

Arms Trade Treaty

Baseline Assessment Project



Reviewing 2017 ATT Annual Reports on Arms Exports and Imports: Fulfilling the Promise of the ATT?

OCTOBER 2017

THE ARMS TRADE TREATY-BASELINE ASSESSMENT PROJECT

The Arms Trade Treaty-Baseline Assessment Project (ATT-BAP) aims to assist States in understanding the obligations of the ATT and to promote effective implementation. ATT-BAP supports efforts to assist States in implementing the Treaty and to ensure that reporting on the ATT is comprehensive and robust. In particular, ATT-BAP seeks to help States identify necessary requirements to effectively implement the ATT. ATT-BAP has developed tools to help provide a baseline for assessing State progress in implementing the ATT and to enable measurement of the Treaty's impact and long-term effectiveness. These tools are also utilized for identifying State capacity and resource needs, including the identification of critical gaps and available resources to implement the ATT. The tools include a Ratification Checklist, the ATT-BAP Baseline Assessment Survey, the ATT-BAP Portal and database, and guidance for completing initial and annual reports.



INTRODUCTION

The Arms Trade Treaty (ATT) seeks to promote cooperation, transparency, and responsible action in the international arms trade. One of the ways in which ATT States Parties can demonstrate that their arms transfer decisions comply with their ATT obligations is by providing an annual report containing information on authorizations or actual exports and imports of the eight categories of conventional arms contained in Article 2(1) of the Treaty (hereafter referred to as “annual report”). Article 13(3) of the Treaty obliges all States Parties to provide an annual report to the ATT Secretariat by 31 May each year. States Parties can decide to make their reports private or publicly available on the ATT Secretariat’s website.

In 2016, ATT-BAP analyzed the first round of ATT annual reports and noted an incremental increase in transparency in international arms transfers. For example, 79 percent of the 61 ATT States Parties due to report provided an annual ATT report on their 2015 arms exports and imports – a comparatively high reporting rate for an international instrument in the conventional arms control field. Several of these States Parties have not previously provided information on their arms transfers, in particular transfers of small arms and light weapons (SALW), to international transparency instruments.

This ATT-BAP report analyzes the second round of annual reports that were received by the ATT Secretariat by 31 August 2017 and publicly displayed on the ATT Secretariat’s website. Seventy-Five States Parties were due to submit an ATT annual report to the ATT Secretariat by 31 May 2017, providing information on authorizations or actual exports and imports of conventional arms that took place during the 2016 calendar year. Only 47 States had reported by 31 August, a 63 percent compliance rate. This report compares the quantity and quality of information provided by ATT States Parties in the first and second rounds of annual reports. The main question addressed by this report is:

Does the second round of ATT annual reports represent an increase in transparency in the international arms trade?

This report is divided into three sections. The first section outlines the rationale for and purpose of the annual reports on arms exports and imports. The second section provides an overview of the contents of the second ATT annual reports. This section considers the following types of information: reports on exports of the first seven categories of conventional arms contained in Article 2(1) of the Treaty; reports on imports of the same categories; reports on exports of SALW; and reports on imports of SALW. It also compares the first and second annual reports. The report concludes with a series of observations on the trend in reporting when comparing the first and second rounds of annual reports, as well as recommendations for the third round of ATT annual reports that could assist in fulfilling the promise of the ATT to increase arms trade transparency.

THE PURPOSE OF ATT ANNUAL REPORTS ON ARMS EXPORTS AND IMPORTS

All States Parties are required to submit an annual report in accordance with Article 13(3) of the ATT, which states:

Each State Party shall submit annually to the Secretariat by 31 May a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2(1). Reports shall be made available, and distributed to States Parties by the Secretariat. The report submitted to the Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the United Nations Register of Conventional Arms. Reports may exclude commercially sensitive or national security information.

The annual report contributes to the objective and purpose of the ATT by supporting cooperation and transparency in the international arms trade. The final report of the informal working group on reporting templates noted that an annual report on arms exports and imports can:

- ▶ Demonstrate a State Party's adherence to Treaty obligations regarding the responsible regulation of the international transfer of controlled items;
- ▶ Enhance awareness of regional and global arms flows;
- ▶ Promote confidence-building among States Parties;
- ▶ Contribute toward early warning signals for potential conflicts;
- ▶ Support conflict prevention efforts; and
- ▶ Represent valuable input to risk assessment processes of national licensing systems.¹

To help address potential concerns with reporting burdens and fatigue, Article 13(3) notes that States Parties can provide the same information on their arms exports and imports in their annual reports as provided to the UN Register of Conventional Arms (UNROCA). The first seven categories of conventional arms listed in Article 2(1) of the ATT are the same categories of conventional arms covered by UNROCA (see Box 1). Since 2003, States have also been invited to provide background information on international transfers of SALW. Thus, States that have provided information to UNROCA for all eight categories of conventional arms listed in Article 2(1) may use the same information in their ATT annual reports.

