

The ATT Baseline Assessment Project

**International Cooperation and Assistance:
Capacity, Experience, and Practices**

August 2015





Introduction

The Arms Trade Treaty (ATT) is the first global treaty to establish legally binding standards for regulating the international arms trade. The ATT, when effectively implemented, will increase global transparency and promote greater accountability for global arms transfers. The ATT was adopted by the United Nations General Assembly in April 2013. It entered into force on 24 December 2014, ninety days after the deposit of the fiftieth instrument of ratification. As of 17 July 2015, the ATT has 69 States Parties and an additional 61 signatories.

States Parties need to have the necessary infrastructure in place to ensure that they are able to meet the Treaty's obligations. States must assess their current arms transfer control systems and identify capacity and resource needs to ensure that their systems are capable of fulfilling Treaty obligations. Many States, however, are uncertain about whether their existing arms transfer control systems fulfill ATT requirements. These States, therefore, seek guidance on what resources they may need to ensure effective implementation. The ATT-Baseline Assessment Project (ATT-BAP) has been working with States to enable them to identify this type of information and provide clear guidance on the Treaty's provisions.

ATT-BAP developed tools to assist national implementation of the ATT and to help identify areas in which States might seek to engage in bilateral and international cooperation and assistance, including a Ratification Checklist, a Baseline Assessment Survey, and an online database and portal. The ATT-Baseline Assessment Survey is useful for individual States, as well as for regional organizations working to ensure effective Treaty implementation. For example, the European Union (EU) Arms Trade Treaty Outreach Project (ATT-OP) utilizes completed Baseline Assessment Surveys as part of its engagement with partner countries seeking assistance.

cover photo: UN Photo/Martine Perette (via unmultimedia.org/photo)



Moreover, the data contained in completed surveys is available for use by States, civil society, international organizations, regional organizations, and other groups to develop specific and targeted initiatives to support ATT implementation. For example, the Baseline Assessment Survey has been adapted to fit regional needs and requirements in the Caribbean. The Caribbean Community and Common Market (CARICOM) used the survey to develop its own regional assessment of current Treaty implementation efforts and needs. The CARICOM version was completed by eight CARICOM Member States (Antigua and Barbuda, Belize, Grenada, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago). Regional engagement is crucial to harmonize regulatory approaches as well as share best practices among those with common experiences, and to allocate scarce resources.

This report presents data on cooperation and assistance provided by the 61 States that completed and returned their Baseline Assessment Surveys on or before 17 July 2015. This report presents responses to sections 11 and 12 in the Baseline Assessment Survey, which seek information from States on implementation of provisions contained in ATT Articles 15 and 16 on international cooperation and international assistance respectively. The report provides quantitative data and highlights several examples of existing cooperation practices and assistance needs, as well as areas in which States are willing to offer assistance to help other States fulfill their ATT obligations. The final section of the report considers steps that the ATT Secretariat could undertake to support implementation assistance.

photo: Coast Guard News (coastguardnews via Flickr)



Methodology

The ATT-Baseline Assessment Survey provides States the opportunity to complete an assessment of 12 areas relating to ATT implementation and identifies areas for international assistance and capacity building. The August 2015 ATT-BAP report, *Identifying Good Practice and Implementation Measures*, provides a detailed analysis of responses to other sections of the survey.

All surveys submitted to ATT-BAP are entered without alteration into country profiles on the ATT-BAP Portal (www.armstrade.info). The data is also available via an online searchable database, which aggregates the submitted information from completed surveys — including those that have been submitted as “private.” The country profiles and database contain information as provided by States, without interpretation, verification, or judgment.

Users can conduct searches of specific survey topic areas or specific regions in order to identify the ways in which States are fulfilling their Treaty obligations and find gaps in Treaty implementation. The data can be used to identify countries in need of implementation assistance, and to identify States that could provide assistance in order to help States fulfill their Treaty obligations. The database has the dual benefit of monitoring States’ progress towards effective Treaty implementation and ensuring that scarce resources are utilized efficiently.



The ATT-BAP database provides an aggregate of State responses to every yes/no/don't know question contained in the Baseline Assessment Survey. This amounts to over 120 questions and sub-questions dispersed across the 12 categories related to ATT implementation. The aggregated responses are represented in percentage form in the online database, which provides a detailed breakdown of each State's response, including any additional information provided by States. Percentages presented in this report are divided between "yes" responses (dark gray) and "no," "don't know," or "no response" (yellow). Percentages are rounded to the nearest hundredth.

The ATT-BAP database provides an "at a glance" baseline assessment of current ATT implementation. As of 17 July 2015, ATT-BAP has received 61 completed surveys. This includes 49 of the current 69 States Parties, as well as 10 additional signatories and two non-signatories.

