

Convention on Cluster Munitions

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Review of the status and operation of the Convention and other matters important for achieving the aims of the Convention
Implementation Support

Convention on Cluster Munitions Implementation Support Unit – 2020/2021 Annual report

I. Report summary

1. Exceptionally, this report outlines the key objectives and outcomes over a two-year period. As a result of the ongoing COVID-19 pandemic and subsequent postponements of Part 2 of the Second Review Conference, no Meeting of States Parties was held in 2021 at which the 2020 annual report would have been submitted and approved. Therefore, this Report covers the period from 1 January 2020 to 31 December 2021.
2. The 2016 to 2020 work plan and budget of the Implementation Support Unit was endorsed at the First Review Conference (1RC) of the Convention on Cluster Munitions (CCM) by the States Parties to the Convention. As such, the 2020 Implementation Support Unit (ISU) work plan and budget was derived from this earlier approved five-year work plan and corresponding budget.
3. Similarly, the 2021 ISU work plan and budget was presented and approved by the States Parties during Part 1 of the Second Review Conference (2RC) held in November 2020 to facilitate for the continued smooth functioning of the ISU. This plan was derived from the six-year 2021 to 2026 work plan and corresponding budget which was subsequently approved during Part 2 of the Review Conference held in September 2021.

A. Key Objectives

4. The Implementation Support Unit 2020 and 2021 work plans were developed on the general directive approved upon its establishment in 2015. This directive mandates the ISU to support States Parties, inter alia, in the following ways: assist the President in all aspects of the Presidency; support Coordinators in efforts to advance thematic implementation; assist, prepare, support and follow up on formal and informal meetings of the Convention; offer advice and support to States Parties on the implementation of the Convention; develop and maintain a resource base of relevant technical expertise and practices and, upon request, provide States Parties with such resources; facilitate communication among States Parties and other relevant actors, cooperate and coordinate amongst these and maintain public relations, including efforts to promote the universalization of the Convention; keep records of formal and informal meetings under the Convention and other relevant knowledge products, expertise and information pertaining to the implementation of the Convention; and manage the Sponsorship Programme.



B. Key Outcomes

5. In spite of the challenges posed by the global COVID-19 pandemic which struck in the first quarter of 2020, the Implementation Support Unit managed to meet the majority of the main objectives outlined in its 2020 and 2021 work plans. In accordance with its primary function, the ISU provided the administrative and substantive support necessary for the Convention's President and Coordination Committee members to effectively carry out their mandates in facilitating the implementation of the Convention's objectives as outlined in the Dubrovnik Action Plan (DAP). This included the ongoing support to Switzerland in its role as the President of the Second Review Conference (2RC) of States Parties to the Convention; thus, contributing to the successful hosting of e Part 1 of the Conference, which was held virtually from 25 to 27 November 2020, and Part 2, which was held in Geneva in hybrid format from 20 to 21 September 2021.

6. During the past two years, the ISU was able to provide, albeit by remote means, the requisite technical support to the 17 States Parties that make up the Coordination Committee¹ of the Convention, which steers implementation of its various thematic priorities. Furthermore, virtual implementation support was made available to States Parties and Signatory States as needed and also to States not Parties that solicited additional information or clarification. Similarly, upon request, the ISU also facilitated coordination and cooperation between States and relevant civil society organisations.

7. The ISU continued to produce the CCM quarterly newsletter which was circulated electronically to fulfil its mandate to communicate the work of the Convention as well as to raise its profile. These electronic publications were also made available on the CCM website and on other social media platforms as are other Convention-related print publications.

8. The objectives of the CCM Sponsorship Programme could not be fully implemented as the planned activities had to be suspended due to the COVID-19 pandemic which gradually worsened during the year. As the Swiss Federal guidelines instituted on 29 October 2020 no longer permitted the holding of meetings for more than 50 participants, the 2RC could not be held as a hybrid meeting at the SwissTech Convention Center in Lausanne on 23-27 November 2020 as initially planned. The restrictions varied throughout the period under review, so the programme remained dormant in 2021 as well. What further impacted the Programme's plans adversely were travel restrictions put in place by many countries that made it impossible to carry out the plan to facilitate the participation of a diverse group of states at the Review Conference.

9. In accordance with the agreement between CCM States Parties and the Geneva International Centre for Humanitarian Demining (GICHD), the ISU continued to benefit from the administrative, logistical, and infrastructural services provided by the Centre.

C. Financial reports

10. The approved ISU budget for 2020 was CHF 485,295 and at the beginning of the year, its Trust Fund account had an opening balance of CHF 222,692. In 2020, the financial contributions of CCM States Parties towards the CCM ISU Trust Fund amounted to CHF 514,946. Therefore, the total funds available were CHF 737,638 while the total expenditure for the year was approximately CHF 412,215. The savings made of CHF 73,080 resulted mainly from the lack of staff travel cancelled due to the global COVID-19 pandemic which saw travel abroad suspended for most of the year. Total funds carried over into 2021 amounted to CHF 325,425 and included the savings of CHF 84,139 made in 2019.

11. The approved ISU budget for 2021 was CHF 469,686 and the ISU account had an opening balance of CHF 325,425 carried over from 2020. However, one State Party requested a refund of CHF 29,744 of the unspent money in proportion to its contribution in 2020. The total contributions received in 2021 amounted to CHF 450,719 which for the first time since

¹ The Coordination Committee is made of the President, President-Designate, Immediate Past President and 14 thematic Coordinators.

the establishment of the ISU in 2015 did not cover its approved annual budget. However, because of the carried over balances, the actual funds available in 2021 for activities were CHF 746,400 while total expenditure was CHF 433,354. Though the expenditure was almost equal to the year's contributions, it was still less than planned mostly again because of close to no spending on staff travel, and other implementation costs. The total funds carried over into 2022 amounted to CHF 313,046 which included the savings made in 2019 and 2020.

