaluation it is essential to establish an evaluation process that is neutral, comprehensible and logical in nature. This shall be achieved through the application of a matrix which reflects the aforementioned Key Performance Areas. The matrix may be applied more generally for the evaluation of all staff members within the ATT Secretariat.

11. The activities and sub-activities shall be measured against the principles “transparency”, “efficiency” and “effectiveness”, as is established practice in other evaluation processes within the ATT. For the Head of the Secretariat, the matrix needs to be expanded to include a management component, an area which is less relevant for other ATT Secretariat staff members.

12. The relevant areas of evaluation within the table (marked with an ‘x’) will vary for every staff position, depending on the specific tasks and the level of responsibility.

13. The evaluation itself shall be done by means of a written description of the performance of the incumbent of the respective staff position, based on the elements contained in the appropriate matrix. In parallel, the description of duties and responsibilities as reflected in the relevant job description should be referred to as a supporting element during the evaluation process.

Matrix: Head of the Secretariat

	Transparency	Efficiency	Effectiveness	Management
Financial Management				
Processes	x	x	x	X
Management	x	x	x	X
Transparency	External			X
Substantive Support				
Policy Support	x			X
Technical Support		x	x	X
Administrative Support				
Reporting System	x			X
Database	x			X
Internal Control		x	x	X
Conference Support Services				
Management	x	x	x	X
Support		x	x	X
Administration - VTF				
Establishment of VTF		x		
Management of VTF	x		x	X
Future development	x			
Administration - SP				
Establishment of SP		x		
Management of SP	x		x	X
Future development	x			

14. The allocation of markings within the various areas reflects the duties of the Head of the

Secretariat that are mostly managerial tasks.

PERFORMANCE WITHIN THE KEY PERFORMANCE AREAS

Financial Management

15. The HoS management of ATT finances met the expectations. Against the backdrop of a new organization with no existing governance systems, he developed and oversaw the implementation of a financial management system with processes that ensure the timely preparation and submission of budget estimates, assessment invoices, financial reminders, status of contributions, and financial statements. In consultation with relevant ATT stakeholders, he implemented transparency measures regarding ATT finances which include detailed financial presentations at every ATT meeting and a system that updates the status of ATT financial contributions on regular basis and is published on the ATT website. He oversaw the establishment of a comprehensive ATT roll-over register providing financial profiles of each state that participated in ATT meetings from 2016 to date. This register brings to bear transparency on ATT finances.

16. The regular financial presentations delivered by the HoS during ATT meetings have been welcomed and accepted by states since 2016. All budget estimates submitted by the HoS to CSPs have been well received and adopted by CSPs. Finally, and pursuant to the requirements of the ATT Financial Rules, the HoS facilitated the auditing of the Secretariat and the VTF financial statements by independent international auditors. For three consecutive years since auditing began, the ATT Secretariat has received clean audit opinions.

Substantive Support

17. The HoS provided all necessary support to ATT Office Holders to allow for the optimal functioning of the ATT. Especially during the early stages of the Treaty, it was his personal effort which eliminated problems that arose during institutionalization.

18. Individual advice and support were always provided in a substantiated way without delays. He has travelled with CSP Presidents to offer advice on universalization in the context of non-States Parties and helped CSP Presidents to better understand positions of non-States Parties. He has also provided substantial inputs to Chairpersons of Working Groups and drafted papers at their request.

Administrative Support

19. In accordance with the ATT transparency objectives, a system for notifying, receiving and posting of the Initial and Annual reports online has been established and continuously developed further by the ATT Secretariat with the guidance of the HoS.

20. Furthermore, the implementation of the ATT Procurement Policy resulted in the delivery of the necessary IT platform to support the ATT process, especially information exchange among States as well as VTF Selection Committee members. The database available today supports all processes required for the transparent and smooth functioning of the ATT. It was the able guidance of the HoS that provided the support required to carry the project further.

Conference support services

21. During the past years, successful Conferences of State Parties were held as a result of the tireless efforts of the ATT Secretariat. During both the preparatory phases and the conferences themselves, the HoS served as the focal point for all management efforts with regard to venue

arrangements, registration of participants, translation of all conference documents, interpretation services, technical services and other conference-related matters. In order to economize on conference costs, he negotiated with interpretation and translation companies for multi-year contracts which consist of a large portion of the conference costs.

22. His leadership excelled when the CSP was first held outside Geneva for CSP4 in Tokyo, where he took initiative in solving unforeseen challenges in coordination with the CSP4 President and the host country.

23. The HoS himself was also responsible for the compilation of all post-conference documentation.

Administration of the Voluntary Trust Fund (VTF)

24. The HoS established the Voluntary Trust Fund in 2016 and managed all processes and activities critical to the effective and efficient functioning of the Fund. The HoS was successful in explaining to potential and existing donor States the objectives of the VTF and in ensuring the effective functioning of the Fund. The HoS carefully secured funds to hire the fourth Secretariat staff who works exclusively on VTF project management. The short-listing and recommendation of VTF projects, approved by the HoS and VTF Chairperson, are accurate and balanced.

25. A transparency measure adopted by the ATT Secretariat is to consistently present the financial status of the VTF to every ATT meeting. By so doing, states stayed informed of the status of the VTF finances throughout the year, and those states who have not yet made a contribution to the VTF are encouraged to do so.

Administration of the ATT Sponsorship Program

26. In accordance with the decision of CSP4, the HoS established a separate bank account dedicated to the Sponsorship Programme in October 2018. He has taken other measures to facilitate transparency in the accounting and auditing of the Sponsorship Programme, including setting up an audit engagement framework with Price Waterhouse Coopers, the ATT Secretariat auditor appointed by CSP3. The first audit of the Sponsorship Programme by Price Waterhouse Coopers, covering the CSP5 cycle, will be ready by CSP6.

27. A further transparency measure adopted by the ATT Secretariat is to consistently present the financial status of the Sponsorship Programme to every ATT meeting. By so doing, states stayed informed throughout the year of the Sponsorship Programme finances, and other states who have not yet made a contribution to the Sponsorship Programme are encouraged to do so.

28. The HoS has developed application procedures and an application form for the ATT Sponsorship Programme. The procedures for the Sponsorship Programme are appropriate and user-friendly.

29. In comparison to the former administrator (UNDP) of the ATT Sponsorship Programme, in which the applicants were selected based on a *first-come-first-served basis*, the ATT Secretariat has successfully carried out the pre-screening of all sponsorship applications received by the due date in an effective, efficient and timely manner. The ATT Secretariat applied the eligibility and selection criteria set out in the Administrative Guidelines during the pre-screening and in the preparation of the shortlist of eligible applicants.

CONCLUSION

30. On account of the evidence-based evaluation conducted, the Management Committee is of the view that the performance of the HoS within key performance areas is meeting and surpassing the expectations. The Management Committee is confident that the HoS continues to effectively fulfill his role within the ATT process based on his first four years of experience. Therefore, and in accordance with Section 2.3 of the ATT Secretariat Staff Rules and Regulations, the Management Committee has decided to support the continuation of the contract of the HoS beyond 30 November 2020 and submits this decision to the CSP6 for its endorsement.
