

Arms Trade Treaty  
**Eighth Conference of States Parties**  
Geneva, 22 - 26 August 2022

## REPORT ON THE ATT SECRETARIAT'S WORK FOR THE PERIOD 2021/2022

### INTRODUCTION

1. This report is submitted by the ATT Secretariat in accordance with its reporting obligation 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 Seventh Conference of States Parties (CSP7) up to the Eighth Conference of States Parties (CSP8).

### 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).

- c. Manages a dedicated project to support ATT implementation in the following priority areas: capacity building of ATT national points of contact, expert roster (training the trainers), and establishment of a database for matching needs and resources. This project is funded by the European Union through Council Decision CFSP 2921/649 of 16 April 2021.

#### **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 its procurement of goods and services under the oversight of the Management Committee. Some of the notable procurement transactions for the reporting period include the multi-year contractual framework for interpretation and translation services.
- d. Provided support to and executed directives of the Management Committee on matters falling under its oversight responsibility.
- e. Maintained 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 2021, prepared and issued invoices to States for financial contributions to the ATT 2022 budget adopted by CSP7. Alongside this effort, also prepared and posted on the ATT website the ATT financial rollover register for transparency purposes.
- b. In March 2022 and pursuant to Rule 8 of the ATT Financial Rules, prepared and circulated reminders to all States with outstanding assessed contributions.
- c. Prepared documentation to facilitate discussions during the CSP8 informal preparatory meeting 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 2023 budget estimates for the ATT Secretariat and the Ninth Conference of States Parties (CSP9) which, after review by the Management Committee, were presented to States Parties on 20 May 2022 for consideration at CSP8.
- f. Managed the ATT budget and provided regular updates to the Management Committee and States. Furthermore, consolidated the established processes for expenditure control.
- g. 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 CSP7**

- a. Made available on the ATT website all documents by ATT bodies that were considered by CSP7 to assist States in their ATT work.
- b. Continued to participate in the implementation of the outreach strategy on reporting adopted by CSP4.
- c. Provided substantive and administrative support to all ATT Working Groups in taking forward the implementation of their programmes of work endorsed by States Parties.
- d. Supported the CSP8 President's efforts to promote Treaty universalization.
- e. In collaboration with the Management Committee elaborated a practical procedure to implement the Guidelines for Financial Arrangements under Financial Rule 8 (1)d), as adopted by CSP7.

**9. Preparations for the Eighth Conference of States Parties**

- a. Provided support to the CSP8 President and ATT office holders in implementing the process to determine the format of the CSP8 informal preparatory meetings and CSP8 itself in light of the COVID-19 evolution.
- b. Developed and/or edited the documents for the CSP8 preparatory meetings and intersessional consultations. This included the translation of the documents.
- c. Issued notices and circulated the documents for the CSP8 preparatory meetings 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 CSP8 preparatory meetings. This included ensuring the availability of interpretation on the online platform that was used for the meetings, which were held in hybrid format.
- e. Managed the publication of documents and communication for the CSP8 preparatory meetings and intersessional consultations on the ATT website.

- f. Provided procedural, technical and substantive support to the CSP8 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. Managed the CSP8 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. This included ensuring the availability of interpretation on the livestreaming platform that was used for the conference.

#### **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. Collaborated with the VTF Chairperson in undertaking VTF outreach activities including the production of instructional video.
  - b. In October 2021, prepared and circulated the VTF call for contributions to the 2022 project cycle.
  - c. In October 2021, prepared and circulated the VTF call for project proposals for the VTF 2022 project cycle with the deadline set for 14 January 2022.
  - d. In April 2022, conducted the pre-screening exercise on the received VTF project proposals for the 2022 VTF project cycle, and in April 2022 submitted a shortlist to the VTF Selection Committee in accordance with the VTF Guidance for the Selection Process.
  - e. Monitored the implementation of the projects approved during the 2019, 2020, 2021 and 2022 VTF project cycles including tracking of project performance and financial expenditure.
  - f. Prepared all communication to VTF applicants advising of the VTF Selection Committee outcomes.
  - g. Negotiated and signed donor agreements with various donors to the VTF.
  - h. Prepared and submitted necessary reports to the VTF Selection Committee and to donors.
  - i. Set up a framework for negotiation and preparation of grant agreements between the ATT Secretariat and the successful applicants under the 2022 VTF project cycle.
  - j. Facilitated the transfer of grants to the grant recipients in accordance with the terms of the grant agreements.
  - k. Maintained a bank account and financial management system dedicated to the VTF workstream to facilitate financial efficiency, transparency in accounting and favourable audit outcomes.

- I. Prepared a report to CSP8 on the status of operation of the VTF.

### **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 2022 funding proposal and call for contributions to the ATT Sponsorship Programme in November 2021.
- b. Maintained a bank account and financial management system dedicated to the programme to facilitate financial efficiency, transparency in accounting and favourable audit outcomes.
- 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 CSP8 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. Advertised the ATT Sponsorship Programme and issued an invitation to apply for ATT sponsorship in November 2021 for the First and Second CSP8 Informal Preparatory Meetings and in May 2022 for CSP8.
- b. 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 to donors a shortlist of eligible applicants for input prior to final selection and 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;

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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.

- e. Where necessary, arranged and paid for Covid-19 tests for sponsored delegates;
- f. Where necessary, provided a letter in support of a delegate's visa application; and
- g. Organised and hosted two briefing days for ATT sponsored delegates to the First and Second CSP8 Informal Preparatory Meetings.

#### **ATT IMPLEMENTATION SUPPORT PROJECT**

15. In accordance with its direction giving and management role of the ATT implementation support project, the ATT Secretariat undertook the activities listed hereunder.
16. With respect to the first activity, capacity building of ATT national points of contact (NPCs):
- a. In December 2021 conducted a survey to assess the level of NPCs experience, level of involvement in the ATT process, challenges experienced and assistance required.
  - b. Conducted two briefings to NPCs on 14 February and 25 April 2022.
  - c. Established individual contact with NPCs to assess support needed.
  - d. In response to the requirements of the Treaty and the directive of CSP3, developed, consulted and published the NPC Guidance document to provide guidance on the role and tasks of NPCs in exchanging information on matters related to implementation of the Treaty.
  - e. Conducted preliminary work on considerations to guide the development of a dedicated NPC webpage on the ATT website.
17. With respect to the second activity, expert roster (training the trainers):
- a. Collaborated with established expert contributors in developing comprehensive ATT training manual and guide.
  - b. Collaborated with an expert in developing a training methodology to be applied during planned regional workshops.
  - c. Made progress in evaluating suitable locations for planned regional workshops.
18. With respect to the third activity, establishment of database for matching needs and resources:
- a. Currently assessing options for establishing an appropriate mechanism for matching needs and resources.
  - b. The activity above will set a basis for planned subsequent activities to design, establish, launch and maintain a database for matching needs and resources.

19. With respect to management and visibility of the project:

- a. Maintained a bank account and financial management system dedicated to the project to facilitate financial efficiency, transparency in accounting and favourable audit outcomes.

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