Box 1. Categories of Conventional Arms Contained in Article 2(1) of the ATT Compared to UNROCA Categories

ATT Categories	UNROCA Categories and Descriptions
a) Battle tanks	Category I. Battle tanks Tracked or wheeled self-propelled armoured fighting vehicles with high cross-country mobility and a high-level of self-protection, weighing at least 16.5 metric tons unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre.
b) Armoured combat vehicles	Category II. Armoured combat vehicles Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 millimetres calibre or a missile launcher.

ATT Categories	UNROCA Categories and Descriptions
c) Large-calibre artillery systems	<p>Category III. Large-calibre artillery systems</p> <p>Guns, howitzers, artillery pieces, combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 75 millimetres and above.</p>
d) Combat aircraft	<p>Category IV. Combat aircraft</p> <p>Fixed-wing or variable-geometry wing aircraft designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these aircraft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions. The term “combat aircraft” does not include primary trainer aircraft, unless designed, equipped or modified as described above.</p>
e) Attack helicopters	<p>Category V. Attack helicopters</p> <p>Rotary-wing aircraft designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions.</p>
f) Warships	<p>Category VI. Warships</p> <p>Vessels or submarines armed and equipped for military use with a standard displacement of 500 metric tons or above, and those with a standard displacement of less than 500 metric tons, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.</p>
g) Missiles and missile launchers	<p>Category VII. Missiles and missile launchers</p> <p>(a) Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this sub-category includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.</p> <p>(b) Man-Portable Air-Defense Systems (MANPADS).</p>
h) Small arms and light weapons	<p>Sub-Categories of Small Arms and Light Weapons in the UNROCA Form for Providing Background Information on International Transfers of SALW</p> <p>Small arms sub-categories</p> <ol style="list-style-type: none"> 1. Revolvers and self-loading pistols 2. Rifles and carbines 3. Sub-machine guns 4. Assault rifles 5. Light machine guns 6. Others (not defined) <p>Light weapons sub-categories</p> <ol style="list-style-type: none"> 1. Heavy machine guns 2. Hand-held under-barrel and mounted grenade launchers 3. Portable anti-tank guns 4. Recoilless rifles 5. Portable anti-tank missile launchers and rocket systems 6. Mortars of calibres less than 75 mm 7. Others (not defined)

OVERVIEW OF THE SECOND ROUND OF ATT ANNUAL REPORTS

Twenty-Seven of the 75 States Parties required to submit their annual report by 31 May 2017 had done so, representing a reporting compliance rate of 36 percent. By comparison, 28 of the 61 States Parties due to submit their 2015 annual reports by 31 May 2016 had done so, representing a 46 percent reporting rate.² By 31 August 2017, 47 States Parties had submitted an ATT annual report on transfers undertaken during the 2016 calendar year, thereby bringing the reporting rate to 63 percent. In addition, Greece submitted its first annual report, although it was not required to do so. Therefore, 48 States Parties provided an annual report for transfers undertaken during 2016. Forty-Five reports have been made public, and three are available only for States Parties.

In total, 51 ATT States Parties provided an annual report on authorizations or actual exports and imports that took place during the 2015 calendar year by 31 August 2017. Reports submitted by Estonia, Panama, Paraguay, and Sierra Leone were made publicly available on the ATT Secretariat website after 31 August 2017. Paraguay and Sierra Leone submitted their first and second ATT annual reports at the same time in 2017. Table 1 provides a comparison of reporting by ATT States Parties for their first and second rounds of ATT annual reports.

This report reviews the 45 publicly available annual reports submitted by 31 August 2017, which provide information on authorizations and actual exports and imports that took place during calendar year 2016. It focuses on the types of information provided in the annual reports. The report does not verify the information on arms exports and imports contained in States Parties' annual reports, nor does it compare this information with other sources of publicly available information on international arms transfers. The report compares the approach taken, and types of information made available, in the first and second annual reports. Unfortunately, a comparison of national practice is not possible for all States Parties because:

- ▶ Seven States Parties that provided a first ATT annual report did not provide a second report by 31 August 2017³; and
- ▶ Three States Parties made their first annual reports publicly available but restricted access to their second annual reports.⁴

Table 1 shows the reporting practices of ATT States Parties for the first and second rounds of ATT annual reports. Overall, 54 ATT States Parties have submitted at least one ATT annual report and 44 ATT States Parties had submitted two ATT annual reports to the ATT Secretariat by 31 August 2017. Twenty-One ATT States Parties that should have submitted at least one annual report had not done so by 31 August 2017.

