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Arms Trade Treaty  
**Fifth Conference of States Parties**  
Geneva, 26 – 30 August 2019

## REPORT ON THE ATT SECRETARIAT'S WORK FOR THE PERIOD 2018/2019

### INTRODUCTION

1. This report is submitted by the ATT Secretariat in accordance with its reporting obligations to the Conference of States Parties as contemplated in Article 18 (3) of the Arms Trade Treaty (ATT) and Section 2 of the Directive of States Parties to the ATT Secretariat issued under document ATT/CSP1/CONF/3.
2. The report covers the ATT Secretariat's work for the period immediately after the Fourth Conference of States Parties (CSP4) up to the Fifth Conference of States Parties (CSP5).

### MANDATE

3. The mandate of the ATT Secretariat is to assist States Parties in the effective implementation of the Treaty. The ATT Secretariat executes this mandate through undertaking the following specific responsibilities set out in Article 18 (3) of the Treaty:
  - a. Receive, make available and distribute the reports as mandated by this Treaty;
  - b. Maintain and make available to States Parties the list of national points of contact;
  - c. Facilitate the matching of offers of and requests for assistance for Treaty implementation and promote international cooperation as requested;
  - d. Facilitate the work of the Conference of States Parties, including making arrangements and providing the necessary services for meetings under this Treaty; and
  - e. Perform other duties as decided by the Conference of States Parties.
4. In addition to the responsibilities set out above, the ATT Secretariat performs the following responsibilities:
  - a. Administers the Voluntary Trust Fund (VTF) in accordance with the mandate arising from paragraph 5 of the Voluntary Trust Fund Terms of Reference and, consequently, paragraph 104 of the Voluntary Trust Fund Administrative Rules. This function entails the establishment of the VTF and the management of all processes and activities incidental to the effective and efficient and functioning of the Fund.

- b. Administers the ATT sponsorship programme in accordance with the decision of CSP4 to entrust the ATT Secretariat with the administration of the ATT sponsorship programme (see paragraph 34 of the [Final Report](#) of CSP4 held from 20-24 August 2018).

## **THE ATT SECRETARIAT'S WORK IN THE REPORTING PERIOD**

5. In the reporting period, the ATT Secretariat undertook the activities listed hereunder in fulfilment of its responsibilities.

### **6. Financial Management**

- a. In October 2018, prepared and issued invoices to States for financial contributions towards the ATT 2019 budget as adopted by CSP4.
- b. In March 2019 and pursuant to Rule 8 of the ATT Financial Rules, prepared and circulated reminders to States for their outstanding assessed contributions. In addition, implemented the administrative measures to address some of the causes of delayed and non-payment of assessed contributions as outlined in Table 1 of the Management Committee's report to CSP4.
- c. Prepared documentation to facilitate discussions during the informal preparatory process of CSP5 regarding financial contributions to ATT budgets, patterns of payment and their implications for the financial viability of the ATT.
- d. On a quarterly basis, updated and posted on the ATT website the status of ATT financial contributions for transparency purposes.
- e. Prepared the 2020 budget estimates for the ATT Secretariat and the Sixth Conference of States Parties (CSP6) which, after review by the Management Committee, were presented to States Parties on 24 May 2019 for consideration at CSP5.
- f. Managed the ATT budget by providing regular updates to the Management Committee and States. Furthermore, consolidated the established processes for expenditure control between the ATT Secretariat and the Geneva Centre for Security Sector Governance (DCAF), in its financial support role set out in the Agreement on Administrative Arrangements between the ATT Secretariat and the Swiss government.
- g. Pursuant to Rule 10 of the ATT Financial Rules, facilitated the auditing of the ATT Secretariat's and the Voluntary Trust Fund's books by *PricewaterhouseCoopers*, the appointed ATT auditors.

### **7. Administrative Support**

- a. In furtherance of the ATT transparency and reporting objectives, the ATT Secretariat managed the system for sending notifications, receiving and posting Initial and Annual reports under Article 13 of the ATT, national control lists under Article 5 (4), and national point(s) of contact under Article 5(6) of the Treaty.
- b. Managed the system for providing reminders to states with regard to forthcoming reporting deadlines.

