



22 May 2018

Submitted by: the ATT Secretariat

Original: English

Arms Trade Treaty
Fourth Conference of States Parties
Tokyo, 20 – 24 August 2018

DRAFT ATT PROVISIONAL BUDGET ESTIMATES FOR THE FINANCIAL YEAR 2019

INTRODUCTION

1. Article 17 (3) of the Arms Trade Treaty (ATT) provides that the Conference of States Parties shall, at each ordinary session, adopt a budget for the financial period until the next ordinary session.
2. The preparation and management of ATT budgets is governed by the ATT Financial Rules. Rule 4 (1) of the ATT Financial Rules provides that the ATT Secretariat shall prepare and, following a review by the Management Committee, submit budget estimates to States Parties at least 90 days before the opening of the Conference at which the budget is to be adopted.
3. The budget estimates submitted for adoption by the Conference of States Parties should cover the budget estimates for the Conference and the ATT Secretariat. Financial considerations for the Conference and the ATT Secretariat budget estimates are set out in Rule 5 and 6 of the ATT Financial Rules, respectively.
4. The ATT budget estimates for the 2019 financial period were prepared in accordance with the requirements of the ATT Financial Rules.

2018 FINANCIAL YEAR INCOME FIGURES

5. Rule 4 (1) of the ATT Financial Rules provides that budget estimates presented for adoption by Conference of States Parties must include the actual income figures for the previous period, which in this instance is the 2018 financial year.
6. The 2018 financial income is based on the 2018 budget which was adopted by the Third Conference of States Parties. In this regard, the total ATT budget for 2018, inclusive of the ATT Secretariat (USD 744,717.00) and the Conference (USD 231,210.00), is USD 975,927.00. It is against this total that the States' assessed financial contributions to the ATT 2018 budget were calculated using the financial formula prescribed in the ATT Financial Rules. However, states that had contributed towards the accumulated uncommitted funds from 2016 and 2017 (amounting to 270,771.90 USD) had their contributions reduced proportionately in accordance with the decision of the Third Conference of States Parties.
7. In October 2017, the ATT Secretariat issued 119 assessment notices to all relevant States in accordance with Rule 5 and 6 of the ATT Financial Rules. As of 22 May 2018, the total financial contributions received from 61 States is USD 478,741.89 plus the retained rollover amount of

270,771.90 USD. This altogether constitute 76.80% of the total expected income. The total outstanding financial contributions from the rest of assessed States is USD 226,814.68.

8. In March 2018, in accordance with Rule 8 (1) of the ATT Financial Rules, the President of the Fourth Conference of States Parties wrote to all States with outstanding financial contributions reminding them of this fact and impressing upon them the importance of paying their respective arrears.

2019 BUDGET CONSIDERATIONS

9. The preparation of the 2019 budget estimates considered a number of factors pertinent to the operations of the Arms Trade Treaty and these include:

- a. Historical information in relation to previous ATT income and expenditure.
- b. The ATT Secretariat's Staff Rules and Regulations as the basis for the calculation of staff and related costs.
- c. The ATT Secretariat's organisational structure and staff complement of 3 x members.
- d. Decisions of previous Conferences of States Parties.
- e. The quantum of the Swiss government's in-kind contribution to the ATT.
- f. The outlook of the ATT work and estimated costs for the 2019 calendar year.

BUDGET ADMINISTRATION

10. On adoption by the Fourth Conference of States Parties, the ATT budget will be managed by the ATT Secretariat according to the provisions of the ATT Financial Rules under the oversight of the Management Committee. Accordingly, the ATT Secretariat will notify all States of their assessed financial contributions to the 2019 budget in October 2018.