Survey Respondents as of 17 July 2015



Africa

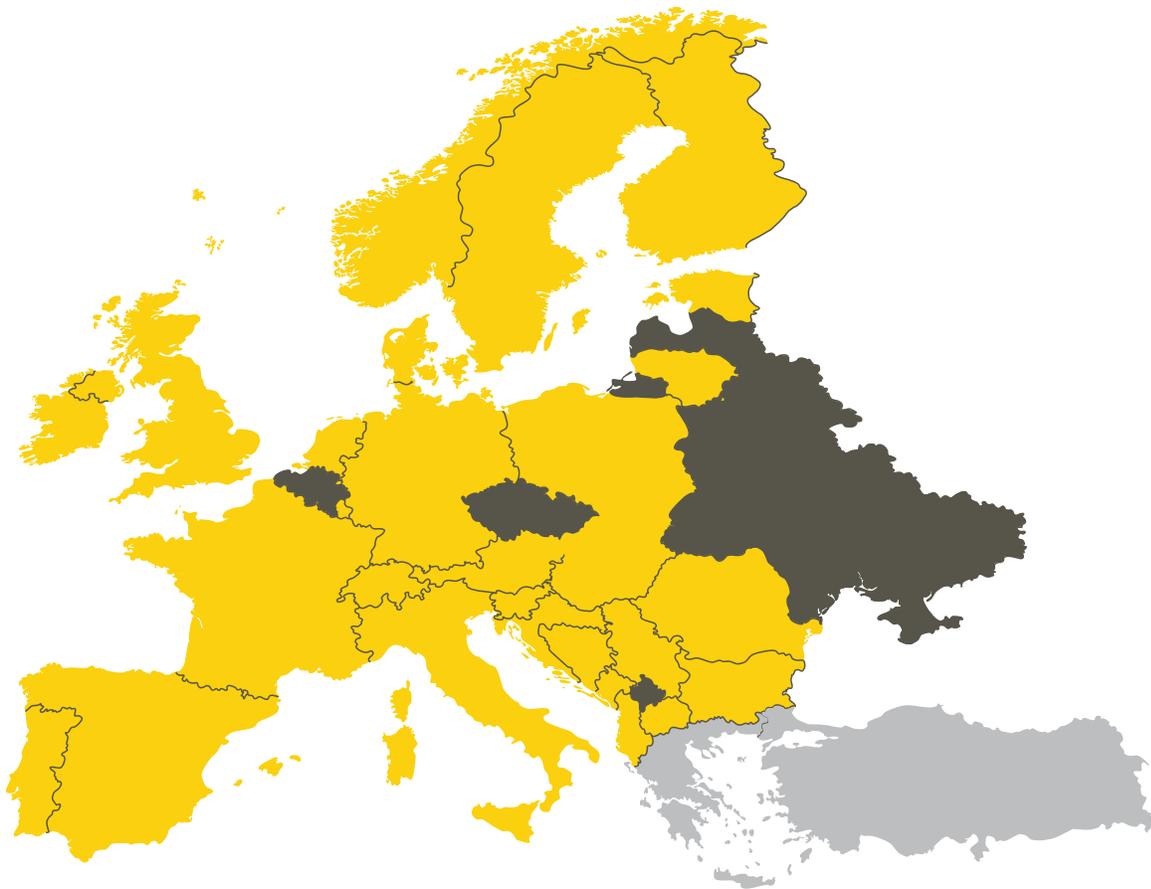
- States Parties: Burkina Faso, Liberia, Mali, South Africa
- Signatories: Swaziland
- Non-signatories: Botswana, Democratic Republic of the Congo

photo: Control Arms (controlarms via Flickr)



Americas

- States Parties: Antigua and Barbuda, Argentina, Belize, Costa Rica, Dominican Republic, El Salvador, Grenada, Jamaica, Mexico, Panama, St. Kitts and Nevis, St. Lucia, Trinidad and Tobago
- Signatories: Peru, Suriname, United States



Europe

■ States Parties: Albania, Austria, Bosnia and Herzegovina, Bulgaria, Croatia, Denmark, Estonia, Finland, France, Germany, Hungary, Ireland, Italy, Liechtenstein, Lithuania, Luxembourg, Macedonia, Montenegro, Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, United Kingdom

■ Signatories: Greece, Turkey



Asia and Oceania

- States Parties: Australia, Japan
- Signatories: Kiribati, Palau, Philippines, Vanuatu

photo: Control Arms (controlarms via Flickr)



International Cooperation and Assistance

Article 15 of the ATT requires States Parties to cooperate to effectively implement the Treaty and provides examples of areas and types of cooperation that could be undertaken to help achieve the object and purpose of the ATT. The Article encourages States Parties to exchange information and practices to implement the Treaty, particularly with regards to enforcement measures.

Article 15 International Cooperation

1. States Parties shall cooperate with each other, consistent with their respective security interests and national laws, to effectively implement this Treaty.
2. States Parties are encouraged to facilitate international cooperation, including exchanging information on matters of mutual interest regarding the implementation and application of this Treaty pursuant to their respective security interests and national laws.
3. States Parties are encouraged to consult on matters of mutual interest and to share information, as appropriate, to support the implementation of this Treaty.
4. States Parties are encouraged to cooperate, pursuant to their national laws, in order to assist national implementation of the provisions of this Treaty, including through sharing information regarding illicit activities and actors and in order to prevent and eradicate diversion of conventional arms covered under Article 2 (1).
5. States Parties shall, where jointly agreed and consistent with their national laws, afford one another the widest measure of assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty.
6. States Parties are encouraged to take national measures and to cooperate with each other to prevent the transfer of conventional arms covered under Article 2 (1) becoming subject to corrupt practices.
7. States Parties are encouraged to exchange experience and information on lessons learned in relation to any aspect of this Treaty.



Article 16 of the ATT includes provisions for States Parties regarding international assistance. The Article lists different and specific types and forms of assistance that go beyond the establishment of a national transfer control system and include stockpile management and disarmament, demobilization, and reintegration (DDR) programs. It also provides examples of entities that could provide assistance to States Parties, including other States Parties, international and regional organizations, and non-governmental organizations. The Article obliges the establishment of a voluntary trust fund and encourages contributions from States Parties. Article 16 does not, however, spell out who is responsible for managing the fund or how it will be implemented.

Article 16 International Assistance

1. In implementing this Treaty, each State Party may seek assistance including legal or legislative assistance, institutional capacity-building, and technical, material or financial assistance. Such assistance may include stockpile management, disarmament, demobilization and reintegration programmes, model legislation, and effective practices for implementation. Each State Party in a position to do so shall provide such assistance, upon request.
2. Each State Party may request, offer or receive assistance through, inter alia, the United Nations, international, regional, subregional or national organizations, non-governmental organizations, or on a bilateral basis.
3. A voluntary trust fund shall be established by States Parties to assist requesting States Parties requiring international assistance to implement this Treaty. Each State Party is encouraged to contribute resources to the fund.

Baseline Assessment Survey Questions on International Cooperation

The Baseline Assessment Survey utilizes language contained in Article 15 of the ATT in its questions on international cooperation. For example, the Survey provides States the opportunity to list information on current types of international cooperation that can help implement the ATT.

Section 11 of the Baseline Assessment Survey seeks three types of information from States relating to Article 15 of the ATT on international cooperation.