12. The balance in the CCM ISU Working Capital Reserve (WCR) on 31 December 2020 was CHF 561,400. In 2020, only one State Party contributed of CHF 4,563 to the CCM ISU Reserve. In 2021, the same State Party made another contribution of CHF 4,641 to bring the balance available on 31 December 2021 to CHF 566,041. The total amount in the Reserve remains above the recommended optimum level of CHF 400'000 agreed to by States Parties in 2017 at the 7th Meeting of States Parties to the Convention (7MSP) and reconfirmed at the 2RC.

13. On 31 December 2021, the available funds in the CCM ISU Trust Fund amounted to CHF 313,046 while the CCM ISU Sponsorship Programme account had a balance of approximately CHF 80,000. Both balances were carried forward into 2022 to enable the ISU to continue to undertake its activities without interruption.

14. The Audit Reports dated 20 May 2021 covering the CCM Implementation Support Unit Trust Fund and the CCM Sponsorship Programme financial reports for 2020 were reviewed by independent external auditors, Mazars SA, and deemed to be compliant with Swiss Law. As required, and on behalf of the 2RC Presidency, the ISU transmitted the 2020 audit reports electronically on 14 June 2021 to all CCM States Parties for their information and record.

15. The 2021 audit report was not yet finalized by the time this report was completed and submitted for processing as an official report of the 10MSP. Therefore, the 2021 financial report in this document is based on the interim report provided by the GICHD finance department which is yet to be validated by the auditors. Once ready, the audit report will be circulated to all States Parties as is the established practice.

D. Report on the 2020–2021 Activities of the Implementation Support Unit

Objectives, Outputs and Outcomes:

16. The 2020 and 2021 work plan of the Implementation Support Unit was based on its principal objective which is to support CCM States Parties on the implementation of the Convention. Additionally, it was in accordance with the decisions taken by States Parties at the 1RC, at subsequent meetings of States Parties and Part 1 of the 2RC; and pursuant to the priorities established by the States Parties through the Dubrovnik Action Plan as well as the draft Lausanne Action Plan. In keeping with this mandate, the ISU endeavoured to:

- Provide technical support and advice to the Presidency in all aspects of its role and mandate in leading the work of the Convention.
- Provide support to all States Parties through the Convention's implementation machinery and Coordination Committee², as well as to the Sponsorship Programme.
- Provide advice and technical support to individual States Parties through relevant expertise and best practices on the implementation of the Convention.
- Prepare for and keep records of formal and informal meetings under the Convention and other relevant knowledge products, expertise and information pertaining to the implementation of the Convention.

² States Parties participating in the Coordination Committee during the period under review included Afghanistan, Australia, Austria, Chile, Iraq, Mexico, Montenegro, Netherlands, New Zealand, Namibia, Philippines, Spain, Sri Lanka, Sweden, Switzerland, the United Kingdom and Zambia. Some of these States stepped down at the conclusion of the 2RC and were replaced by new group of states. The states joining the Committee in September 2021 were Bulgaria, France, Germany and Guyana, while Afghanistan, Austria, Netherlands, Sri Lanka, and Zambia stepped down.

- Facilitate communication amongst States Parties and other relevant actors, cooperate and coordinate amongst these and maintain public relations including efforts to promote universalization and other work of the Convention.
- Serve as an interface between the States Parties and the international community on issues related to the implementation of the CCM.

17. In fulfilling this mandate, the ISU activities were based on the decisions taken by CCM States Parties aimed at ensuring the timely implementation of State Party commitments particularly with respect to Convention stipulated deadlines on stockpile destruction and clearance of cluster munition remnants in contaminated areas.

1. Provide support to the Presidency and Coordination Committee

18. The ISU continued to provide substantive support to Switzerland, in its role as President of the 2nd Review Conference of States Parties (2RC) to the CCM, in all aspects of the work of the Convention, including the preparation and convening of informal meetings, in preparation for the hosting of the Review Conference. This support comprised inter alia the provision of secretarial, logistical, and administrative services at seven Coordination Committee meetings in 2020 and six in 2021, as well as to three informal consultation meetings on 2RC documentation in 2020. The ISU also provided the Swiss presidency with substantive support at the First and Second Preparatory meetings of the 2RC held in June and September 2020, respectively, and during Parts 1 and 2 of the 2RC which were held in November 2020 and September 2021. This support was also extended to other informal consultative meetings held by the Swiss presidency and the Coordinators with States Parties or other interested parties in the implementation of the CCM and in preparation to consider deadline extension requests.

19. During the last quarter of 2021, the ISU also prepared for and provided substantive support at the three (3) Coordination Committee meetings chaired by the United Kingdom in its role as the Tenth Meeting of States Parties to the CCM (10MSP) presidency. The United Kingdom took over leadership on the implementation of the CCM immediately after the closure of the 2RC on 21 September 2021. United Kingdom's term of office will end immediately after the closure of the 10MSP scheduled for 30 August to 2 September 2022.

20. In similar manner, during the two-year period covered by this report, the ISU provided both in-person and remote support to individual thematic Coordinators in their efforts to accomplish the objectives outlined in their respective mandates. This included providing them with the relevant information to assist with the discharging of their mandate to coordinate work associated with and derived from the Convention's Action Plans as well as from other formal and informal meetings of the Convention. The support of the ISU provided members of the Coordination Committee with the necessary tools, technical resources and analytical data to perform their functions and conduct the relevant follow up actions in accordance with agreed processes. ISU support also included the provision of implementation status updates as well as analyses of various national reports in support the work of the thematic Coordinators.

21. Specifically, the ISU assisted the Coordination Committee in the following ways:

Support on Universalization

22. During the years under review, the ISU continued to provide information and clarification as necessary to States Parties, Signatory States and States not Party upon request albeit mostly through virtual or other remote working means. In the first quarter of 2020, Geneva-based activities included undertaking bilateral outreach in support of the coordinators in the margins of other disarmament meetings.

