
Arms Trade Treaty

Ninth Conference of States Parties

Geneva, 21 - 25 August 2023

REPORT ON THE ATT SECRETARIAT'S WORK FOR THE PERIOD 2022/2023

INTRODUCTION

1. This report is submitted by the ATT Secretariat in accordance with its reporting obligation to the Conference of States Parties 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 Eighth Conference of States Parties (CSP8) up to the Ninth Conference of States Parties (CSP9).

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 by 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 for ATT national points of contact, capacity building for national and regional ATTs (expert roster), 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, as amended.

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 implements the ATT Procurement Policy in its procurement of goods and services under the oversight of the Management Committee.
- 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 2022, prepared and issued invoices to States for financial contributions to the ATT 2023 budget adopted by CSP8. Alongside this effort, also updated and posted on the ATT website the ATT financial rollover register for transparency purposes.
- b. In March 2023 and pursuant to Rule 8 of the ATT Financial Rules, prepared and circulated reminders to all States with outstanding assessed contributions.
- c. Prepared presentations to facilitate discussions during the CSP9 informal preparatory meetings regarding financial contributions to ATT budgets, patterns of payment and implications for 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 2024 budget estimates for the ATT Secretariat and the Tenth Conference of States Parties (CSP10) which, following review by the Management Committee, were presented to States Parties on 31 May 2023 for consideration at CSP9.
- 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 CSP8

- a. Made available on the ATT website all documents by ATT bodies that were considered by CSP8 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 programme of work endorsed by States Parties.
- d. Supported the CSP9 President's efforts to promote Treaty universalization.
- e. Supported the Co-chairs of the Working Group on Treaty Universalization (WGTU) in elaborating the draft proposal on enhancing the work of WGTU.
- f. Supported the Chair of the Working Group on Effective Treaty Implementation (WGETI) in elaborating the draft proposal on the WGETI configuration and substance.
- g. Supported the Management Committee in its effort to elaborate the Committee's draft proposal on the review of the ATT programme of work.
- h. Facilitated, on interim basis, the work and sessions of the Working Group on Transparency and Reporting.

9. Preparations for the Ninth Conference of States Parties (CSP9)

- a. Developed and/or edited documents for the CSP9 preparatory meetings and intersessional consultations. This included the translation of the documents.
- b. Issued notices and circulated documents for the CSP9 preparatory meetings to States Parties, Signatory States and Observer States, international and regional organisations, civil society and industry.
- c. Managed the logistical arrangements and related matters including translation and interpretation services for the CSP9 preparatory meetings. This included ensuring the availability of interpretation on the livestreaming platform.
- d. Managed the publication of documents and communication for the CSP9 preparatory meetings and intersessional consultations on ongoing topics.

- e. Provided procedural, technical and substantive support to the CSP9 President, the vice-Presidents, 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 and the Diversion Information Exchange Forum (DIEF).
- g. Managed the CSP9 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 used for the conference.

ATT VOLUNTARY TRUST FUND (VTF)

10. In its capacity as the Administrator of the VTF, 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.
- b. In October 2022, prepared and circulated the VTF call for contributions to the 2023 project cycle.
- c. In October 2022, prepared and circulated the VTF call for project proposals for the VTF 2023 project cycle with the deadline set for 20 January 2023.
- d. In April 2023, conducted the pre-screening exercise on the received VTF project proposals for the 2023 VTF project cycle, and in April 2023 submitted a shortlist to the VTF Selection Committee.
- 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 2023 VTF project cycle.
- j. Facilitated the transfer of grants to the grant recipients in accordance with the terms of the grant agreements.
- k. Prepared the VTF evaluation report for the 2017 completed projects in fulfillment of the CSP8 directive.

- l. Maintained a bank account and financial management system dedicated to the VTF workstream to facilitate financial efficiency, transparency in accounting and favourable audit outcomes.
- m. Prepared a report to CSP9 on the status of operation of the VTF.

ATT SPONSORSHIP PROGRAMME (SP)

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 2023 funding proposal and call for contributions to the ATT Sponsorship Programme in November 2022.
 - 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%¹ of the sponsorship funds received to the administration of the ATT sponsorship programme.
 - d. Prepared a report to CSP9 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 December 2022 for the First CSP9 Informal Preparatory Meetings, in February 2023 for the Second CSP9 Informal Preparatory Meetings and in May 2023 for CSP9.
 - 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;

¹ 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.

- d. Paid terminal allowances (for ground transportation) to sponsored delegates;
- 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 CSP9 Informal Preparatory Meetings.

ATT IMPLEMENTATION SUPPORT PROJECT (ISP)

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 for ATT national points of contact (NPCs):
- a. The Guidance document for National Points of Contact (NPCs) was finalised and launched at the Eighth Conference of States Parties (CSP8) side event in August 2022.
 - b. The Guidance document has also been translated into five Treaty languages (Arabic, Chinese, French, Russian, and Spanish), and its electronic version published on the ATT website for visibility.
 - c. Developed and published a dedicated NPC webpage on the ATT website.
 - d. Conducted in-person and online briefings and outreach involving over eighty (80) National Points of Contact (NPCs).

17. With respect to the second activity, capacity building for national and regional ATT experts (training the trainers):

- a. In collaboration with established expert contributors, completed the development of the ATT Implementation Manual and Guide for trainers.
- b. Completed the translation of the ATT Implementation Manual and Guide into five Treaty languages (Arabic, Chinese, French, Russian, and Spanish).
- c. Completed the design of the ATT 'train the trainer' Programme.
- d. Organised and facilitated four regional experts training workshops listed below. The fifth workshop for Latin America to be conducted in Spanish is planned for September 2023:
 - i. Manila (the Philippines) in December 2022 conducted in English.
 - ii. Port of Spain (Trinidad and Tobago) in February 2023 conducted in English.
 - iii. Abidjan (Cote d'Ivoire) in April 2023 conducted in French.
 - iv. Maseru (Lesotho) in July 2023 conducted in English.

18. With respect to the third activity, establishment of a database for matching needs and resources:

- a. The technical design of a database to serve as a mechanism for matching needs and resources is underway.
- b. The established database will be launched during CSP9.

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.