A) Is your State that will help

B) Is your State

i) Exchange of information on international arms transfers [Articles 15.2 and 15.3]

ii) Cooperative measures to prevent diversion [Article 15.4]

iii) Widest measure of assistance in investigations, prosecutions and judicial proceedings [Article 15.5]

iv) Measures to prevent corruption [Article 15.6]

v) Development of best practices and lessons learned [Article 15.7]

C) Does your State intend to pursue cooperation in:

1) Exchange of information on conventional arms transfers [Articles 15.1, 15.2, 15.3]

INTERNATIONAL COOPERATION

Involved in cooperative measures to implement the ATT? [Article 15.1]

Conventional arms transfers [Article 15.3]

Prevent diversion

Assistance in investigations, prosecutions and judicial proceedings

Measures to prevent corruption [Article 15.6]

Information on any additional measures that your State has provided to implement the ATT, particularly regarding licensing, customs, awareness-raising, enforcement of sanctions, reporting, and transparency. [Articles 16.1 and 16.2]

Information on any specific measures that your State has provided to implement the ATT, particularly regarding licensing, customs, awareness-raising and enforcement of sanctions, reporting, and transparency. [Articles 16.1 and 16.2]

INTERNATIONAL ASSISTANCE

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Answer B. Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Do you require assistance to implement the Arms Trade Treaty? [Article 16.1]

Arms Trade Treaty - Baseline Assessment Survey

12 INTERNATIONAL ASSISTANCE

	Yes	No	Details / reference / Web link / additional comments	Do not know
A) Does your State require assistance to implement the provisions of the Arms Trade Treaty? [Article 16.1]				

- Is your State involved in cooperative measures that will help to implement the ATT?
- Is your State currently involved in:
 - o Exchange of information on conventional arms transfers
 - o Cooperative measures to prevent diversion
 - o Widest measure of assistance in investigations, prosecutions, and judicial proceedings
 - o Measures to prevent corruption
 - o Development of best practices and lessons learned
- Does your State intend to pursue cooperation in:
 - o Exchange of information on conventional arms transfers
 - o Cooperative measures to prevent diversion
 - o Widest measure of assistance in investigations, prosecutions, and judicial proceedings
 - o Measures to prevent corruption
 - o Development of best practices and lessons learned

photo: Shannon Dick, Stimson Center

	Yes	No	Details / reference / Web link / additional comments	Do not know
iii) Assistance, including model	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
iv) Technical assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
v) Financial assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
vi) Material assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
vii) Stockpile management assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
viii) Disarmament, demobilization, or reintegration assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
ix) Assistance with effective practices or implementation	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
x) Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>

Additional comments	Do not know
---------------------	-------------

Assessment Survey

Arms Trade Treaty

12 INTERNATIONAL ASSISTANCE

A) Is your State implementing the provisions of Article 16.1 that will help to...

B) Is your State implementing the provisions of Article 16.2...

i) Exchange of information on arms transfers

ii) Cooperation in investigation and prosecution

iii) Assistance in identifying and recovering stolen arms

iv) Assistance in identifying and recovering stolen firearms

v) Assistance in identifying and recovering stolen explosives

vi) Assistance in identifying and recovering stolen firearms, explosives, and other weapons

vii) Assistance in identifying and recovering stolen firearms, explosives, and other weapons

viii) Assistance in identifying and recovering stolen firearms, explosives, and other weapons

ix) Assistance in identifying and recovering stolen firearms, explosives, and other weapons

x) Other (please specify)

Baseline Assessment Survey Questions on International Assistance

The Baseline Assessment Survey draws from Article 16 of the ATT in listing types of international assistance available and/or needed to implement the Treaty.

Section 12 of the Baseline Assessment Survey seeks nine types of information from States relating to Article 16 of the ATT on international assistance.

- Does your State require assistance to implement the provisions of the Arms Trade Treaty? If yes, does your State require:
 - o Legal assistance
 - o Legislative assistance, including model legislation
 - o Assistance for institution building
 - o Technical assistance
 - o Financial assistance
 - o Material assistance
 - o Stockpile management assistance
 - o Disarmament, demobilization, or reintegration assistance
 - o Assistance with effective practices for implementation
 - o Other (please specify)

photo: Shannon Dick, Stimson Center

A) Does your State implement the provisions of Article 16.1? If yes, please answer the following questions. If no, please go straight to B)

B) Does your State implement the provisions of Article 16.2?

i) Legal assistance

ii) Legislative assistance, including model legislation

iii) Assistance for institution building

iv) Technical assistance

v) Financial assistance

vi) Material assistance

vii) Stockpile management assistance

viii) Disarmament, demobilization, or reintegration assistance

ix) Assistance with effective practices for implementation

x) Other (please specify)

C) Is your State implementing the provisions of Article 16.2 and 16.3? If yes, please answer the following questions. If no, please go straight to D)

D) Is your State implementing the provisions of Article 16.1?

i) Legal assistance

ii) Legislative assistance, including model legislation

iii) Assistance for institution building

iv) Technical assistance

v) Financial assistance

vi) Material assistance

vii) Stockpile management assistance

viii) Disarmament, demobilization, or reintegration assistance

ix) Assistance with effective practices for implementation

x) Other (please specify)

with raising and enhancing transparency. [Article 16.1]

F) Please provide information on any specific assistance that your State has provided

Arms Trade Treaty - Baseline

Yes	No
-----	----

INTERNATIONAL ASSISTANCE	Yes	No	Details / reference / Web link /additional comments	Do not know
ate require assistance to implement of the Arms Trade Treaty? [Article	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>

- Is your State in a position to provide assistance to other States to enable implementation of the provisions of the Arms Trade Treaty? If yes, is your State in a position to provide:
 - o Legal assistance
 - o Legislative assistance, including model legislation
 - o Assistance for institution building
 - o Technical assistance
 - o Financial assistance
 - o Material assistance
 - o Stockpile management assistance
 - o Disarmament, demobilization, or reintegration assistance
 - o Assistance with effective practices for implementation
 - o Other (please specify)
- Please provide information on any additional needs required to implement the ATT, particularly with regards to legal, licensing, customs, awareness raising and enforcement of sanctions, reporting, and transparency.
- Please provide information on any specific assistance programs that your State has provided that may help others implement the ATT, particularly with regards to legal, licensing, customs, awareness raising and enforcement of sanctions, reporting, and transparency.
- Please provide information on specific assistance your State has received through the United Nations, international, regional, subregional or national organizations, non-governmental organizations, or on a bilateral basis that could be considered relevant for ATT implementation.

