
Arms Trade Treaty
Third Conference of States Parties
Geneva, 11 – 15 September 2017

REPORT ON THE ATT SECRETARIAT'S ACTIVITIES FOR THE PERIOD 2016/2017

INTRODUCTION

1. This report is submitted by the ATT Secretariat in compliance with its reporting obligations to the Conference of States Parties as contemplated in Article 18 (3) of the Arms Trade Treaty and Section 2 of the Directive of States Parties to the Secretariat.
2. The ATT Secretariat is established under Article 18 of the Treaty to assist States Parties in the effective implementation of the Treaty by carrying out specific functions set out in Section 18 (3) of the Treaty and elaborated in the Directive of States Parties to the Secretariat referenced ATT/CSP1/CONF/3.
3. This report covers the Secretariat's activities for the period immediately after the Second Conference of States Parties to date.

MANDATE

4. The mandate of the Secretariat is to assist States Parties in the effective implementation of the Treaty. The Secretariat executes this mandate through undertaking the following specific responsibilities provided for in Art 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.
5. The Secretariat responsibilities are further elaborated by the Directive of States Parties to the Secretariat issued under document ATT/CSP1/CONF/3.

STAFF RECRUITMENT

6. The Secretariat's organisational structure provides for a staff capacity of three people i.e. P4, P3 and P2. With the Head of the Secretariat appointed by the Second Conference of States Parties, the process for the recruitment for other two staff positions (P3 and P2) was conducted by the Head of the Secretariat over the period of September to October 2016, with the resultant appointment of Ms. Sarah PARKER (P3) and Mr. Stefan OTT (P2). The two officials assumed duty on 01 December 2016.

7. At this stage the ATT Secretariat is fully staffed and all the relevant contractual arrangements for the staff members are in order.

SECRETARIAT'S ACTIVITIES

8. For the reporting period, the Secretariat undertook the activities listed hereunder in fulfilment of its mandatory responsibilities:

Financial Management

- a. Prepared and issued notices in October 2016 to States for financial contributions towards the ATT 2017 budget as adopted by the Second Conference of States Parties.
- b. Pursuant to Rule 8 of the ATT Financial Rules, notified States of their outstanding assessed contributions in March 2017.
- c. Prepared documentation to the CSP3 informal preparatory process on the current status of financial contributions to the ATT budgets and possible measures to be considered by states in trying to improve the situation.
- d. Prepared the 2018 budget estimates for the ATT Secretariat and the Fourth Conference of States Parties, which were reviewed by the Management Committee and presented to States Parties on 15 June 2017 for later consideration at the Third Conference of States Parties.
- e. Managed the ATT budget by providing regular updates to the Management Committee and States. Furthermore, consolidated the established processes for expenditure control between the Secretariat and DCAF, in its financial support role as provided for in the Agreement on Administrative Arrangements between the Secretariat and the Swiss government.

Administrative Support

- a. Managed the system for notifying, receiving and posting of Initial and Annual reports under Article 13 of the Arms Trade Treaty, and 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 forthcoming reporting deadlines.
- c. In collaboration with the Management Committee, developed the Secretariat's Procurement Policy that was ultimately adopted by States Parties on 28 June 2017 by silence procedure.

- d. Drafted and issued communications to States Parties to commence and conclude silence procedure proceedings on the Secretariat's Procurement Policy.
- e. Prepared the 'statement of work' for the planned Secretariat's IT improvement project detailing the required IT functionalities, alignment and development sequence. In addition, the 'statement of work' was consulted with all States.
- f. Provided support to and executed directives of the Management Committee with respect to matters falling within the parameters of the Management Committee's oversight responsibility.
- g. As part of the Secretariat's institutionalization, managed the interface arrangements between the Secretariat and DCAF with regards to financial, human resources, IT and central support services in the context of the standing Agreement on Administrative Arrangements between the Secretariat and the Swiss government.
- h. Responded to telephone and email inquiries from States and the general public regarding the ATT process.