23. The ISU Director accompanied 2RC President, Ambassador Félix Baumann of Switzerland, who undertook a mission to Zimbabwe, a State not Party to the CCM, for an in-country visit on 4 and 5 February 2020 as a follow-up to discussions held the previous year in the sidelines of the CCM 9MSP and United Nations General Assembly 74 First Committee. While in Harare, Ambassador Baumann met with the Secretary of Foreign

Affairs and International Trade and with the Secretary of Defence and War Veterans Affairs to promote the CCM and encourage Zimbabwe to accede to the Convention. Zimbabwe has since changed its vote on the annual United Nations General Assembly CCM Resolution from NO to ABSTAIN. The 2RC President delegation to the meetings included the Ambassador of Switzerland to Zimbabwe and representatives of the Embassies of Germany and the United Kingdom based in Harare.

24. The 2RC president, with the support of the ISU, organized a universalization meeting for target states in the margins of the 23rd International Meeting of Mine Action National Directors and United Nations Advisers on 14 February 2020 at the Palais des Nations. The aim of the side event was to provide a platform for CCM Signatory states and States not Party to discuss challenges and possible solutions to joining the Convention in the lead up to the 2RC. Panellists at the meeting included the Philippines, as CCM Universalization Co-Coordinator and recent State Party, the ISU Director, and representatives of the Cluster Munition Coalition (CMC) and the International Committee of the Red Cross (ICRC). The event gathered 19 participants from 7 CCM States Parties and 6 States not Party.

25. On 19 February 2020 the ISU Director accompanied the 2RC President to brief the Permanent Delegation of the African Union in Geneva on the CCM. The President had been invited to brief the delegation at an Ambassadorial level meeting which aimed at providing the African Ambassadors with information on the Convention and its full implementation. The President highlighted the priorities of the Swiss presidency for the year specifically regarding the further universalization of the Convention on the continent which still had 9 Signatory States and 11 States not Party nearly 10 years after its entry into force.

26. The ISU provided logistical and technical support in the organisation of a CARICOM Regional Workshop on the CCM held in St. George's, Grenada, from 3 to 4 March 2020. The delegates from 11 of 15 CARICOM States met to discuss CCM universalization and implementation in the region. The meeting concluded with the adoption of "*The St. George's Commitment on Universalization and Implementation of the Convention on Cluster Munitions*". The workshop was hosted by Grenada and sponsored by Canada. Switzerland in its role as 2RC presidency also participated in the workshop. Workshop resource persons were representatives of Switzerland, the CMC and the ISU.

27. The ISU was incorporated into the Informal Working Group on CCM universalization established by the CCM Universalization Coordinators, Chile and the Philippines, on 25 June 2020. The purpose of the working group was to develop a roadmap as a guideline on universalization activities to promote the Convention's universalization in the immediate as well as in the longer term. The three key objectives of the roadmap are to support CCM universalization efforts, to generate synergies and to streamline strategies.

28. The ISU supported the Philippines in the organization of a webinar that gathered 50 defence and military officials from 10 ASEAN countries to discuss CCM universalization on 29 July 2020. 2RC President, Ambassador Félix Baumann delivered the welcoming remarks while a representative of the Lao PDR gave a presentation on its implementation of article 4. An interactive session followed with members of the ISU, CMC and ICRC participating as the main discussants.

29. On 25 August 2020, the ISU facilitated a virtual meeting between the CCM Universalization Coordinators, Chile and the Philippines with a non-governmental organisation Parliamentarians for Global Action (PGA) to discuss a possible collaboration to mobilize parliamentarians worldwide to promote adherence to the CCM. The PGA had reached out to the ISU to explore the possibility of partnering to promote the Convention across its network of members.

30. The ISU had organised a CCM Ratification Workshop that was to be co-hosted by Switzerland and Nigeria in Abuja, Nigeria, on 26 to 27 March 2020 but had to be cancelled following the outbreak and continuing global spread of the coronavirus disease (COVID-19).

31. On 18 October 2021, the ISU provided technical support to 10MSP President, Ambassador Aidan Liddle, who hosted a lunch time meeting in the margins of the 76th session of the UN General Assembly First Committee session at the Permanent Mission of the United Kingdom to the United Nations in New York. Twelve delegates representing 9 of

the 10 ASEAN States—Brunei, Cambodia, Indonesia, Laos, Malaysia, the Philippines, Singapore, Thailand, and Vietnam—participated in the informal exchange. The 10MSP President and the ISU Director provided additional information and/or clarification to the various questions raised including that the Convention provided the possibility for States Parties unable to meet their obligations with the stipulated timeframe to request an extension of its deadline. It was emphasized that in the interim these States could exhibit their commitment to the Convention by undertaking actions such as participating in intersessional meetings, Meetings of State Parties and submitting voluntary Article 7 reports. They highlighted that in instances where the defence institutions were still hesitant, the mechanism of military-to-military dialogues has been employed.

32. While in New York, the ISU also had bilateral meetings with one Signatory State, Liberia, and eight States not Party: Bahamas, Bangladesh, Barbados, Kazakhstan, Nepal, South Sudan, Timor-Leste, and Yemen, to encourage ratification or accession to the Convention. The ISU also used its presence in New York City to promote the 2021 United Nations General Assembly Resolution on Implementation of the CCM particularly amongst States that have abstained in previous votes on the Resolution. The UN General Assembly adopted the Resolution on 6 December 2021 with a vote of 146 in favour, 37 abstentions and 1 against. Most notable, China, a State not Party which had voted to Abstain in all past CCM Resolutions, changed its position to vote YES.

Support on Stockpile Destruction and Retention

33. The ISU continued to provide the thematic Coordinators with technical support through the frequent analysis of Article 7 and other country reports to keep them updated with current information. It also facilitated their communication with States Parties with impending Article 3 obligation deadlines.

34. The ISU was invited to assist Peru with its preparation and submission of a deadline extension request. As part of this support, the ISU Director paid an in-country visit where she participated in a workshop hosted by the Peruvian government in Lima, Peru, from 25 to 27 February 2020 to review and provide guidance on key elements of the extension request workplan that detailed the stockpile destruction activities to be undertaken during the extension period. Representatives of the Ministry of Foreign Affairs, the Ministry of Defence, the Peruvian Air Force and implementing partner, Norwegian People's Aid (NPA), participated in the workshop.