Answer B.
to C. [Article 16.2]
ate require: [[Article 16.1
stance
e assistance, including m
ce for institution building
l assistance
assistance
assistance
e management assistance
ament, demobilization, or
n assistance
ce with effective practices
tion
ease specify)
in a position to provide as
o enable implementation o
e Arms Trade Treaty? [Art
Answer D.
straight to E.
in a position to provide: [A
stance
e assistance, including mo
ce for institution buil
l assistance
assistance
assistance
e management assistan
ament, demobilization,
n assistance
ce with effective practic
tion
ease specify)

Arms Tra
INTERNATIONA
ate involved in c
to implement th
te currently invo
ge of information
fers [Articles 15
ative measures to
4]
measure of assis
ns, prosecutions
s [Article 15.5]
s to prevent corr
ent of best pract
icle 15.7)
te intend to purs
f information on
s [Articles 15.1, 1
e measures to pro
asure of assistance
prosecutions and
article 15.5)
o prevent corrupt
at Survey
Web link /additional
ents

A) Is your State involved in cooperative measures that will help to implement the ATT? [Article 15.1]	<input type="checkbox"/>	<input type="checkbox"/>	
B) Is your State currently involved in:			
i) Exchange of information on conventional arms transfers [Articles 15.2 and 15.3]	<input type="checkbox"/>	<input type="checkbox"/>	
ii) Cooperative measures to prevent diversion [Article 15.4]	<input type="checkbox"/>	<input type="checkbox"/>	
iii) Widest measure of assistance in investigations, prosecutions and judicial [Article 15.5]	<input type="checkbox"/>	<input type="checkbox"/>	



International Cooperation

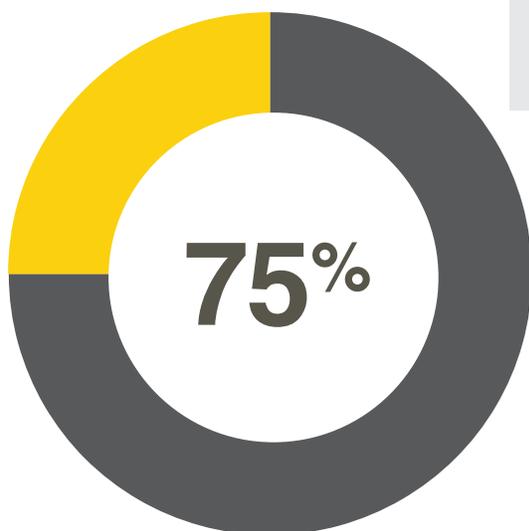
Forty-six survey respondents are involved in cooperative measures to help implement the ATT. Thirteen percent of these States are from Africa; four percent are from Asia; 12 percent are from the Americas; 65 percent are from Europe; and seven percent are from Oceania. In their responses, several States highlighted regional and sub-regional organizations as the main forums for cooperation.

Hungary: cooperates in the framework of the EU COARM working party.

Kiribati: collaborates with the Pacific Islands Forum Secretariat and other relevant development partners.

Mexico: has collaborated with the United Nations Regional Center for Peace, Disarmament and Development in Latin-American and the Caribbean (UNLIREC), in the design of mechanisms (seminars/workshops) that seek to promote the ATT and aid countries in the region to successfully implement it.

Montenegro: cooperates with many countries (especially from the region and EU) and various international organizations on arms export control issues.



Is your State involved in cooperative measures that will help implement the ATT?



Exchange of Information on Conventional Arms Transfers

Forty-three respondents exchange information on conventional arms transfers, with several States indicating reporting to the UN Register of Conventional Arms as an example. Respondents also provided examples of regional information exchanges on conventional arms transfers, such as those of the European Union (EU), Organization for Security and Cooperation in Europe (OSCE), and the Sistema de la Integración Centroamericana (SICA, Central American Integration System). The Wassenaar Arrangement information exchange on international arms transfers, the Anti-Personnel Mine Ban Treaty, Convention on Cluster Munitions, and bilateral information exchanges were also provided as examples.

Seventy percent of State respondents indicated that they exchange information on conventional arms transfers.

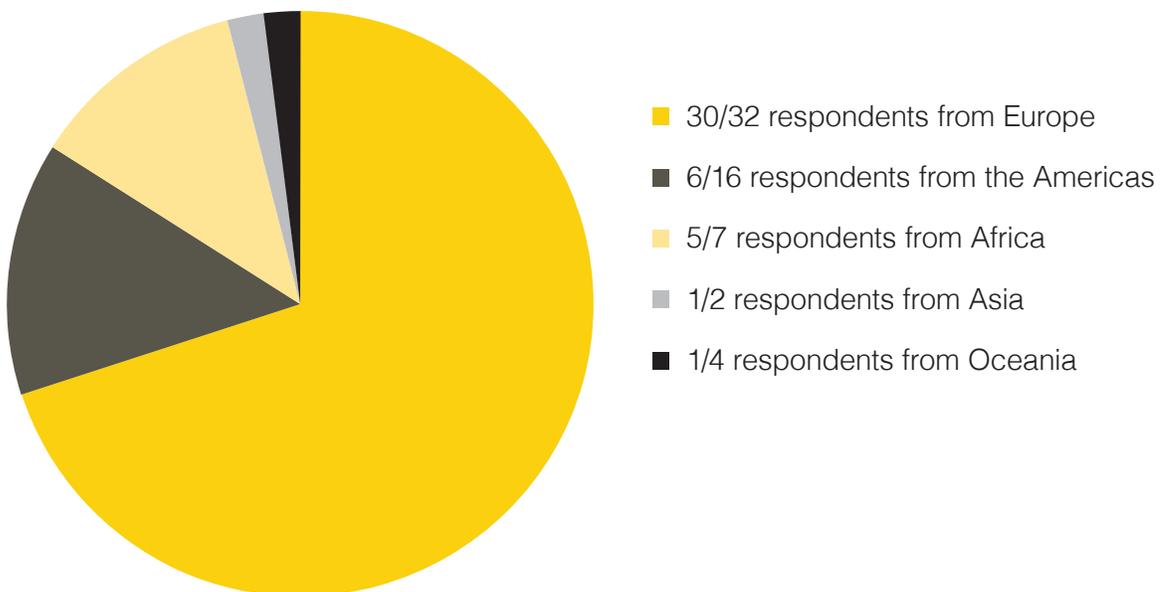


photo: UN Photo/Tobin Jones (via unmultimedia.org/photo)



Cooperative Measures to Prevent Diversion

Forty States reported that they were involved in cooperative measures to prevent diversion at the time that they completed their survey, with 48 States declaring a willingness to cooperate to prevent diversion within the framework of the ATT.