- c. Under the oversight of the Management Committee and the CSP5 President, the ATT Secretariat managed the last phase of the IT improvement project, which resulted in the delivery of a modernised IT platform in December 2018, with the following functionalities to support the ATT process: Enhanced Website (Web Portal), Information Database, Improved Communication and Distribution, Web-based Reporting, Conference Services and Web-based Information Exchange.
- d. To uphold good governance and realize value for money, the ATT Secretariat continued to implement the approved ATT Procurement Policy in its procurement of goods and services, under the oversight of the Management Committee and the CSP5 President. Some of the notable procurement transactions for the reporting period include the multi-year contractual framework for interpretation and translation services.
- e. Provided support to and executed directives of the Management Committee on matters falling within the parameters of the Management Committee's oversight responsibility.
- f. Supported and collaborated with the Management Committee in executing its assigned tasks regarding: 1) ATT finances; and 2) elaboration of protocols governing the administration of the ATT sponsorship programme and a review of the administration of the ATT Sponsorship Programme by the ATT Secretariat.
- g. As part of the ATT Secretariat's institutionalization, maintained the interface arrangements between the Secretariat and DCAF with regard to human resources, IT and central support services in the context of the standing Agreement on Administrative Arrangements between the ATT Secretariat and the Swiss government.
- h. Responded to telephone and email inquiries from States and the general public regarding the ATT process.

#### **8. Status of implementation of tasks allocated by CSP4**

- a. Made available on the ATT website all documents by ATT bodies that were considered by CSP4 to assist states in their ATT work.
- b. Participated in the implementation of the outreach strategy on reporting arising from the WGTR Co-chairs' Draft Report to CSP4 (ATT/CSP4.2018/2018/CHAIR/358/Conf.Rep).
- c. Collaborated with the WGTR Co-chairs in investigating the willingness of States Parties to offer basic support to other States Parties on reporting and consider options for announcing those willing to offer such support.
- d. Developed a universalization toolkit relying on the elements contained in Annex B of the WGTU Co-chairs' Draft Report to CSP4 (ATT/CSP4.WGTU/2018/CHAIR/356/Conf.Rep), in support to the WGTU Co-Chairs.
- e. In collaboration with the Management Committee elaborated the necessary protocols governing the administration of the ATT sponsorship programme by the ATT Secretariat, in consultation with States Parties and Signatory States, including a protocol to guide the selection process of the ATT sponsorship.
- f. Implemented the administrative measures to address some of the causes of delayed and non-payment of assessed contributions as outlined in Table 1 of the Management

Committee's Draft Proposal: Unpaid Financial Contributions  
(ATT/CSP4.MC/2018/MC/353/Conf.UnpaidContr).

- g. Included financial issues on the agenda during the intersessional process between CSP4 and CSP5.
- h. In the 2020 budget estimates, included costs for document translation and in-session interpretation in the costs for informal preparatory and Working Groups meetings.

#### 9. **Fifth Conference of States Parties' Preparations**

- a. Managed the logistical arrangements and related matters including translation and interpretation services for the ATT Working Groups' meetings.
- b. Managed the logistical arrangements and related matters including translation and interpretation services for the two meetings that formed part of the CSP5 informal preparatory process.
- c. Developed and/or edited the documents for the CSP5 informal preparatory meetings. This included the translation of the documents.
- d. Issued notices and circulated the CSP5 preparatory meeting documents to States Parties, Signatory States and Observer States, international and regional organisations, civil society and industry.
- e. Managed the publication of the CSP5 preparatory meetings' documents and related communications on the ATT website.
- f. Provided procedural, technical and substantive support to the CSP5 President, the Bureau and the Working Groups' Co-chairs and Facilitators as well as the Management Committee.
- g. Provided administrative and substantive support to the three established ATT Working Groups.
- h. Managed the CSP5 conference services with respect to venue arrangements, participants' registration, translation of documents, interpretation services, technical services, management of side events, exhibitions and related procurement aspects.