35. The ISU participated in the deliberations of the Article 3 Analysis Group on the extension requests of Bulgaria and Peru which thereafter prepared reports and draft recommendations for consideration by States Parties during Part 1 of the 2RC held in November 2020. This was the second request under Article 3 submitted by Bulgaria for a further extension by 24 months of its 1 October 2020 deadline to 1 October 2022 and the first of Peru by 37 months from 1 March 2021 to 1 April 2024. Both requests have since been granted.

36. Following bilateral meetings with the representative of Guinea-Bissau in the margins of 2019 APMBC Review Conference, the ISU facilitated a visit by the Ammunition Management Advisory Team (AMAT) in January 2020 to undertake a verification mission to the country to assist in the identification of any cluster munition stockpiles in its arsenals. The mission was inconclusive as not all sites were accessible during the visit. The ISU continued follow up with the State Party to ascertain the status of its implementation of Article 3 as its 1 May 2019 deadline had passed without any official report provided.

37. Throughout the period under review, the ISU continued to engage with the five States Parties with Article 3 obligations through virtual bilateral meetings or in the sidelines of the 2RC to support implementation and reporting obligations.

Support on Clearance and Risk Education

38. In assisting the coordinators in their role, the ISU provided technical support through the continuous analysis of Article 7 reports and regular bilateral engagement with States Parties with Article 4 obligations to keep abreast of their progress and the information then conveyed to the coordinators (until 21 September 2020), Afghanistan and Sweden.

39. The ISU continued to engage with the two States Parties with Article 4 compliance deadlines in 2020, Croatia and Montenegro, to ensure that they were on track to declare completion by the 1 August 2020 deadline. Both States Parties declared Article 4 compliance ahead of the Convention deadline and the ISU informed all CCM States Parties of this achievement via email and celebrated on the Convention's social media platforms.

40. The ISU also provided support to three States Parties requiring to extend their deadlines to comply with Article 4 obligations in 2020. Most of this support was done through virtual means. One of these three states was Bosnia and Herzegovina which had to submit a last-minute extension request due to unforeseen delays in its operations which resulted in the need for an 18-month deadline extension. It had previously reported to be on track to complete by its 1 March 2021 deadline.

41. The ISU provided logistical and technical support to the Article 4 Analysis Group to consider the extension requests of Bosnia and Herzegovina, Chile and Lebanon to be considered at the 2RC. As part of the consideration process, the ISU also kept other CCM States Parties regularly informed of any additional information provided by the requesting states. The 2RC Part One considered the three requests and recommended that they be granted during 2RC Part Two scheduled to take place in 2021. Due to the postponement of the 2nd Part to September 2021, the requests were exceptionally granted through silence procedure to ensure that the States Parties would not be declared non-compliant as their deadlines would have passed before the second part of the Review Conference.

42. Similarly in 2021, the ISU worked closely with Afghanistan, Chile and Mauritania which submitted extension requests to be considered during Part 2 of the 2RC as their 2023 deadlines would have passed by the time the 10MSP was held in August 2023. The States Parties were granted the extensions as requested.

Support on Victim Assistance

43. During the period under review, the ISU provided technical support to the coordinators through the analysis of Article 7 Reports and with regular updates on the implementation of Article 5 by States Parties with this obligation. Together with the thematic Coordinators, Mexico and Spain in 2020 and Chile and Mexico in 2021, the ISU participated in the annual Victim Assistance retreat of the Anti-Personnel Mine Ban Convention (APMBC) held in the first quarter of both years. The ISU also supported the coordinators to make available on the Convention's website the updated contact details of the National Focal Points on Victim Assistance provided by the coordinators. The ISU in various virtual meetings held with States Parties in 2021 followed up with many of them regarding their article 5 implementation or to verify that they had cluster munition victims (Afghanistan, Bosnia and Herzegovina, Chad, Guinea-Bissau, Iraq, Laos, Lebanon, and Somalia).

Support on International Cooperation and Assistance

44. The ISU provided technical support to the coordinators through the regular analysis of Article 7 Reports to keep track of states requesting assistance and those in a position to provide it and updating the coordinators as needed. It also collaborated with the Coordinators, Montenegro and Netherlands, in their preparation of a brochure on how to enhance cooperation and assistance particularly through the establishment of a Country Coalition. The brochure provides an introduction to the Country Coalition Concept for all stakeholders and encourages more CCM States Parties to consider setting up a Country Coalition and for donors to act as a 'Champion State' to support States fulfilling their time bound obligations under the Convention. The brochure has now been available on the CCM website.

45. In September 2021, on behalf of Mauritania and the Coordinators on International Cooperation and Assistance, Montenegro and the Netherlands, the ISU provided administrative and logistic support to the closed virtual meeting on the establishment of a country coalition for Mauritania.

46. In November 2021, the ISU organised a lunch meeting in Geneva to discuss the country coalition that has been established between Bosnia and Herzegovina and Germany in support of Bosnia and Herzegovina's cluster munition clearance efforts. The CCM Articles

4 and 6 Coordinators were also invited to the meeting which was funded through a grant from the Canadian government to facilitate meetings on the Country Coalition approach.

47. On 1 December 2021, the ISU participated in a meeting organised by Germany and Montenegro, in their capacity as CCM Article 6 Coordinators, to facilitate an informal exchange between the CCM and APMBC thematic Committees on best practices regarding international cooperation and assistance for States Parties with timebound obligations, and where possible, to avoid extension requests. Other participants in the insightful and timely discussion were the relevant CCM Coordinators and APMBC Coordinating Committee members, the APMBC ISU and civil society representatives.

Support on Transparency Measures

48. The ISU in collaboration with Iraq, Coordinator on Transparency Measures, continued to engage with the States Parties still to submit initial transparency reports, some of which were due as far back as 2011. This follow-up resulted in the submission of one long overdue initial report in 2020. One new State Party, the Maldives submitted its initial transparency report on time. Unfortunately, one other new State Party missed its 28 December 2020 reporting deadline leaving eight states still to comply with their first Article 7 obligation.