Sweden: stated that it welcomes the "broadening of contacts that the ATT will enable."

Sixty-six percent of State respondents indicated that they are involved in cooperative measures to prevent diversion.

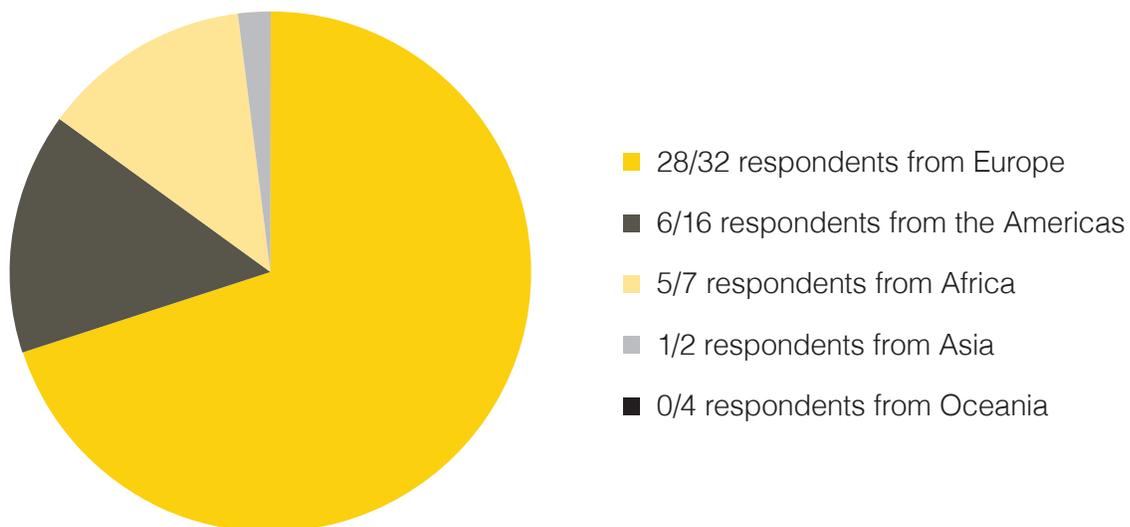
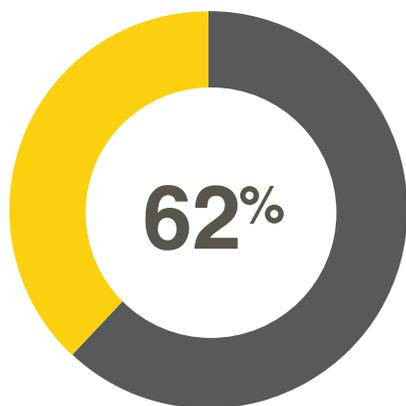


photo: David Thomas (david-thomas via Flickr)



Widest Measure of Assistance in Investigations, Prosecutions, and Judicial Proceedings

Thirty-eight States indicated that they undertake measures to assist in investigations, prosecutions, and judicial proceedings. Switzerland provided a detailed explanation of how it cooperates with “responsible foreign authorities as well as with international organizations or agencies” to enforce its national controls.



Is your State involved in the widest measure of assistance in investigations, prosecutions, and judicial proceedings?

Switzerland: Foreign authorities or international organizations or agencies are bound by professional secrecy or corresponding duties of confidentiality and guarantee protection from industrial espionage in their field of activity. They may in particular request foreign authorities and international organizations or agencies to hand over data required. In order to obtain such data they may disclose data relating to: the condition, quantity, destination and place of use, purpose and recipient of goods, components, and intellectual property, including know-how, or rights thereto; persons involved in the manufacture, supply, brokerage or funding of goods or components, or in the transfer of intellectual property, including know-how, or the granting of rights thereto; financial dealings relating to the transaction. If the foreign state holds a reciprocal right, the federal authorities [...] provide an assurance that the data: will be processed only for purposes that fall within the terms of this Act; and will be used in judicial criminal proceedings only if it has been obtained in accordance with the provisions on international mutual assistance. They may also disclose the data to international organizations or agencies subject to [particular] requirements.



Measures to Prevent Corruption

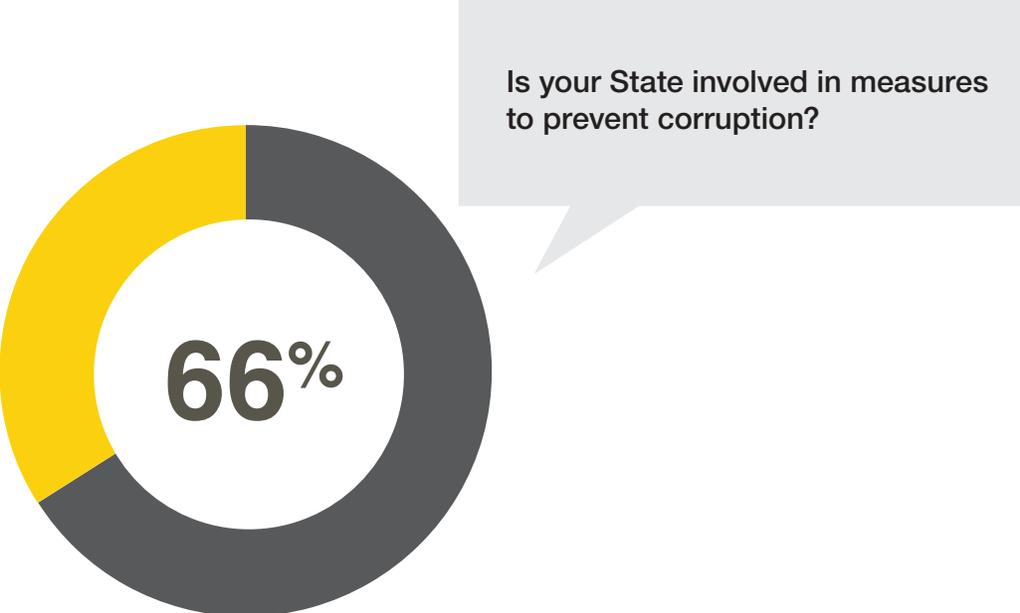
Forty respondents have measures in place to prevent arms transfers from becoming subject to corrupt practices. Several States identified anti-corruption measures that also apply to preventing corruption in arms transfers.