#### **ATT VOLUNTARY TRUST FUND**

10. In its capacity as the Administrator of the VTF, as contemplated in Article 5 of the VTF Terms of Reference and paragraph 104 of the VTF Administrative Rules, the ATT Secretariat, undertook the following activities:

- a. In collaboration with the Chair of the VTF Selection Committee implemented the VTF Outreach Strategy through engagement in the following VTF outreach events/activities: UNGA First Committee in New York in October 2018, Georgia and the European Union (Batumi), Senegal (Dakar), Burkina Faso (Bobo-Dioulasso), Thailand and ASEAN (Bangkok), Australia and New Zealand (Brisbane), GCSP (Geneva), Latvia and Control Arms (Riga), Jamaica and the European Union (Kingston), Kazakhstan (Nur-Sultan), Commonwealth

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Secretariat and Small Arms Survey (Geneva), VTF 2018 Outreach Day (Geneva). In addition, attended the meeting of the EU COARM in May 2019 in order to brief participants on the operations of the VTF and collaboration with EU-ATT Outreach Project.

- b. In October 2018, prepared and circulated the VTF request for project proposals for the VTF 2019 project cycle with the deadline set for 16 January 2019.
- c. In April 2019, conducted the pre-screening exercise on the received VTF project proposals for the 2019 VTF project cycle and issued a shortlist to the VTF Selection Committee in accordance with the VTF Guidance for the Selection Process.
- d. Monitored the implementation of the projects approved during the 2017 and 2018 VTF project cycles including tracking of project performance and financial expenditure.
- e. Prepared all communication to VTF applicants advising of the VTF Selection Committee outcomes.
- f. Negotiated and signed donor agreements with various donors to the VTF.
- g. Prepared and submitted necessary reports to the VTF Selection Committee and to donors.
- h. Negotiated, prepared and issued the standard grant agreement between the ATT Secretariat and the successful applicants under the 2019 VTF project cycle.
- i. Facilitated the transfer of grants to the grant recipients in accordance with the terms of the grant agreements.
- j. Supported the VTF Selection Committee in elaborating the 'Guidance for VTF Project Evaluation' to help the ATT Secretariat, with the support of the VTF Selection Committee, to assess whether the VTF funded projects have met their set objectives.

#### **ATT SPONSORSHIP PROGRAMME**

11. In accordance with the CSP4 entrusting the ATT Secretariat with the administration of the ATT sponsorship programme, the ATT Secretariat undertook the activities listed hereunder.
12. With respect to the management of sponsorship funds:
  - a. Prepared and issued the 2019 funding proposal and call for contributions to the ATT sponsorship programme in October 2018.
  - b. Established a separate bank account dedicated to the sponsorship programme to facilitate transparency in the accounting and auditing of the ATT sponsorship programme.
  - c. Allocated up to 8%<sup>1</sup> of the sponsorship funds received to the administration of the ATT sponsorship programme.

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<sup>1</sup> These funds are committed to, *inter alia*, advertising the ATT sponsorship programme, procuring services associated with the ATT sponsorship programme including the engagement of a travel agency, hiring additional (temporary) staff to assist sponsored delegates with their participation in meetings, and communication costs associated with the ATT sponsorship programme.

- d. Prepared a report to CSP5 on the status and implementation of the ATT sponsorship programme.
13. With respect to the selection of delegates to be sponsored, the ATT Secretariat:
- a. Developed the application procedures for the ATT sponsorship programme, including an application form.
  - b. Advertised the ATT sponsorship programme and issued an invitation to apply to the ATT sponsorship programme in November 2018 for the First CSP5 Informal Preparatory Meeting, in February 2019 for the Second CSP5 Informal Preparatory Meeting and in May 2019 for CSP5.
  - c. In line with the draft Administrative Guidelines, pre-screened applicants to be sponsored on the basis of the *General Principles for Selection of Delegates to be Sponsored by the ATT Sponsorship Programme*, and presented the Management Committee with a shortlist to select applicants to receive sponsorship.
  - d. Informed donors of selected applicants for their concurrence prior to communication of the outcomes of the selection process to applicants.
14. With respect to the technical management of the ATT sponsorship programme, the ATT Secretariat has provided the following services to sponsored delegates in accordance with the *ATT Sponsorship Programme: Financial Protocol*):
- a. Booked and issued flight tickets for sponsored delegates;
  - b. Booked and paid for accommodation for sponsored delegates;
  - c. Paid allowances (per diems) for expenses (lunch and dinner) to sponsored delegates;
  - d. Paid terminal allowances (for ground transportation) to sponsored delegates;
  - e. Where necessary, provided a letter in support of a delegate's visa application; and
  - f. Organised and hosted two briefing days for ATT sponsored delegates to the First and Second CSP5 Informal Preparatory Meetings.

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