49. To encourage timely reporting, for the 3rd consecutive year, the first three States Parties to submit their 2019 annual transparency reports were awarded medals for early reporting. The 2020 gold medal went to Guinea-Bissau, the silver medal to Australia and the bronze medal to Saint Kitts and Nevis.

50. Similarly, in 2021 the ISU continued to support reporting efforts and while in New York engaged with CCM States Parties that had long overdue initial or annual transparency reports to promote increased timely general reporting on CCM implementation. The ISU actively engaged with two of the newest States Parties which led to the submission of their initial transparency reports, one on time while the other not too long after its due date.

51. The 2021 gold medal for timely submission of the 2020 report went to Saint Kitts and Nevis, the silver medal to Nicaragua and the bronze medal to Zambia. The ISU also awarded regional medals with the gold medals going to Zambia for Africa, Saint-Kitts and Nevis for Americas, Lebanon for Asia-Pacific and Monaco for Europe.

Support on National Implementation Measures

52. The ISU provided technical support to the Coordinator, New Zealand, mainly through the continuous analysis of Article 7 reports and regular follow up with States Parties still to comply and report on their article 9 obligations. All new information was promptly shared with the coordinator.

53. In August 2020, the ISU facilitated exchanges between New Zealand and representatives of Parliamentarians for Global Action (PGA) to discuss possible collaborative efforts to enhance CCM Article 9 implementation by utilizing PGA's extensive international network of influential parliamentarians. The objective of these exchanges was to identify how best the PGA network could join and/or complement existing/ongoing substantive outreach activities.

54. The ISU also continued to regularly update a table on the Convention website highlighting the status of the national legislation of those States Parties with specific implementation law on the CCM, including the prohibition of investments in cluster munitions.

55. In 2021, the ISU provided some feedback to a short video produced by New Zealand to provide an overview of State Party obligations under Article 9 of the Convention. In the video, New Zealand outlines the various NIM tools available to facilitate the process for states to implement the CCM domestically. Once the video was finalized, the ISU uploaded it onto the CCM website in November 2021. This adds to the collection of available online NIM tools and other resources such as national laws that implement the CCM.

2. Provide advice and technical support to individual States Parties through the development of a resource base of relevant expertise and practices on the implementation of the Convention

56. The ISU responded to requests from individual States Parties and other States requiring additional information on the Convention. This included the provision of clarification on interpretation of CCM Articles, guidance on where to find the requested information and/or how to contact the appropriate expert institutions or individuals. The ISU updated the existing contact list of national focal points and key stakeholders to better facilitate outreach and support.

57. During the period under review, the ISU continued to provide technical advice as relevant to the seven States Parties that announced that they would submit deadline extension requests for consideration at Part 1 and/or Part 2 of the 2RC. This support was in the form of providing advice on the process as well as content of the submissions and thereafter providing initial feedback on them. The ISU also acted as the liaison between the two Analysis Groups and the requesting States.

58. At the 2RC Part 2 in September 2021, the Lausanne Action Plan (LAP) was adopted with the aim of supporting significant and sustainable progress towards the universalization and implementation of the Convention in the period 2021-2026. With the kind contribution of the UK Government, the ISU published the LAP English version in booklet form for easy reference, which can also be accessed or downloaded from the CCM website. The LAP Arabic, French and Spanish versions were expected to be ready by the end of the first quarter of 2022.

59. The ISU also continued to publish and circulate electronic versions of the CCM quarterly newsletter highlighting key events that occurred during the preceding quarter. They also included reminders for events occurring in the following quarter.

3. Prepare for and keep records of formal and informal meetings under the Convention and other relevant knowledge products, expertise and information pertaining to the implementation of the Convention

60. The ISU prepared, supported, kept records of and conducted follow-up activities associated with seven meetings of the Coordination Committee under the Swiss Presidency held in 2020 and six in 2021. In like manner, between September and December 2021, the ISU provided support to the three meetings convened by the 10MSP presidency of the United Kingdom. During the review period, the ISU provided additional information and continuous updates to individual members of the Coordination Committee. This was in addition to the assistance provided in supporting implementation of their mandates during the period up to and beyond the 2RC. All Minutes of the Coordination Committee and the reports of other meetings held during the period were uploaded onto the Convention website after their approval by the Committee.

4. Facilitate communication amongst States Parties and other relevant actors, cooperate and coordinate amongst these and maintain public relations including efforts to promote universalization and other work of the Convention

61. In line with its mandate, the ISU continued to administer and maintain the official website of the Convention and constantly provided updated information on the Convention. The ISU, on a regular basis, also communicated updates on matters related to the Convention such as extension requests and events on its website and other media fora. This included the production and dissemination of the quarterly newsletter. The ISU also constantly updated as relevant Convention-related publications and other promotional materials including brochures on specific obligations under the Convention to further provide practical tools to

CCM States Parties and others seeking to understand the Convention better. These brochures/tools are available in downloadable pdf format on the Convention website.

62. The ISU increased on its prolific use of the CCM's social media platforms (Twitter and Facebook) in 2020 to further raise visibility of the Convention and to share key information particularly with the restrictions in meetings necessitated by the COVID-19 pandemic. The number of CCM followers on Twitter and the number of views of CCM Tweets continued to steadily increase. On 31 Dec 2020, the CCM Twitter account had 1,077 followers. The success of the use of the Twitter platform could be seen by the increase in new followers from 99 in 2016 to 266 in 2020 while impressions increased from 61,944 in 2016 to 238,441 in 2020. Through the Facebook platform, the number of followers also increased from 553 at the end of 2017 to 717 at the end of 2020. This strategy will continue to be employed to keep growing the CCM audience that follows, likes and shares the information provided. Since the CCM website was created in 2015, it has had an average of 124 views per day and 45,312 views per year. In 2020, the CCM website had 52,322 views, which is an average of 143 views per day.

63. On 31 Dec 2021, the CCM Twitter account had again gone up to around 1,370 followers – an increase of close to 300. Similarly, an additional increase from 266 in 2020 to 288 in 2021 was recorded though impressions decreased from slightly from 238,441 in 2020 to 114,510 in 2021. The Facebook platform also registered a slight increase from 717 followers in 2020 to 761 at the end of 2021.

