
Arms Trade Treaty
Second Conference of States Parties
Geneva, 22 – 26 August 2016

REPORT ON THE ATT SECRETARIAT'S ACTIVITIES FOR 2016

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 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 as 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. As a consequence of circumstances ruling at the time, the First Conference of States Parties decided, as an interim measure to bridge institutional arrangements, to entrust the Management Committee with administrative tasks in the absence of the Head of the Secretariat with the support of the UNDP.
4. This report covers the Secretariat functions undertaken by UNDP from the time of CSP1 up until 29 February and the ATT Secretariat's activities for the period starting 01 March 2016, when the interim Head of Secretariat took up office, and up to the Second Conference of States Parties.
5. Given the lack of staff capacity at the Secretariat, the 29 February 2016 Extraordinary Meeting, as per paragraph 26 of its Final Report, decided to request the UNDP, on cost recovery basis, to assist the interim Head of Secretariat with specific functions including the drafting of a human resource policy, administration of the ATT website, management of received Initial and annual reports and subsequent posting on the ATT website, the administration of a sponsorship programme and conference services for the Second Conference of States Parties.

Mandate

6. 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 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 any other duties as decided by the Conference of States Parties.
7. The Secretariat responsibilities are further elaborated by the Directive of States Parties to the Secretariat issued under document ATT /CSP1/CONF/3.

Secretariat's Staff Capacity

8. The Secretariat's organisational structure and staff capacity were confirmed by the February 2016 Extraordinary Meeting to provide for three staff positions i.e. P4, P3 and P2. At present the Secretariat has one staff member, the Interim Head of the Secretariat. The process for the recruitment of the permanent Head of the Secretariat as well as the other two staff positions is currently underway on the basis of the Secretariat's Staff Rules and Regulations as approved by States Parties through silence procedure on 25 May 2016.
9. Whilst the staff recruitment process is underway, the interim Head of the Secretariat is assisted by UNDP with administrative support. This arrangement comes to end after the Second Conference of States Parties as the recruitment process was expected to have concluded. As a result of the intervening holiday season and the Second Conference of States Parties' preparations, the recruitment of the other two Secretariat staff members could not be concluded. The recruitment process is planned for conclusion immediately after the Conference.

Secretariat's Activities

10. For the reporting period, as outlined above, UNDP and subsequently the Secretariat, undertook the activities listed hereunder in fulfilment of its mandatory responsibilities. For reasons of accountability, the division of work is outlined below:

Financial Management

- a. UNDP prepared and issued notices in November 2015 to States for financial contributions towards the ATT 2016 budget as approved at CSP1.
- b. Pursuant to Rule 8 of the ATT Financial Rules, and with the administrative support of UNDP, the Secretariat notified States of their outstanding assessed contributions in April 2016.
- c. The Secretariat prepared the 2017 budget estimates for the Secretariat and the Third Conference of States Parties which were reviewed by the Management Committee and presented to States Parties on 23 May 2016 for later consideration at the Second Conference of States Parties.
- d. Whilst the budget of the Secretariat currently resides with UNDP for the financial year of 2016, the Secretariat has established the process for expenditure control between the Secretariat and DCAF, in its financial support role as provided for in the Agreement on

Administrative Arrangements and will take over the responsibility upon the closure of books and transfer of any remaining funds from the 2016 assessed budget contributions from UNDP.

- e. The Secretariat facilitated the mandatory due diligence exercise for the opening of the ATT bank account in July 2016 after the signing of the Headquarters' Agreement between the Secretariat and the Swiss Federal Council.

Administrative Support

- a. UNDP 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. With the support of the Management Committee, CSP2 President and the Bureau, UNDP organised the ATT Extraordinary Meeting of 29 February 2016. All relevant documents for the meeting were prepared and circulated in accordance with the applicable prescripts.
- c. With oversight provided by the Management Committee, CSP2 President and the Bureau, UNDP facilitated the negotiations of the Headquarters' Agreement between the ATT Secretariat and the Swiss Federal Council and the Agreement on Administrative Arrangements. Both Agreements were considered by the Extraordinary Meeting with the Headquarters' Agreement approved and the Administrative Arrangements Agreement adopted by States Parties by silence procedure on 01 April 2016.
- d. The Secretariat drafted and issued communications to States Parties to commence and conclude silence procedure proceedings on the Agreement on Administrative Arrangements.
- e. The Secretariat facilitated the exchange of letters with the ultimate signing of the Agreements on 13 June 2016.
- f. UNDP developed the draft Rules and Regulations for the ATT Secretariat for approval by the Management Committee, subsequently also approved by States Parties on 25 May 2016 by silence procedure.
- g. The Secretariat developed the job descriptions and vacancy announcements for the P3 and P2 positions at the Secretariat. The process of recruitment for these two staff positions is currently underway.
- h. Provided support to the Management Committee with respect to matters falling within the parameters of the Management Committee's oversight responsibility.
- i. As part of the Secretariat's institutionalization, the Secretariat established and 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.

Second Conference of States Parties' Preparations

- a. The Secretariat managed the logistical arrangements and related matters for the three meetings that formed part of the CSP2 informal preparatory process.
- b. The Secretariat developed and/or edited the CSP2 preparatory meetings documents.
- c. The Secretariat issued communications and circulated CSP2 preparatory meeting documents to States Parties, Signatory States and Observer States and civil society.
- d. With UNDP's support the Secretariat managed the posting of the CSP2 preparatory meetings' documents and related communications on the updated ATT website.
- e. The Secretariat provided procedural, technical and substantive support to the CSP2 President and the Bureau.
- f. The Secretariat provided administrative support to the Reporting Working Group Facilitator and the Voluntary Trust Fund Facilitator in their respective work.
- g. In cooperation with UNDP, the Secretariat managed the CSP2 conference services, with respect to procurement and venue arrangements, participants' registration, documents translation, interpretation services, technical services, side events management, exhibitions and related procurement.

Sponsorship Programme

11. As per decision of the Extraordinary Meeting, the ATT Sponsorship Programme for the Second Conference of States Parties (CSP2) is administered by UNDP. On 13 May 2016, a CSP2 Sponsorship Programme proposal was circulated to all States Parties to consider and make contributions to. The objective of the Sponsorship Programme is to support the participation of State representatives from eligible States listed as ODA recipient states by OECD DAC.
12. At the point of preparation of this report, the following contributions were kindly received for the CSP2 Sponsorship Programme:

Donor	Amount	Currency	USD equivalent (estimated)
United Kingdom	58,849.44	USD	58,849.44
Switzerland	64,755.00	USD	64,755.00
Australia	50,000.00	AUD	37,009.00
Germany	100,000.00	EUR	112,739.00
TOTAL			273,352.44

13. On the basis of the contributions received, sponsorship applications are being processed for eligible States representatives with 01 August 2016 set as a deadline for all sponsorship applications.

ATT/CSP/2016/CONF/3

Directive of States Parties to the Secretariat of the Arms Trade Treaty

ATT/CSP/2016/CONF/4

Management Committee Terms of Reference