Germany: referenced the EU Council Common Position 2008/944/CFSP defining common rules governing the control of exports of military technology and equipment and national anti-corruption legislation.

Mexico: declared that it is a party to the United Nations Convention against Corruption and takes appropriate measures to prevent corruption.

Peru: the National Superintendent on the Control of the Security Services, Arms, Ammunitions, and Explosives for Civilian Use (SUCAMEC) has an Office for Strengthening Ethics and Anti-Corruption (OFELUC) that implements an anti-corruption policy to prevent and combat corruption.

UK: The UK Bribery Act 2010 details the crimes of bribery, being bribed, the bribery of foreign public officials, and the failure of a commercial organization to prevent bribery on its behalf. This applies to British Nationals whether they are operating in the UK or overseas.





Development of Best Practices and Lessons Learned

Forty States reported that they cooperate with other States in the development of best practices and lessons learned, and 46 respondents to the BAP Survey noted that they intend to further such cooperation within the framework of the ATT. Examples of existing cooperation include:

- Sharing national experiences, cases studies and best practices in regional and international workshops
- Contributing to the development of regional user guides and best practice guidelines for transfer controls

Germany and Sweden: also shared an interest in “cooperative work within the ATT framework on the development of best practices and guidelines, building upon what has already been achieved in other fora, in particular the EU and the Wassenaar Arrangement.”

Sixty-six percent of State respondents indicated that they are involved in the development of best practices and lessons learned. This pie chart represents the geographical breakdown of those States.

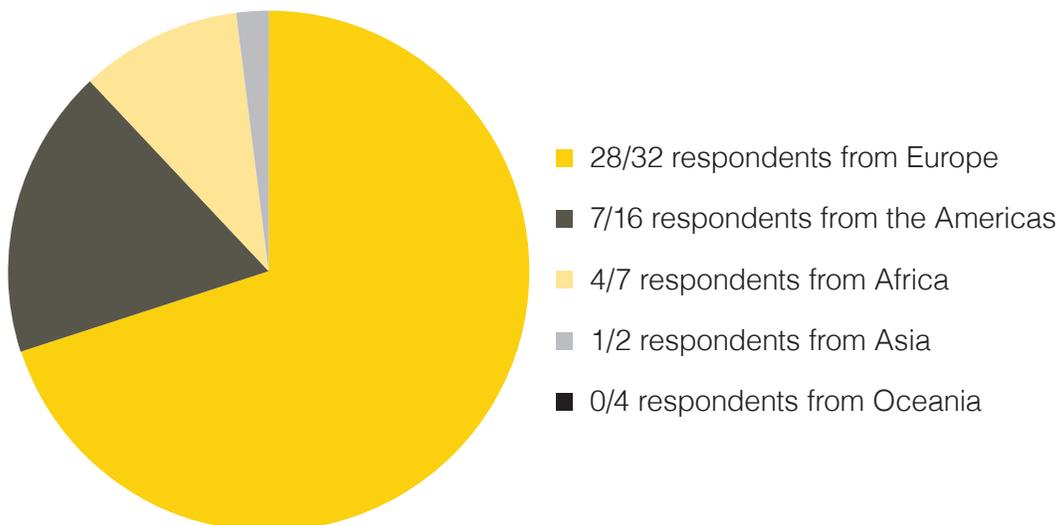


photo: ANISOM Public Information (au_unistphotostream via Flickr)



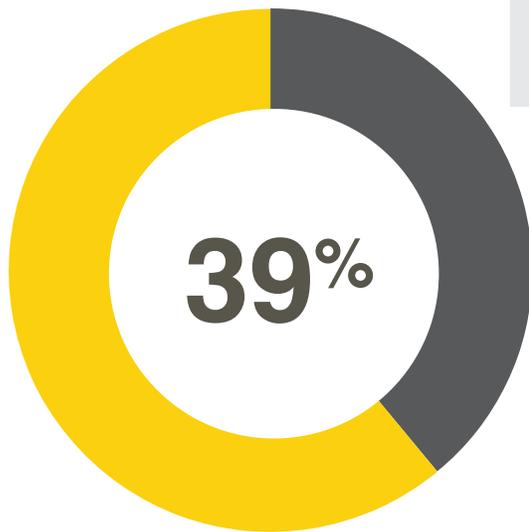
International Assistance

By helping States identify gaps and resource needs for effective Treaty implementation, ATT-BAP contributes towards more targeted and coordinated international assistance. The data contained in completed Baseline Assessment Surveys provides country-specific information for key stakeholders on current implementation gaps and allows donor governments and organizations to enhance coordination and avoid potential duplication. States provided a variety of responses to the survey questions pertaining to international assistance and identified both resource needs as well as assistance available to help other States effectively implement the ATT.

