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Arms Trade Treaty  
**Fourth Conference of States Parties**  
Tokyo, 20 – 24 August 2018

## REPORT ON THE ATT SECRETARIAT'S ACTIVITIES FOR THE PERIOD 2017/2018

### 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 ATT Secretariat issued under document ATT/CSP1/CONF/3.
2. The report covers the ATT Secretariat's activities for the period immediately after the Third Conference of States Parties to date.

### 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 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.
4. In addition to its traditional responsibilities set out above, paragraph 5 of the Voluntary Trust Fund Terms of Reference and consequently paragraph 104 of the Voluntary Trust Fund Administrative Rules give a mandate to the ATT Secretariat to administer the Voluntary Trust Fund (VTF), which function entails the management of all processes and activities incidental to the efficient functioning of the Fund.

**THE ATT SECRETARIAT'S ACTIVITIES**

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

**Financial Management**

- a. Prepared and issued invoices in October 2017 to States for financial contributions towards the ATT 2018 budget as adopted by the Third Conference of States Parties.
- b. Pursuant to Rule 8 of the ATT Financial Rules, notified States of their outstanding assessed contributions in March 2018.
- c. Prepared documentation to the informal preparatory process of the Fourth Conference of States Parties (CSP4) on the status of financial contributions to the ATT budgets and reflecting 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 2019 budget estimates for the ATT Secretariat and the Fifth Conference of States Parties, which were reviewed by the Management Committee and presented to States Parties on 22 May 2018 for later consideration at CSP4.
- 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 Democratic Control of Armed Forces (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 and the Voluntary Trust Fund's books by *PricewaterhouseCoopers*, the appointed ATT auditors.

**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. Under the overall oversight of the Management Committee and the CSP4 President, managed the ATT Secretariat's IT improvement project which included the announcement of tender, evaluation of tenders, selection of suitable service provider, setting up of contractual arrangements, development of project schedule and monitoring of the project implementation.

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- d. Drafted and issued, under the CSP4 President's authority, communications to States Parties to commence and conclude the silence procedure regarding the ATT Secretariat's capacity for the administration of the VTF.
  - e. 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.
  - f. Supported the Management Committee in executing its assigned tasks regarding: 1) Unpaid Financial Contributions; and 2) review of the ATT Sponsorship Programme.
  - g. As part of the ATT Secretariat's institutionalization, managed 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.

#### **Status of implementation of tasks allocated by CSP3**

- a. With respect to addressing the capacity of the VTF administration, the ATT Secretariat worked jointly with the VTF Selection Committee, Management Committee and the CSP4 President in identifying a workable solution. The proposed workable solution for the VTF administration was adopted by states parties via silence procedure in April 2018 (see paragraphs 8-10 for more details).
- b. Ensured that 'compliance with mandatory reporting obligations forms part of CSP agenda' under item 7 of the CSP4 agenda.
- c. Made available on the ATT website the '*Reporting Authorized or Actual Exports and Imports of Conventional Arms: Questions & Answers*' to assist states in preparing their ATT reports.
- d. Established and verified a database on National Points of Contact to facilitate the exchange of information on matters related to the implementation of the Treaty.
- e. Developed a mechanism to roll-over 270,000 USD to paid up states and allocated 150 000 USD of uncommitted funds to supplement the budget for the Secretariat IT system. Consequently, the ATT Secretariat implemented the project for the improvement of the ATT Secretariat's IT system, which resulted in the launch of the revamped ATT website in early August 2018.
- f. Facilitated the contracting of PricewaterhouseCoopers (PWC) as the ATT auditor for four years.

#### **Fourth 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 CSP4 informal preparatory process.
- c. Developed and/or edited the documents for the CSP4 informal preparatory meetings. This included the translation of the documents.
- d. Issued notices and circulated the CSP4 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 CSP4 preparatory meetings' documents and related communications on the updated ATT website.
- f. Provided procedural, technical and substantive support to the CSP4 President, including accompanying him on three ATT outreach visits of one week each to Africa and Asia.
- 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 CSP4 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**

6. 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 VTF Selection Committee, developed a VTF Outreach Strategy to promote the VTF as an instrument to support effective Treaty implementation.
- b. Actively participated in the VTF outreach events undertaken during the UNGA First Committee in New York in October 2017, Togo (Lomé), Senegal (Dakar), Cambodia (Phnom Penh), New Zealand (Auckland), and in Geneva.
- a. In October 2017, prepared and circulated the VTF request for project proposals for the VTF 2018 project cycle with the deadline set for 08 January 2018.
- c. In January 2018, prepared and circulated an additional VTF call for financial contributions.
- d. Supported the VTF Selection Committee in elaborating the *Guidance for the Selection Process* to assist in assessing applications for VTF funding.
- e. In April 2018, conducted the pre-screening exercise on the received VTF project proposals for the 2018 VTF project cycle and issued a shortlist to the VTF Selection Committee.

- f. Supported the VTF Selection Committee in re-evaluating the VTF Terms of Reference and consequently the VTF Administrative Rules.
- g. Monitored the implementation of the projects approved during the 2017 VTF project cycle including tracking of project performance and financial expenditure.
- h. Prepared all communication to VTF applicants advising of the VTF Selection Committee outcomes.
- i. Negotiated, prepared and issued the standard grant agreement between the ATT Secretariat and successful applicants under the 2018 VTF project cycle.
- j. Facilitated the transfer of grants to the grant recipients in accordance with the terms of the grant agreements.

#### **CAPACITY OF THE SECRETARIAT REGARDING THE VTF ADMINISTRATION**

7. CSP3 decided that the capacity of the ATT Secretariat regarding the VTF administration should be addressed through the identification of a workable solution. Following this CSP3 decision, the ATT Secretariat, the VTF Selection Committee and the Management Committee considered various options and ultimately reached consensus on a proposal for the VTF to set aside an amount of (USD 75 000) to hire of a part-time employee at a P2 Level to assist with the administration of the Fund.

8. In view of the urgency of the matter, the CSP4 President presented this proposal to all States Parties for consideration and adoption via silence procedure, as mandated by CSP3. At the expiry of the deadline, which was set on 17 April 2018, the silence procedure had not been broken by any State Party. Pursuant to Rule 41(3) of the ATT Rules of Procedure, the CSP4 President then officially informed States Parties of the adoption of the proposal for immediate implementation.

9. Accordingly, the ATT Secretariat commenced the recruitment process for a part-time employee to assist with the administration of the VTF. The vacancy announcement for the position was circulated to all States and posted on the ATT website on 04 May 2018 with a closing date set on 04 June 2018. The shortlisting and interviews of candidates for the position were conducted on 22 June, 03 July 2018 and 24 July respectively.

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