

**UPDATED DRAFT MATRIX OF EVALUATION WITH 7 PRINCIPLES  
(Reference Paper)**

1. In August 2018, the Fourth Conference of States Parties (CSP4) to the Arms Trade Treaty (ATT) agreed that "the Management Committee will report on the ATT Secretariat's performance on the administration of the Sponsorship Programme at the Sixth Conference of States Parties" (ATT/CSP4/2018/SEC/369/Conf.FinRep.Rev1).

2. In order to draft its report to CSP6 as required, the Management Committee has updated the draft matrix for evaluation (ATT/CSP5/2019/MC/411/PM1.DrMatrix), which was submitted for information purposes to the CSP5 First Informal Preparatory Meeting, by incorporating the seven principles outlined in the final Administrative Guidelines of the ATT Sponsorship Programme (ATT/CSP5/2019/SEC/530/SponProgRep) adopted by CSP5.

3. The updated draft matrix for evaluation (Annex A) is hereby circulated for information purposes. Based on the updated draft matrix, the Management Committee will prepare its draft report to CSP6 on the ATT Secretariat's performance on the administration of the Sponsorship Programme. The Management Committee's draft report to CSP6 will be circulated together with all conference documents for CSP6.

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## ANNEX A: UPDATED DRAFT MATRIX FOR EVALUATION WITH 7 PRINCIPLES (REF: ANNEX A of AT/CSP5/2019/MC/411/PM1.DrMatrix)

TASKS TO BE PERFORMED BY THE ATT SECRETARIAT [Excerpts from ATT Sponsorship Programme Administrative Guidelines]	QUESTIONS BASED ON THE EVALUATION CRITERIAS [Excerpts from Draft Matrix of Evaluation]	Participation	Inclusivity	Transparency	Objectivity	Accountability	Efficiency	Effectiveness
<b>Management of the Funds</b>								
Prepare funding proposals and issue calls for contributions to the sponsorship programme as necessary, but at least on an annual basis (paragraphs 7.a and 10, or at least twice on an annual basis as stipulated in para 10), and the calls include what is provided in para 11 and 12 of the Guidelines.	Were funding proposals prepared and calls for contributions issued at least on an annual basis?			✓	✓			
	Were the calls for voluntary contributions disseminated in a broad manner?		✓				✓	✓
	Has the ATT Secretariat undertaken additional exchanges with potential donors to inform the development of the sponsorship programme and its funding proposals?		✓			✓		
	Were funding proposals and calls for contributions circulated sufficiently in advance of meetings so that States could have enough time for domestic coordination and consideration?						✓	✓
	Were funding proposals and calls for contributions circulated separately from conference documents to avoid confusion?							✓

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Establish a separate bank account dedicated to the sponsorship programme to facilitate transparency in the accounting and auditing of the sponsorship programme (paragraph 7.b).	Did the ATT Secretariat establish a separate bank account dedicated to the sponsorship programme?  Has the ATT Secretariat taken other measures to facilitate transparency in the accounting and auditing of the sponsorship programme?			✓		✓		
Allocate up to 8% of the sponsorship funds received to the administration of the ATT sponsorship programme (paragraph 7.c).	Was the financial allocation to the programme administration limited to 8 % or below of the entire funds received?			✓		✓	✓	✓
Report comprehensively on the status and implementation of the ATT sponsorship programme at Conferences of States Parties and ensure the report is publicly available on the ATT website (paragraphs 7.d, 20 and 21).  Keep a record of received contributions to the ATT sponsorship programme, and inform States Parties of the amount of funds available for each series of CSP meetings (para 13).	Did the ATT Secretariat report on the status of the ATT sponsorship programme at Conferences of States Parties?  Were reports provided by the ATT Secretariat comprehensive? If not, what information was missing?  Were the reports of the ATT Secretariat made publicly available on the ATT website?			✓		✓		✓
<b>Management of Application and Selection Processes</b>								
Develop the application procedures for the ATT sponsorship programme, including an application form	Has the ATT Secretariat developed application procedures for the ATT sponsorship programme?	✓	✓	✓			✓	✓