ATT Secretariat: Provisional Budget Estimates 2019

Budget ⁱ Source	Item ⁱⁱ	est. cost (USD)	Comments
ASSESSSED from States	Salary P4 ⁱⁱⁱ - 12 months 2019	228,964	<i>ATT Staff Rules and Regulations used as a reference</i>
	Salary P3 ⁱⁱⁱ - 12 months 2019	176,582	<i>ATT Staff Rules and Regulations used as a reference</i>
	Salary P2 ⁱⁱⁱ - 12 months 2019	139,777	<i>ATT Staff Rules and Regulations used as a reference</i>
	General temporary assistance (if needed)	37,000	<i>148 days of consultancy (Junior specialist - estimated 250 USD/day)</i>
	Consultants / Outsourcing (if needed)	15,000	<i>30 days of consultancy (Specialist - estimated 500 USD/day)</i>
	Staff international travel costs (inclusive of air travel, ground transportation, accomodation and daily allowances)	50,000	<i>Estimated costs of 5,000 USD/trip (5 trips for P4, 4 trips for P3, 1 trip for P2)</i>
	Staff training	4,500	<i>1,500 USD/staff member</i>
	Utilization of IT & telecommunication services (cell phone calls, fixed line calls, photocopies)	12,500	
	Secretariat website	40,000	<i>Maintenance and incremental enhancement</i>
	Audit fees	10,000	
	Legal services (related to procurement, personnel matters etc.)	8,000	
	Insurance	10,825	
	Miscellaneous (stationery, toner, etc.)	7,000	
Subtotal ASSESSED		740,149	Total of which 30% is assessed as per Financial Rule 5, 70% assessed as per Financial Rule 6
IN-KIND by host state ^{iv} (Switzerland)	Office premises (inclusive of building management) - 12 months	83,281	<i>Covered by the host state: Office Premises = 76,606 CHF, Archival space = 6,000 CHF</i>
	Guarding and security of premises	0	<i>Covered by the host state, through host organization</i>
	IT & telecommunication services (IT hardware, IT support (labour)) ^v	46,410	<i>IT line rent = 3,000 CHF, IT purchases = 6,000 CHF; IT maintenance and support = 34,214 CHF; Cell phone subscription = 420 CHF; Copy machine rent = 2,400 CHF</i>
	Accounting and financial administration (including related to the collection of contributions)	25,204	<i>Financial services = 25,000 CHF</i>
	Human resources administration	12,098	<i>HR services = 12,000 CHF</i>
	Personnel support services (DCAF staff member)	44,472	<i>Assistant salary + social costs = 44,112 CHF (12 months 50%)</i>
	DCAF overhead 2019	22,921	<i>Miscellaneous = 1,600 CHF; DCAF overhead = 22,535 CHF</i>
Subtotal IN-KIND by host		234,387	
TOTAL		974,535	

Conference (CSP5): Provisional Budget Estimates 2019

Budget source ⁱ	Type	Item ⁱⁱ	est. cost (USD)	Comments	
ASSESSED from participating states CSP in GENEVA	CSP5 Preparatory Process	Venue for Preparatory Meetings	40,831	2 x Working Group Meetings, 2 x Informal Preparatory Meetings (=10 days)	
		Security	9,981	2 x Working Group Meetings, 2 x Informal Preparatory Meetings (=10 days)	
		Documentation ^{vi}	24,300	Translation Services (Arabic, French, Russian, Spanish)	
		In-session Interpretation ^{vii}	104,850	2 x Working Group Meetings, 2 x Informal Preparatory Meetings (=10 days)	
	Subtotal Preparatory Process			179,962	
	CSP5	Conference venue	17,643	No rent if held at CICG, Geneva; Estimated Charge for Conference Services CICG (Technical Support, Rent of Equipment)	
		Documentation ^{vi}	27,000	Translation Services (Arabic, French, Russian, Spanish)	
		In-session Interpretation ^{vii}	52,425	Interpretation equipment & interpreters	
		Video recording	5,041		
		Conference equipment and supplies	3,781	Computers, copy machine and corresponding supplies	
		IT Support	7,360	IT service to support computer, printers, website, online registration	
		Conference support staff	12,602	Local support staff	
		Security	15,123	CSP Security	
		Design and printing	3,025	Banners, posters, invitations, logo, badges, name plates, participants kits	
		Decoration	1,415		
		Medical support	1,000		
	Miscellaneous	1,100			
	Subtotal CSP5			147,514	
	Management Committee	Travel (if needed)	11,000		
		Facilitation of meetings (if needed)	5,500	Conference space	
Subtotal Management Committee			16,500		
Subtotal ASSESSED			343,976		
IN-KIND by host when CSP is outside of GENEVA	CSP5	Conference venue	-		
		Catering	-	Lunches, coffee breaks, reception	
		Design and printing	-	Banners, posters, invitations, logo, badges, name plates, participants kits	
		Transport	-	Buses/cars, for airport, opening ceremony etc.	
		Security	-		
		Medical support	-		
		Decoration	-		
		Miscellaneous	-		
Staff	-	Conference manager, local support staff			
Subtotal IN-KIND			-		
TOTAL conference cost			343,976	Total does not include voluntary contributions towards the sponsorship programme	

Explanatory Notes

- i. In accordance with ATT Financial Rule 3, the budget covers a financial period which is equivalent to a calendar year. Accordingly, this budget includes a twelve month outlook for the calendar year 2019.
- ii. Budget lines are as determined by Financial Rule 6 (3) in respect of the Secretariat and Financial Rule 5 (3) in respect of the Conference.
- iii. In accordance with the ATT Secretariat's Staff Rules and Regulations, this budget line item includes:
 - (a) Salary (gross salary);
 - (b) Recurring costs (e.g. dependency allowance, education grant, contribution to health Insurance, contribution to accident insurance, step increment);
 - (c) Non-recurring costs (e.g. relocation grant, home leave).
- iv. The in-kind contribution by Switzerland is based on the Agreement on the Administrative and Financial Arrangements between Switzerland and the Secretariat. Costing of in-kind contribution is provided by Switzerland in CHF and converted to USD at the exchange rate of 1 CHF = 1.0081708946 USD as of 22 May 2018.
- v. The IT infrastructure support and maintenance services is provided by e-Durable SA.
- vi. In accordance with Rule 49 (1) of the ATT Rules of Procedure.
- vii. In accordance with Rule 47 (1) of the ATT Rules of Procedure.