64. The ISU also continued to facilitate dialogue between States Parties, Signatory States and States not Parties amongst themselves and/or with relevant organizations as appropriate.

5. Serve as an interface between the States Parties and the international community on issues related to the implementation of the CCM

65. The ISU continued to deliver presentations or briefings at various workshops/seminars as well as at donor meetings, to new diplomatic representatives in Geneva, to new GICHD staff and students of higher institutions of learning. This included a video interview given by the ISU Director as part of the Disarmament in Geneva - 2020 Orientation Course organized by United Nations Institute for Disarmament Research (UNIDIR) followed up by an online discussion in August 2020. The ISU also participated in the GICHD organized Introduction to Mine Action Donor Webinar on 28 April 2020 and gave an online lecture on 12 May 2020 on the Convention to the Ecuadorian War Academy Advanced English Course students. These were conducted with the objective of further raising awareness of the CCM while disseminating understanding of the Convention regarding the obligations and implementation status of the Convention. This included sharing lessons learnt and key challenges in implementing the Convention.

66. Similarly, in 2021, the ISU participated in two virtual events highlighting the work of the Convention. On 11 March 2021, ISU Director, was one of the panellists in an event hosted by the Geneva Centre for Security Policy (GCSP) and Control Arms on “Disarmament Decisions in the Time of COVID-19”. She shared her perspectives on lessons learnt and how CCM implementation had progressed despite the challenges faced during the global pandemic. Later that month, during the “Iraq Strategy Stakeholder Workshop” organized by that Iraqi Directorate of Mine Action and the Geneva International Centre for Humanitarian Demining (GICHD) held from 15 to 18 March 2021, the ISU gave a presentation on the key elements to include regarding CCM implementation in the new Iraqi strategy.

Support of the Geneva International Centre for Humanitarian Demining (GICHD)

67. In accordance with the 2014 ISU Hosting Agreement between the CCM States Parties and the GICHD, the ISU was provided logistical and administrative support at an estimated amount of CHF 110,000 in 2020 and CHF 109,000 in 2021. This in-kind support covered costs related to office space, human resources management, financial management, monitoring and controlling (including management of contribution agreements and service contracts), internal information, management, IT network maintenance, travel services,

general logistics (office supplies, software acquisition, etc.). This amount also includes expendables such as mailing and telecommunications, and audit costs.

68. Additionally, in accordance with the hosting agreement, the GICHD administers the sponsorship programme in collaboration with the ISU. In 2020, the GICHD facilitated participation of 11 beneficiaries to participate in the CARICOM CCM Universalization workshop held in March prior to the suspension of the programme due to the COVID-19 pandemic. The Sponsorship Programme continued to be suspended in 2021.

II. 2020-2021 Financial reports

69. The financing of the Implementation Support Unit as articulated in its Financial Procedures is based on the principles of sustainability, predictability and ownership. In applying these procedures, after the approval of the ISU 2020 work plan and budget at the 9MSP in September 2019, and the 2021 work plan and budget during Part 1 of the 2RC in November 2020, the ISU sent individualized invoices to all States Parties indicating contributions due for the two annual budgets in October 2019 and November 2020 respectively. During the 2-year reporting period, the ISU sent several reminders to States Parties with outstanding contributions to its Trust Fund and provided regular updates to the Coordination Committee on the status of these contributions.

70. The activities undertaken and detailed in the operational report above were all conducted within the context of the approved 2020 and 2021 ISU work plans and accompanying budgets as detailed below.

III. 2020 Approved Budget versus Actual Expenditure

71. At the beginning of 2020, the ISU Trust Fund account opened with a balance of CHF 222,692 which was carried over from 2019. That year, 56 out of 108 States Parties invoiced by the ISU met their obligations contributing a total of CHF 514,946. This represented a slightly higher number of States Parties contributing than in the previous year. The 2020 contributions exceeded the approved ISU budget of CHF 485,295. Total expenditure for the year amounted to CHF 412,215, a significant sum of CHF 73,080 below budget.

72. In 2020, fourteen States Parties provided a total of CHF 279,418 in voluntary contributions towards the annual ISU-CCM budget covering the equivalent of 58% of the budget. This was in addition to the combination of contributions made under 7a and 7b of the ISU financial procedures by 56 States Parties including most of these 14 States. Specifically, of these 14, one State Party contributed only to 7a and 7c; three States Parties under 7c only, while the rest contributed to 7a, 7b and 7c. The number of contributing countries increased from 49 the previous year to 56 in 2020. As in previous years, the approved 2020 budget of CHF 485,295 was fully covered because of the generous contributions of these fourteen States Parties.

A. Overview of voluntary contributions made to the CCM ISU Trust Fund in 2020

2020 Voluntary contributions (7c of ISU financial procedures)

Contributions	Australia	6 035
	Canada	2 724
	Costa Rica	4 619
	France	26 595
	Ireland	21 222
	Italy	35 644
	Japan	7 000
	Montenegro	84

2020 Voluntary contributions (7c of ISU financial procedures)

Saint Kitts and Nevis	37
Spain	10 593
Sweden	16 642
Switzerland	67 848
The Netherlands	45 997
United Kingdom	34 378
Total	279 418

73. The primary reason for the 2020 budgetary underspending was due to the COVID-19 pandemic which caused most countries to close their borders, suspending practically all business travel for most of the year. Consequently, the largest portion of unspent funds was that related to staff travel expenses. Additionally, the change of staff in the last quarter of the previous year continued to lead to some underspending on staff salaries.