Third Conference of States Parties' Preparations

- a. Managed the logistical arrangements and related matters for the ATT Working Groups' meetings.
- b. Managed the logistical arrangements and related matters for the three meetings that formed part of the CSP3 informal preparatory process.
- c. Developed and/or edited the documents for the CSP3 informal preparatory meetings.
- d. Issued notices and circulated the CSP3 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 CSP3 preparatory meetings' documents and related communications on the updated ATT website.
- f. Provided procedural, technical and substantive support to the CSP3 President, including accompanying him on ATT outreach visits to Africa, Asia and the Americas.
- g. Provided procedural, technical and substantive support to the Bureau and the Working Groups' Co-chairs.
- h. Provided administrative and substantive support to the three established ATT Working Groups.
- i. Managed the CSP3 conference services with respect to venue arrangements, participants' registration, documents translation, interpretation services, technical services, side events management, exhibitions and related procurement aspects.

ATT VOLUNTARY TRUST FUND

9. With the Voluntary Trust Fund (VTF) established and its Terms of Reference approved by the Second Conference of States Parties, the ATT Secretariat, in its capacity as the administrator for the Fund, undertook the following activities:

- a. Prepared and circulated the confirmation of the members of the Selection Committee of the Trust Fund.
- b. Developed and prepared the VTF Administrative Rules to guide all the VTF activities for approval by the VTF Selection Committee.
- c. In November 2016, prepared and circulated the VTF request for financial contribution for the first VTF project cycle.
- d. Prepared and issued the standard donor agreement between the Secretariat and the donor countries.
- e. Negotiated and signed the donor agreements with various respective donors.
- f. In December 2017, prepared and circulated the VTF request for project proposals with the deadline set for 31 March 2017.
- g. In April 2017, conducted the pre-screening exercise on the received VTF project proposals and issued a shortlist to the Selection Committee.
- h. Reviewed all VTF applications and prepared requests for clarification and refinement of each proposal to ensure all proposals met a certain quality standard.
- i. Prepared all communication to VTF applicants advising of the Selection Committee outcomes.
- j. Prepared and issued the standard grant agreement between the Secretariat and the 17 successful VTF applicants.
- k. Negotiated and signed the VTF Grant Agreements with the successful applicants.
- l. Facilitated the transfer of grants to the grant recipients in accordance with the terms of the grant agreement.

CAPACITY OF THE SECRETARIAT

10. The structure and the staff positions of the ATT Secretariat were based on the envisaged role of the ATT Secretariat as contemplated in Article 18 of the Treaty. Whilst the Secretariat staff capacity is consistent with the original role of the Secretariat, the establishment of the Voluntary Trust Fund and its immediate operationalisation has brought about an added responsibility to the Secretariat. In terms of the VTF Terms of Reference, the Secretariat assumes the role of the Administrator of the Fund which entails an elaborate set of responsibilities which include in broad terms:

- a. Managing the VTF application process.

- b. Processing and pre-screening of VTF applications for selection.
- c. Reviewing and refining project proposals and frameworks.
- d. Liaising with grant recipients to negotiate grant agreements.
- e. Monitoring of VTF projects.
- f. Conclusions and reporting on VTF projects.
- g. General management of the VTF.

11. The work demands of the VTF thus far have been undertaken with the current internal capacity of the Secretariat but the forthcoming responsibility of monitoring the VTF projects will overstretch the Secretariat's capacity. Furthermore, the foreseeable overlap of the VTF projects' cycles will stretch the Secretariat capacity even further. Such a situation cannot be sustained without a compromise of the quality of the Secretariat's work.

12. In view of the above, it is recommended that the Secretariat, in consultation with the Management Committee, be mandated to investigate possibilities of addressing the staff capacity challenges in relation to the VTF and determine a workable solution. Subject to thorough evaluation, options that the Secretariat could consider in the period after CSP3 include, but are not limited to, the following:

- a. Consideration by the VTF Selection Committee of a possibility for a percentage of the VTF contribution to be used for staff capacity.
- b. Approach the EU with a project proposal to promote universalization and implementation of the Treaty that includes VTF administration and outreach activities.
- c. Consideration of the possible increase of the Secretariat's staff capacity from the current three people to four people.
