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Submitted by: the ATT Secretariat

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Arms Trade Treaty**Seventh Conference of States Parties**

Geneva, 30 August - 03 September 2021

## REPORT ON THE ATT SECRETARIAT'S WORK FOR THE PERIOD 2020/2021

### 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 Sixth Conference of States Parties (CSP6) up to the Seventh Conference of States Parties (CSP7).

### 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 its mandate from the VTF Terms of Reference and Administrative Rules. This function entails the establishment of the VTF and maintenance of all processes and activities essential for the effective and efficient 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. Administrative Support**

- a. To further advance the ATT transparency and reporting objectives, the ATT Secretariat managed the system for sending notifications, receiving and posting Initial and Annual reports submitted under Article 13 of the ATT, national control lists established under Article 5 (4), and national point(s) of contact notified to it under Article 5 (6) of the Treaty.
- b. Managed the system for providing reminders to States Parties with regard to forthcoming reporting deadlines.
- c. To uphold good governance and realize value for money, the ATT Secretariat continued to implement the ATT Procurement Policy in all its procurement of goods and services.
- d. Provided support to and executed directives of the Management Committee on matters falling under the oversight responsibility of the Management Committee.
- e. Maintained the interface arrangements between the ATT Secretariat and the Geneva Centre for Security Sector Governance (DCAF) with regard to matters related to human resources, IT and central support services in the context of the standing Administrative and Financial Arrangements between the ATT Secretariat and the Swiss government.
- f. Responded to telephone and email inquiries from States and the general public regarding the ATT process.

**7. Financial Management**

- a. In October 2020, prepared and issued invoices to States for financial contributions to the ATT 2021 budget adopted by CSP6.
- b. In October 2020, prepared and posted on the ATT website the ATT financial rollover register for transparency purposes.
- c. In March 2021 and pursuant to Rule 8 of the ATT Financial Rules, prepared and circulated reminders to States for their outstanding assessed contributions. In addition, continued to implement 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 proposal to CSP4 regarding unpaid financial contributions (ATT/CSP4.MC/2018/MC/353/Conf.UnpaidContr).
- d. Prepared documentation to facilitate discussions during the CSP7 informal preparatory meeting regarding financial contributions to ATT budgets, patterns of payment and their implications for the financial viability of the ATT.
- e. On a quarterly basis, updated and posted on the ATT website the status of ATT financial contributions for transparency purposes.

- f. Prepared the 2022 budget estimates for the ATT Secretariat and the Eighth Conference of States Parties (CSP8) which, after review by the Management Committee, were presented to States Parties on 04 June 2021 for consideration at CSP7.
- g. Managed the ATT budget by providing regular updates to the Management Committee and States. Furthermore, consolidated the established processes for expenditure control.
- h. Pursuant to Rule 10 of the ATT Financial Rules, facilitated the auditing of financial statements for the ATT Secretariat, the VTF and the ATT Sponsorship Programme by *PricewaterhouseCoopers*, the independent ATT auditors.

#### 8. **Status of implementation of tasks allocated by CSP6**

- a. Made available on the ATT website all documents by ATT bodies that were considered by CSP6 to assist States in their ATT work.
- b. Continued to participate in the implementation of the outreach strategy on reporting adopted by CSP4.
- c. Collaborated with the Co-chairs of the Working Group on Transparency and Reporting 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. Provided substantive and administrative support to all ATT working groups in taking forward the implementation of their programmes of work endorsed by CSP6.
- e. Supported the CSP7 President's efforts to, through elaborate and inclusive consultation, move forward six (6) draft decisions submitted to CSP6 for adoption via silence procedure that were not adopted by the Conference. This consultation process resulted in States Parties accepting, via silence procedure, the revised multi-year workplans for the Working Group on Effective Treaty Implementation (WGETI); the extension of the Management Committee mandate regarding the preparation of financial guidelines under Financial Rule 8.1.d; and the extension of the Financial Rule 8.1.d no prejudice rule with respect to applying for support from the VTF and ATT Sponsorship Programme until CSP7.

#### 9. **Preparations for the Seventh Conference of States Parties**

- a. Provided support to the CSP7 President and ATT office holders in setting up a process to determine the format of the CSP7 informal preparatory meetings and informal consultations in light of the COVID-19 travel and health restrictions.
- b. Developed and/or edited the documents for the CSP7 preparatory meetings, the intersessional consultations and the CSP7 informal consultations. This included the translation of the documents.
- c. Issued notices and circulated the documents for the CSP7 preparatory meetings, the intersessional consultations and the informal consultations to States Parties, Signatory States and Observer States, international and regional organisations, civil society and industry.
- d. Managed the logistical arrangements and related matters including translation and interpretation services for the CSP7 preparatory meetings and informal consultations. This

included ensuring the availability of interpretation on the online platform that was used for the meetings, which were held virtually.

- e. Managed the publication of documents and communication for the CSP7 preparatory meetings, the intersessional consultations and the informal consultations on the ATT website.
- f. Provided procedural, technical and substantive support to the CSP7 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 and the Diversion Information Exchange Forum (DIEF).
- h. Supported the CSP7 President and ATT office holders in setting up a process to determine the format of the CSP7 in light of the COVID-19 travel and health restrictions.
- i. Managed the CSP7 conference services with respect to venue arrangements, participants' registration, translation of documents, interpretation services, technical services, management of side events, and related procurement aspects. This included ensuring the availability of interpretation on the online platform that was used for the conference, which was held in a hybrid format.

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

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

- a. In November 2020, prepared and circulated the VTF call for contributions to the 2021 project cycle.
- b. In December 2020, prepared and circulated the VTF request for project proposals for the VTF 2021 project cycle with the deadline set for 12 February 2021.
- c. In April 2021, conducted the pre-screening exercise on the received VTF project proposals for the 2021 VTF project cycle, and in May 2021 submitted 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 2019, 2020 and 2021 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. Set up a framework for negotiation and preparation of grant agreements between the ATT Secretariat and the successful applicants under the 2021 VTF project cycle.

- i. Facilitated the transfer of grants to the grant recipients in accordance with the terms of the grant agreements.

#### **ATT SPONSORSHIP PROGRAMME**

11. In accordance with the CSP4 decision 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 2021 funding proposal and call for contributions to the ATT Sponsorship Programme in November 2020.
- b. Maintained the bank account dedicated to the ATT 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.
- d. Prepared a report to CSP7 on the status and implementation of the ATT Sponsorship Programme.

13. Due to COVID-19 health and travel restrictions, the CSP7 preparatory meetings and informal consultations were held virtually resulting in the sponsorship programme not being used for these meetings. A limited sponsorship programme was offered to States that do not have Permanent Missions in Geneva to enable them to send a representative to attend CSP7 in person, if desired.

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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.