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(paragraphs 8.a).	<p>Has the ATT Secretariat developed an application form for the ATT sponsorship programme?</p> <p>Are the application procedures for the sponsorship programme developed by the ATT Secretariat appropriate and user-friendly?</p>							
<p>Advertise the ATT sponsorship programme and issue an invitation to apply to the ATT sponsorship programme in advance (preferably 3 months ahead of meeting) of each ATT meeting (subject to the availability of sponsorship funds) (paragraphs 8.b).</p> <p>Invite applications for sponsorship in advance of each ATT meeting where sponsorship funds are available (para 15).</p>	<p>Did the ATT Secretariat advertise the availability of sponsorship and issue the calls for applications to apply to the ATT sponsorship programme at least 3 months in advance of each meeting where sponsorship was available?</p> <p>Were the calls for applications widely disseminated?</p>	<p>✓</p>	<p>✓</p>	<p>✓</p>			<p>✓</p>	<p>✓</p>
<p>Select applicants to be sponsored on the basis of the General Principles for Selection of Delegates to be Sponsored by the ATT Sponsorship Programme (Annex A), and inform donors of such selection through the circulation of a shortlist for their consideration prior to taking the final decision (para8c).</p>	<p>Was the pre-screening of all sponsorship applications received by the due date conducted in an effective, efficient and timely manner?</p> <p>Has the ATT Secretariat applied the eligibility and selection criteria set out in the Administrative Guidelines during the pre-screening and in the preparation of the shortlist of eligible applicants?</p> <p>[To request the ATT Secretariat the figures of sponsored delegates by States Parties, Signatory States, States that have not yet joined the Treaty and other consideration, such as regional representation, gender and the role of the State in the ATT process.]</p>		<p>✓</p>				<p>✓</p>	<p>✓</p>

<b>TASKS TO BE PERFORMED BY THE ATT SECRETARIAT</b> <b>[Excerpts from ATT Sponsorship Programme Administrative Guidelines]</b>	<b>QUESTIONS BASED ON THE EVALUATION CRITERIAS</b> <b>[Excerpts from Draft Matrix of Evaluation]</b>	<b>Participation</b>	<b>Inclusivity</b>	<b>Transparency</b>	<b>Objectivity</b>	<b>Accountability</b>	<b>Efficiency</b>	<b>Effectiveness</b>
Draft a shortlist of eligible applicants for sponsorship for each meeting where sponsorship funds are available, and circulate the shortlist to States that have contributed to the ATT sponsorship programme since CSP4, in which the programme was entrusted to the ATT Secretariat (para16).	Has the ATT Secretariat shared the shortlist of eligible applicants with all donors?	✓	✓	✓	✓	✓	✓	
Subject to any input from a donor or donors to the ATT sponsorship programme, decide on the applicants to be sponsored for each ATT meeting where sponsorship funds are available, based on the shortlist (para17).	Was the ATT Secretariat able to ensure that earmarked contributions are spent accordingly? Was the communication with donors adequate?	✓				✓		✓
[May request the Management Committee to appoint one of the donors to the ATT sponsorship programme to liaise with and help coordinate input from the other donors (a ‘sponsorship coordinator’) (para 18).]	[If a request was made, was it made in accordance with necessity in a timely manner, and was the coordinating donor allowed to play the role adequately]			✓			✓	✓
<b>Technical Management</b>								
Provide services to sponsored delegates as listed in the Financial Protocol (Annex B), namely: flight tickets, accommodation, allowances (per diems), terminal allowances, and where necessary, provision of letter in support of a delegate’s visa application (para 9).	Based on the feedback of sponsorship recipients, were the services provided by the ATT Secretariat to the sponsored delegates delivered in a timely, effective and cost-efficient manner?			✓			✓	✓
	Did the ATT Secretariat made clear, effective and timely communications to sponsored delegates until the end of their sponsorship?  Did the ATT Secretariat respond to any legitimate emergencies, in case they arose with respect to sponsored delegates, in a timely and appropriate manner?	✓		✓			✓	✓

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Elaborate administrative details regarding the application procedure to be followed by applicants (Annex C) (para 14).	Is the Application Form (Annex C) clear and user-friendly? Is it easily accessible on the ATT website?	✓		✓			✓	✓
<b>Overall Management of the ATT Sponsorship Programme</b>								
The ATT Secretariat is entrusted with the overall management of the ATT sponsorship programme, including managing the sponsorship funds, assisting in the selection of the delegates to be sponsored, in consultation with donors to the ATT Sponsorship Programme and technical management (para 6).	Did the ATT sponsorship programme achieve its primary objective under paragraph 3 of the Guidelines under the administration of the ATT Secretariat (namely: 'to maximize the scale and diversity of participation of experts from States in ATT meetings to ensure representative and participatory discourse and decision-making during the meetings')?							✓
	Have the sponsorship funds been administered by the ATT Secretariat in a cost-efficient way?							✓
	Are there any areas of the sponsorship programme that require improvement? If any, are there specific recommendations?	✓	✓	✓	✓	✓	✓	✓
	Has the sponsorship programme been administered in accordance with the Financial Protocol in Annex B of the Guidelines?							✓
Apply the audit provisions as per Rule 10 of the ATT Financial Rules (para 19).	Has the ATT Secretariat subjected the sponsorship programme to an annual audit?			✓		✓		

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