Seeking International Assistance

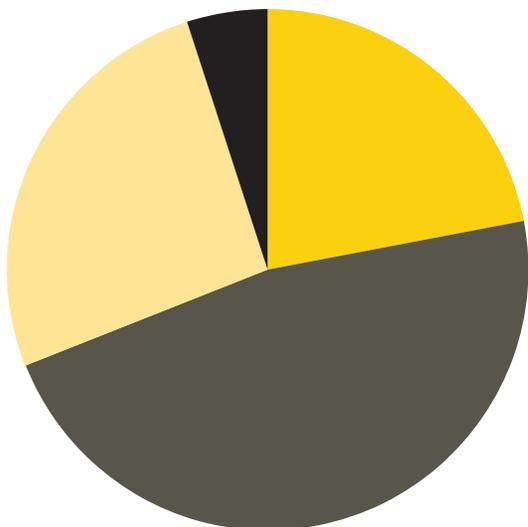
Twenty-four States reported in their Baseline Assessment Survey that they require assistance to effectively implement the ATT. Several States noted that they were not in a position to identify areas in which they needed assistance to implement the ATT until they had carried out a full assessment of their current system or until after they had ratified the ATT.

photo: UN Photo/Devra Berkowitz (via unmultimedia.org/photo)



Does your State require assistance to implement the provisions of the Arms Trade Treaty?

Thirty-nine percent of State respondents indicated that they require assistance to implement the provisions of the Arms Trade Treaty. This pie chart represents the geographical breakdown of those States.



- 5/32 respondents from Europe
- 11/16 respondents from the Americas
- 6/7 respondents from Africa
- 0/2 respondents from Asia
- 1/4 respondents from Oceania



The needs of the 24 States that require assistance vary, with 18 States seeking assistance for institution building and technical assistance, 17 for material assistance and effective practices for implementation, and 16 for financial assistance. States in Africa and the Americas identified these areas as among their priorities. As Table 1 shows, the majority of African States sought assistance in all identified areas, while a large number of respondents from the Americas seek assistance in all areas, with the exception of legal assistance, stockpile management, and DDR.

Table 1: Types of Assistance Required, By Region

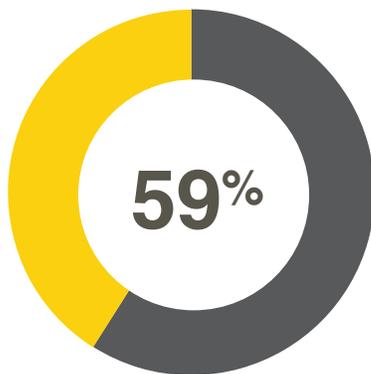
	Africa	Americas	Asia	Europe	Oceania	TOTAL
Legal assistance	5 / 7	6 / 16	0 / 2	2 / 32	1 / 4	14 States
Legislative assistance, including model legislation	6 / 7	7 / 16	0 / 2	1 / 32	1 / 4	15 States
Assistance for institution building	6 / 7	10 / 16	0 / 2	1 / 32	1 / 4	18 States
Technical assistance	6 / 7	10 / 16	0 / 2	1 / 32	1 / 4	18 States
Financial assistance	6 / 7	9 / 16	0 / 2	0 / 32	1 / 4	16 States
Material assistance	6 / 7	9 / 16	0 / 2	1 / 32	1 / 4	17 States
Stockpile management assistance	6 / 7	6 / 16	0 / 2	2 / 32	1 / 4	15 States
Disarmament, demobilization, or reintegration assistance (DDR)	4 / 7	5 / 15	0 / 2	0 / 32	1 / 4	10 States
Assistance with effective practices for implementation	6 / 7	8 / 15	0 / 2	2 / 32	1 / 4	17 States

photo: Direct Relief (direct-relief via Flickr)



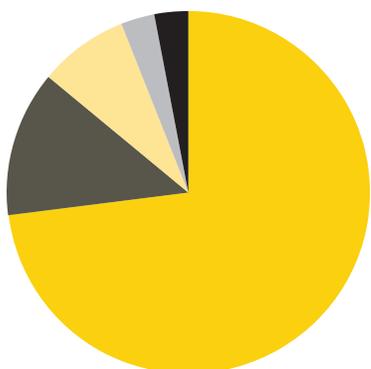
Offering International Assistance

Thirty-six States reported in their Baseline Assessment Survey that they could provide some form of assistance. Several of these States reported that while assistance is feasible, it depends upon the availability of funding and the particulars of the request for assistance. Seventy-five percent of the States that could possibly provide assistance identified legislative assistance as an area in which they could provide help, with 72 percent possibly able to assist with effective practices for implementation.



Is your State in a position to provide assistance to other States to enable implementation of the provisions of the Arms Trade Treaty?

Fifty-nine percent of State respondents indicated that they can provide assistance to other States to enable implementation of the provisions of the Arms Trade Treaty. This pie chart represents the geographical breakdown of those States.



- 26/32 respondents from Europe
- 3/16 respondents from the Americas
- 5/7 respondents from Africa
- 1/2 respondents from Asia
- 1/4 respondents from Oceania



United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR)

All of the current donors to the United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) responded positively to the question of whether they are in a position to provide assistance to other States to enable implementation of the provisions of the Arms Trade Treaty. Several of UNSCAR's donors explicitly referred to UNSCAR as an example of assistance.

UNSCAR donors

- Australia
- Denmark
- Finland
- Germany
- Ireland
- The Netherlands
- Spain
- Sweden
- Switzerland
- The United Kingdom

Lithuania: stated that it participates in relevant EU programs and has provided assistance in a number of different areas, including institution building, legislation, technical assistance as well as customs operations and enforcement.

Japan: stated its willingness to provide bilateral assistance through the Japan International Cooperation Agency (JICA) and multilateral assistance via UN agencies, including the United Nations Development Program (UNDP).

South Africa: drew attention to the fact that some of its NGOs have “indicated their willingness to assist other African countries regarding legislation development and disarmament training/education with emphasis on the ATT.”

United Kingdom: provided information in its section on international cooperation on how it has utilized a South African NGO to support ATT implementation by providing funding in 2013 to the Institute for Security Studies in Pretoria (South Africa) to develop an ATT ratification guide.

photo: KevTalec (kevtalec via Flickr)



As Table 2 shows, a significant number of States are able to provide assistance and could help with legal assistance, technical assistance, and institution building assistance. While the majority of such offers are made by European States, States in Africa, the Americas, and Asia are also potential partners for such assistance and capacity-building.

