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Arms Trade Treaty  
**Sixth Conference of States Parties**  
Geneva, 17 – 21 August 2020  
(By written procedure)

## REPORT ON THE ATT SECRETARIAT'S WORK FOR THE PERIOD 2019/2020

### 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 Fifth Conference of States Parties (CSP5) up to the Sixth Conference of States Parties (CSP6).

### 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 the mandate arising from paragraph 5 of the Voluntary Trust Fund Terms of Reference and, consequently, paragraph 104 of the Voluntary Trust Fund Administrative Rules. This function entails the establishment of the VTF and the management of all processes and activities incidental to the effective and efficient and 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 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 under notified to it 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 within the parameters of the Management Committee's oversight responsibility.
- e. As part of the ATT Secretariat's institutionalization, maintained the interface arrangements between the ATT Secretariat and the Geneva Centre for Security Sector Governance (DCAF) with regard 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 2019, prepared and issued invoices to States for financial contributions towards the ATT 2020 budget as adopted by CSP5.
- b. In October 2019, prepared and posted on the ATT website the ATT rollover register for transparency purposes.
- c. In March 2020 and pursuant to Rule 8 of the ATT Financial Rules, prepared and circulated reminders to States for their outstanding assessed contributions. In addition, implemented the 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 informal preparatory process of CSP6 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 2021 budget estimates for the ATT Secretariat and the Seventh Conference of States Parties (CSP7) which, after review by the Management Committee, were presented to States Parties on 18 May 2020 for consideration at CSP6.
- g. 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 DCAF, in its financial support role set out in the Administrative and Financial Arrangements between the ATT Secretariat and the Swiss government.
- h. Pursuant to Rule 10 of the ATT Financial Rules, facilitated the auditing of the ATT Secretariat, the Voluntary Trust Fund and the ATT Sponsorship Programme's accounts by *PricewaterhouseCoopers*, the appointed ATT auditors.

**8. Status of implementation of tasks allocated by CSP5**

- a. Made available on the ATT website all documents by ATT bodies that were considered by CSP5 to assist states in their ATT work.
- b. Participated in the implementation of the outreach strategy on reporting adopted by CSP4 and endorsed by CSP5.
- c. In accordance with the CSP5 decision, drafted instructions or guidance on the use of the information exchange platform.
- d. 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.
- e. Provided substantive and administrative support to all ATT working groups in taking forward the implementation of their programmes of work endorsed by CSP5.
- f. Developed a financial accounting system to implement the CSP5 decision on the management of financial roll - overs in the ATT. And applied the flexibility of ATT Financial Rules regarding the closing of financial accounts.
- g. Established the ATT reserve fund in accordance with the Terms of Reference annexed to the Management Committee's draft proposal to address problems related to financial liquidity (ATT/CSP5.MC/2019/MC/534/Conf.PropFinLiq.Rev1) approved by CSP5.
- h. Retained financial issues on the agenda during the intersessional process between CSP5 and CSP6.

**9. Sixth 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. Developed and/or edited the documents for the CSP6 informal preparatory meetings. This included the translation of the documents.
- c. Issued notices and circulated the CSP6 preparatory meeting documents to States Parties, Signatory States and Observer States, international and regional organisations, civil society and industry.
- d. Managed the publication of the CSP6 preparatory meetings' documents and related communications on the ATT website.
- e. Provided procedural, technical and substantive support to the CSP6 President, the Bureau and the Working Groups' Co-chairs and Facilitators as well as the Management Committee.
- f. Provided administrative and substantive support to the three established ATT Working Groups.
- g. Provided support to the CSP6 President and ATT office holders in setting up a process to determine the format of CSP6 in light of the COVID-19 outbreak and the consequent restrictions and limitation on the holding of meetings.
- h. Facilitated the CSP6 arrangements with respect to determination of meeting format, translation and circulation of conference documents, as well as circulation of proposed decisions.

**ATT VOLUNTARY TRUST FUND**

10. 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 Chair of the VTF Selection Committee, implemented the VTF Outreach Strategy through engagement in the following VTF outreach events/activities: UNGA First Committee in New York in October 2019, Togo (Lomé), GCSP (Geneva), Island States within the Commonwealth (London) and the VTF 2019 Outreach Day (Geneva).
- b. In October 2019, prepared and circulated the VTF call for contributions to the 2020 project cycle.
- c. In October 2019, prepared and circulated the VTF request for project proposals for the VTF 2018 project cycle with the deadline set for 16 January 2020.
- d. In April 2020, conducted the pre-screening exercise on the received VTF project proposals for the 2020 VTF project cycle, and in May 2020 issued 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 2017, 2018 and 2019 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 2020 VTF project cycle.
- j. 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 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 2020 funding proposal and call for contributions to the ATT sponsorship programme in October 2019.
  - b. Maintained the bank account dedicated to the 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 CSP6 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. Implemented the application procedures for the ATT sponsorship programme, including an application form endorsed by CSP5.
  - b. Advertised the ATT sponsorship programme and issued an invitation to apply to the ATT sponsorship programme in November 2019 for the First CSP6 Informal Preparatory Meeting. As a result of COVID-19 situation and the cancellation of the Second CSP6 Informal Preparatory Meeting and the convening of CSP6 in a written procedure, the sponsorship programme could not be used beyond the First CSP6 Informal Preparatory Meeting for this cycle.

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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.

- c. Screened and selected applicants to be sponsored for the First CSP6 Informal Preparatory Meeting in accordance with the Administrative Guidelines for the ATT Sponsorship Programme.
- d. Informed donors of selected applicants for their concurrence prior to 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;
- e. Where necessary, provided a letter in support of a delegate's visa application; and
- f. Organised and hosted a briefing day for ATT sponsored delegates to the First CSP6 Informal Preparatory Meetings.

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