B. 2020 expenditure versus budget with explanatory notes

<i>Item</i>	<i>2020 Approved Budget (CHF)</i>	<i>Actual Expenditure (CHF)</i>	<i>NOTES on variance</i>
Salaries	361,669	327,978	ISU was fully staffed but due to new recruitment in October 2019, salaries were less than the budget amount approved in September 2019
Social charges	66,626	64,921	Estimated at 20% of annual salary, includes mandatory accident and travel insurance
Communication	8,000	3,141	Less than budgeted costs as most CCM related promotional material produced as electronic versions
Staff travel	38,000	14,265	Travel expenses less than initially planned due to the suspension of global travel because of the COVID-19 pandemic.
Other implementation support costs	11,000	1,909	Fewer face-to-face activities than expected undertaken because of the restrictions imposed by the pandemic
TOTAL	485,295	412,215	

C. Salaries and Social Charges

74. Expenditure was significantly less than budgeted because the actual salary and social costs were lower than estimated in 2015 when the budget was initially approved, and no changes were made to this figure. Additionally, there was a change of staff in the third quarter of 2019 after the 2020 budget had already been approved. The total amount spent on this budget line was CHF 392,899, some CHF 35,396 less than the budgeted amount of CHF 428,295.

D. Communication

75. There were no print publications produced in 2020 though the ISU as in the past prepared and distributed via email the CCM quarterly newsletters which were then published on the Convention's website. The ISU, in accordance with the approved 2020 workplan, administered and maintained the official website of the Convention; provided information about the Convention; facilitated communication among States Parties and all relevant other stakeholders, cooperated and coordinated with relevant actors and maintained public relations; produced Convention-related publications and other promotional materials as necessary. As the ISU continues to manage the Convention's website itself, this keeps administration costs at a minimum. In line with past practice, the ISU purchased table flags of the Presidency-Designate, the United Kingdom, to be displayed at various events of the Convention alongside the CCM flag once its presidency commenced.

E. Staff Travel

76. The budget for this activity was CHF 38,000 but actual expenditure was only CHF 14,265. The variance was due to the inability of ISU staff to undertake the planned travel during the COVID-19 pandemic that required them to work from home starting from the end of March 2020. Only travel scheduled during the first quarter of the year was conducted in 2020. These travel costs related to assignments undertaken by the ISU staff which included travel to participate in various meetings and workshops to promote the CCM held in Harare, Zimbabwe, and in St. Georges, Grenada. In addition, the ISU provided in-country technical support to Peru in the preparation of its CCM Article 3 extension request ahead of its 1 March 2021 compliance deadline.

F. Other Implementation Support Costs

77. All other implementation support activities undertaken by the ISU are reported under this budget line and in 2019 these amounted to CHF 1,909 against a budget of CHF 11,000. The underspending on this budget item was due to the disruption to in-person workshops caused by the pandemic. However, the ISU did facilitate and participate in many other CCM related events organized by the Presidency or the thematic Coordinators mainly in Geneva or online later in the year. Specifically, the ISU delivered presentations at workshops, seminars and to students of higher institutions of learning with the intention of further raising interest while disseminating understanding of the Convention regarding the obligations and implementation status of the legal instrument, including sharing lessons learnt and key challenges in its implementation.

IV. 2021 Approved Budget versus Actual Expenditure

78. The ISU Trust Fund account opened with a balance of CHF 325,425 in January 2021 which had been carried over from 2020. This amount included funds carried forward from the previous two years. For the first time since its establishment, the ISU Trust Fund did not receive a significant surplus funding. Of the 110 States Parties invoiced by the ISU at the end of 2020, only 51 met their obligations contributing a total of CHF 450,719. This represented a slightly lower number of States Parties contributing than in the previous year. For the first time since the establishment of the ISU, the annual contributions received were CHF 18,967 less than the States Parties approved annual ISU budget of CHF 469,686. Furthermore, it was only because of the generous voluntary contributions of 10 States Parties who together contributed the equivalent of CHF 202,767 (equal to 45% of the total contributions received) that the budget was largely met. Total expenses for the year amounted to approximately CHF 433,354 which was CHF 36,332 below the annual budget. This expenditure included the refund of CHF 29,744 to one State Party that requested to be reimbursed the amount which was equivalent in ratio to the unspent funds in 2020 as its contribution to that year's budget.

A. Overview of voluntary contributions made to the CCM ISU Trust Fund in 2021

2021 Voluntary contributions (7c of ISU financial procedures)

Contributions		
	Australia	8 619
	Costa Rica	8 273
	France	20 433
	Italy	35 776
	Iraq	877
	Ireland	21 586
	Japan	6 650
	Lao PDR	49
	Sweden	17 183
	Switzerland	48 240
	United Kingdom	35 082
Total		202,767

B. 2021 expenditure versus budget with explanatory notes

Item	2021 Approved Budget (CHF)	Actual Expenditure (CHF)	Notes on variance
Salaries	341,405	336,360	Slightly less than estimated due to calculations factoring in unforeseen expenses
Social charges	68,281	65,103	Estimated at 20% of staff annual salary, includes mandatory accident and travel insurance
Communication	20,000	19,785	Design and production of the Lausanne Action Plan booklet in 4 languages as well as design and migration of new CCM website were the main expenses
Staff travel	25,000	6,917	Travel expenses less than initially planned due to the continued suspension of global travel due to the COVID-19 pandemic.
Other implementation support costs	15,000	5,189	Minimal spending due to remote working. This covered home office equipment, utilities, virtual conferencing software (WebEx), bank fees, event giveaways, etc.
TOTAL	469,686	433,354	

C. Salaries and Social Charges

79. Expenditure was not significantly less than budgeted because the actual salary and social costs were estimated at a little higher to allow for flexibility in the event of unforeseen changes to the current staff. The total amount spent on this budget line was CHF 401,463, which was CHF 8,223 less than the budgeted amount of CHF 409,686.

D. Communication

80. The major print publication produced in 2021 was the design and publication of the Lausanne Action Plan (LAP) booklet which was made available in booklet form. The LAP booklet will eventually be available in four languages – Arabic, English, French, and Spanish. As the other language versions were not available soon after its adoption in September 2021, only the English version was produced and distributed in the last quarter of the year. The printing of the Arabic, French and Spanish versions of the booklet was only done in the 2022 after the official UN translations were made available. The ISU also contracted a website developer to assist with new design and migration of the CCM website to a new and improved platform. As part of its mandate, the ISU continued as in previous years to administer and maintain the official website of the Convention. This enables the ISU to keep administration costs at a minimum. In line with past practice, the ISU purchased table flags of Iraq, the 11MSP President-Designate, to be used at various events of the Convention alongside the CCM flag once its presidency commences in September 2022.