Less than half of those States that are able to provide assistance highlighted financial assistance, material assistance or DDR as areas in which they could help those seeking such assistance. More than a quarter of BAP Survey respondents are seeking financial and material assistance to effectively implement the ATT, yet this appears to be an area in which offers could be particularly limited.

Table 2: Type of Assistance Offered, By Region

	Africa	Americas	Asia	Europe	Oceania	TOTAL
Legal assistance	2 / 7	2 / 16	1 / 2	17 / 32	0 / 4	22 States
Legislative assistance, including model legislation	1 / 7	2 / 16	1 / 2	23 / 32	0 / 4	27 States
Assistance for institution building	2 / 7	1 / 16	1 / 2	20 / 32	0 / 4	24 States
Technical assistance	1 / 7	1 / 16	1 / 2	21 / 32	0 / 4	24 States
Financial assistance	1 / 7	0 / 16	1 / 2	11 / 32	0 / 4	13 States
Material assistance	1 / 7	0 / 16	1 / 2	12 / 32	0 / 4	14 States
Stockpile management assistance	2 / 7	1 / 16	1 / 2	14 / 32	0 / 4	18 States
Disarmament, demobilization, or reintegration assistance (DDR)	1 / 7	0 / 16	1 / 2	15 / 32	0 / 4	17 States
Assistance with effective practices for implementation	2 / 7	2 / 16	1 / 2	21 / 32	0 / 4	26 States



Secretariat Support for Implementation Assistance

Article 18.3c of the ATT states that one of the ATT Secretariat's responsibilities is to: "facilitate the matching of offers of and requests for assistance for Treaty implementation and promote international cooperation as requested." The ATT Secretariat's work could therefore overlap with existing efforts to match needs and resources in the areas identified in responses to the Baseline Assessment Survey. For example, the United Nations Office for Disarmament Affairs (UNODA) supports States seeking assistance to implement the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA). The 1540 Committee, which covers implementation of United Nations Security Council Resolution 1540 and transfer controls on dual-use items, performs clearing house duties to help coordinate States seeking and offering assistance on transfer controls. The experience of both mechanisms demonstrates the challenges of establishing and maintaining a centralized authority where States can report on their offers and requests for assistance, and which can facilitate the matching of needs with resources.

There are several areas in which an ATT Secretariat could add value to existing mechanisms and provide necessary services to help States implement the ATT:

- **Coordinate ATT-relevant assistance needs and offers** by liaising with:
 - UNODA regarding information on assistance requests and offers to implement PoA provisions that are related to the effective implementation of the ATT.
 - The 1540 Committee regarding ongoing assistance and cooperation activities to develop and strengthen transfer control systems, in particular on legislation and enforcement capabilities and capacities.
 - States, international and regional organizations, and non-governmental organizations, and individual experts that can provide or deliver ATT-relevant assistance.



- **Facilitate South-South cooperation.** South-South cooperation as a means of sharing experience and lessons learned, either within or between regions of the Global South can be particularly useful when it brings together States that share legal or administrative traditions. As the Baseline Assessment Survey shows, there are several States based in the Global South that are willing to provide assistance and share their experiences.
- **Collect and share good practices** at the regional and global levels. The sharing of good practices can also feed into efforts to draft best practice guidelines. There is potential for experts to develop a user's guide for the ATT, facilitated by the ATT Secretariat.

The questions posed in Section 12 of the Baseline Assessment Survey are of a general nature, and only provide an indication of the areas in which assistance is currently sought and currently could be offered. Requests and offers will change over time. There are several options for the ATT Secretariat to pursue to support the matching of needs and resources:

- **Develop an assistance request or offer template** to gather information to enable the matching of needs and resources.
- **Develop and maintain a database** of assistance requests and offers, as well as past and ongoing assistance projects. This could be a concrete example of a clearing house function.
- **Prepare special sessions** during or on the sidelines of CSP for those seeking assistance or willing to offer assistance to informally discuss possible opportunities for cooperation and assistance.



The Arms Trade Treaty-Baseline Assessment Project

ATT-BAP was launched in the summer of 2013 with a focus on helping stakeholders prepare for ratification and implementation. ATT-BAP utilizes five key objectives that are intended to facilitate successful implementation of the ATT:

- Give clear guidance on the obligations contained in the ATT
- Increase understanding of measures that can be taken to ensure that States are in a position to ratify the ATT and ensure effective implementation of the Treaty
- Contribute towards targeted and coordinated international assistance
- Deliver a baseline assessment of States' abilities to effectively implement the ATT
- Provide indicators for monitoring the Treaty's impact

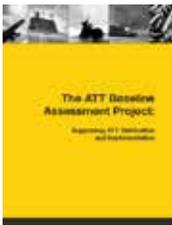
ATT-BAP has four primary tools that offer guidance for ratification, implementation, and future monitoring of the Treaty:

- ATT Ratification Checklist
- ATT Baseline Assessment Survey
- ATT Baseline Assessment Project Reports
- ATT Baseline Assessment Project Portal

photo: Control Arms (controlarms via flickr)



ATT Baseline Assessment Project Reports



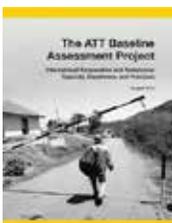
June 2014
*Supporting ATT Ratification
and Implementation*



October 2014
*Initial Findings and
Current State Practice*



August 2015
*Identifying Good Practice
and Implementation Measures*



August 2015
*International Cooperation and Assistance:
Capacity, Experience, and Practices*

ATT-BAP has benefited from the generous support of a variety of partners and has received funding from the Governments of Australia, the Netherlands, Norway, Switzerland and the United Kingdom, as well as from UNSCAR (the United Nations Trust Facility Supporting cooperation Arms Regulation). In addition, the project has benefited from its partnerships with States, the UN Office of Disarmament Affairs and its regional centers, regional organizations (including CARICOM and the European Union), Control Arms, and several other civil society organizations.

For more information, visit the Arms Trade Treaty – Baseline Assessment Project Portal at www.armstrade.info or contact us at ATT@stimson.org.

Rachel Stohl (Stimson): rstohl@stimson.org

Paul Holtom (Coventry): paul.holtom@coventry.ac.uk



Baseline Assessment Project