E. Staff Travel

81. The budget for this activity was CHF 25,000 but actual expenditure was only CHF 6,917. As in the previous year, the variance was due to the inability of ISU staff to undertake any travel during the still on-going COVID-19 pandemic travel restrictions. The only travel undertaken by two ISU staff in 2021 was to New York City to support the 10MSP presidency in outreach to states in the sidelines of the United Nations General Assembly 76 First Committee sessions held in October 2021.

F. Other Implementation Support Costs

82. All other implementation support activities undertaken by the ISU are reported under this budget line and in 2021 these amounted to CHF 5,189 against a budget of CHF 15,000. The underspending on this budget item was due to the continued disruption of in-person workshops and other similar activities because of the continuing pandemic. However, the ISU did facilitate and participate in many other CCM related events organized by the thematic Coordinators which were mostly held online during the year.

G. CCM ISU Working Capital Reserve

83. The CCM States Parties at the 1RC in 2015 resolved that “within the ISU Trust Fund there shall be maintained a working capital reserve at a level to be determined on a regular basis by the Meeting of States Parties. The purpose of the working capital reserve shall be to ensure continuity of operations in the event of a temporary shortfall of cash.”

84. In 2020, the Working Capital Reserve (WCR) received only one contribution of CHF 4,563 from Ireland bringing the total amount of restricted funds held within the ISU Trust Fund as at 31 December 2020 to CHF 561,400. In 2021, Ireland was again the only State Party to contribute to the WCR in the amount of CHF 4,641. Therefore, on 31 December 2021, the Reserve held a balance of CHF 566,041 which translates into a healthy surplus of CHF 166,041 that is well over and above the recommended reserve level of CHF 400,000 and thus able to sufficiently cover a full year of ISU operations in the event that there are insufficient contributions made in a particular year.

H. CCM Sponsorship Programme

85. The Implementation Support Unit is tasked to manage the Convention’s Sponsorship Programme whose main objective is to facilitate State participation at formal meetings of the Convention that is as broad-based as possible to ensure that all – affected and non-affected States Parties, as well as all other interested States – can take part in these fundamental meetings to further strengthen the Convention. It also aims to ensure that there is regional

diversity in representation as well as collective ownership of the decisions taken at these meetings. In implementing this mandate, the ISU is guided by the Coordination Committee and contributing States on the criteria in awarding sponsorship to participate in a particular meeting.

86. However, in 2020 due to the COVID-19 pandemic the Sponsorship Programme was suspended because the Swiss Federal guidelines instituted on 29 October 2020 no longer permitted the holding of meetings for more than 50 participants, therefore, the 2RC could not be held as a hybrid meeting at the SwissTech Convention Center in Lausanne from 23 to 27 November 2020 as initially planned. In addition, the limited available flights as well as the travel restrictions in place in many countries made it difficult to implement the plan to facilitate the participation of a diverse group of states. The Programme remained suspended in 2021 due to the ongoing pandemic and the continuing travel restrictions around the world in response to controlling the spread of the coronavirus.

87. However, the Sponsorship Programme did facilitate the participation of regional representatives in the CARICOM Region CCM Universalisation workshop held in St George's, Grenada from 3 to 4 in March 2020. From the total of CHF 72, 075 available in 2020 under the Sponsorship Programme, the ISU was able to cover the travel, accommodation, and related costs of eleven (11) delegates from the fifteen member CARICOM region. Of these, five (5) were State Party representatives, two (2) Signatory State representatives and three (3) representatives of States not Party. The Programme also provided sponsorship for one representative of a partner organization in the region. One of the States not Party, Saint Lucia, has since acceded to the Convention bringing the current number of CCM States Parties to 110 at the end of that year.

88. Only three States (Canada, Slovakia, and Switzerland) contributed to the Sponsorship Programme in 2020 and this was a combined amount of CHF 31,745 to facilitate the participation of low-income affected States in the 2RC which was scheduled to held in November 2020. This was in addition to the CHF 40,330 carried over from 2019 of which CHF 19,301 was spent on the CARICOM workshop. The unspent balance of CHF 52,774 was carried forward into 2021 as agreed with the contributing States.

89. It should be noted that the total contribution of Canada was the equivalent of CHF 36,123 which was allocated across two years, 2020 and 2021, in accordance with the grant agreement.

Expenditures and Revenue Statement (CHF) of the CCM Sponsorship Programme

Extracted from the 2020 Audit Report

		<i>Account 2020</i>
Expenditures		
Detailed Expenses	Travel	8 552
	Accommodation	6 614
	Per diems	3 958
	Miscellaneous	177
TOTAL EXPENDITURES		19 301
Revenues		
Contributions		
	Canada	10 975
	Slovakia	10 771
	Switzerland	10 000
TOTAL CONTRIBUTIONS		31 745
Contributions deferred from 2019		40 330
TOTAL REVENUES		72 075

	<i>Account 2020</i>
Contributions deferred to 2021	52 774

90. In 2021, only one State, Canada, contributed an amount of CHF 25,148. However, as the programme continued to be suspended, no activities were undertaken during the year. In consultation with the donor state, it was agreed that the funds could be carried over to the following year and utilized as intended.

Expenditures and Revenue Statement (CHF) of the CCM Sponsorship Programme

Extracted from the 2021 interim Audit Report

	<i>Account 2021</i>
Expenditures	
Detailed Expenses	0
Travel	0
Accommodation	0
Per diems	0
Miscellaneous	80
TOTAL EXPENDITURES	80
Revenues	
Contributions	25 148
Canada	2 156
Other revenues	27 304
TOTAL CONTRIBUTIONS	27 304
Contributions deferred from 2020	52 774
TOTAL REVENUES	80 078
Contributions deferred to 2022	79 998