States Parties due to submit their first ATT annual reports by 31 May 2017

States Parties due to submit their first ATT annual reports by 31 May 2017

Nine ATT States Parties were due to submit their first ATT annual reports on activities conducted during 2016 by 31 May 2017 but have not yet done so: Barbados, Belize, Chad, Côte d'Ivoire, Dominica, Mauritania, Niger, San Marino, and Tuvalu.

Box 2. First Signs of a Worrying Trend? Restricting Access to ATT Annual Reports

Slovakia was the only State Party that did not make its first ATT annual report publicly available. It is therefore a positive step towards increasing transparency that Slovakia made its second annual report publicly available. However, three States Parties chose not to make their second annual reports publicly available: Liberia, Panama, and Senegal. Each of these States Parties made their first ATT annual reports publicly available. This represents a negative indicator for transparency in 2017. Bosnia and Herzegovina and Uruguay initially restricted access to their second annual reports, so that they were only available to States Parties, but later made their reports publicly available on the ATT Secretariat's website. It should be noted that only part of Uruguay's second annual report is publicly available, and information on imports remains restricted.

Table 1. Reporting on International Arms Transfers in the First and Second ATT Annual Reports⁵

State Party	Region	2016 ATT Annual Reports	2017 ATT Annual Reports
Albania	Europe	✓	✓
Antigua and Barbuda	Americas	X	X
Argentina	Americas	✓	✓
Australia	Asia and Oceania	✓	✓
Austria	Europe	✓	✓
Bahamas	Americas	X	X
Barbados	Americas	—	X
Belgium	Europe	✓	✓
Belize	Americas	—	X
Bosnia and Herzegovina	Europe	✓	✓
Bulgaria	Europe	✓	✓
Burkina Faso	Africa	X	✓
Chad	Africa	—	X
Costa Rica	Americas	✓	X
Côte D'Ivoire	Africa	—	X
Croatia	Europe	✓	X
Czech Republic	Europe	✓	✓
Denmark	Europe	✓	✓
Dominica	Americas	—	X
Dominican Republic	Americas	✓	X
El Salvador	Americas	✓	✓
Estonia	Europe	✓	✓
Finland	Europe	✓	✓
France	Europe	✓	✓
Germany	Europe	✓	✓
Greece	Europe	—	✓*
Grenada	Americas	X	X
Guinea	Africa	X	X
Guyana	Americas	X	X

State Party	Region	2016 ATT Annual Reports	2017 ATT Annual Reports
Hungary	Europe	✓	✓
Iceland	Europe	X	X
Ireland	Europe	✓	X
Italy	Europe	✓	✓
Jamaica	Americas	✓	X
Japan	Asia and Oceania	✓	✓
Latvia	Europe	✓	✓
Liberia	Africa	✓*	🔒
Liechtenstein	Europe	✓	✓
Lithuania	Europe	✓	✓
Luxembourg	Europe	✓	✓
Mali	Africa	✓	X
Malta	Europe	X	X
Mauritania	Africa	—	X
Mauritius	Africa	—	✓
Mexico	Americas	✓	✓
Montenegro	Europe	✓	✓
Netherlands	Europe	✓	✓
New Zealand	Asia and Oceania	✓	✓
Niger	Africa	—	X
Nigeria	Africa	X	X
Norway	Europe	✓	✓
Panama	Americas	✓	🔒
Paraguay	Americas	✓*	✓
Poland	Europe	✓	✓
Portugal	Europe	✓	✓
Republic of Moldova	Europe	—	✓
Romania	Europe	✓	✓
Saint Kitts and Nevis	Americas	X	X
Saint Lucia	Americas	X	X
Saint Vincent and the Grenadines	Americas	X	X
Samoa	Asia and Oceania	✓	X
San Marino	Europe	—	X
Senegal	Africa	✓	🔒
Serbia	Europe	✓	✓
Sierra Leone	Africa	✓	✓
Slovakia	Europe	🔒	✓
Slovenia	Europe	✓	✓
South Africa	Africa	✓	✓
Spain	Europe	✓	✓
Sweden	Europe	✓	✓
Switzerland	Europe	✓*	✓

State Party	Region	2016 ATT Annual Reports	2017 ATT Annual Reports
The Former Yugoslav Republic of Macedonia	Europe	✓	✓
Trinidad and Tobago	Americas	X	X
Tuvalu	Asia and Oceania	—	X
United Kingdom	Europe	✓	✓
Uruguay	Americas	✓	✓
TOTAL		51	48

Notes: Columns on 2016 ATT annual reports and 2017 ATT annual reports include all reports submitted by 31 August 2017

* Submitted a report but was not required to do so

🔒 Submitted a private report

X Report due but not submitted

— Report not due



COMPARISON OF ATT ANNUAL REPORTS (BY REGION)

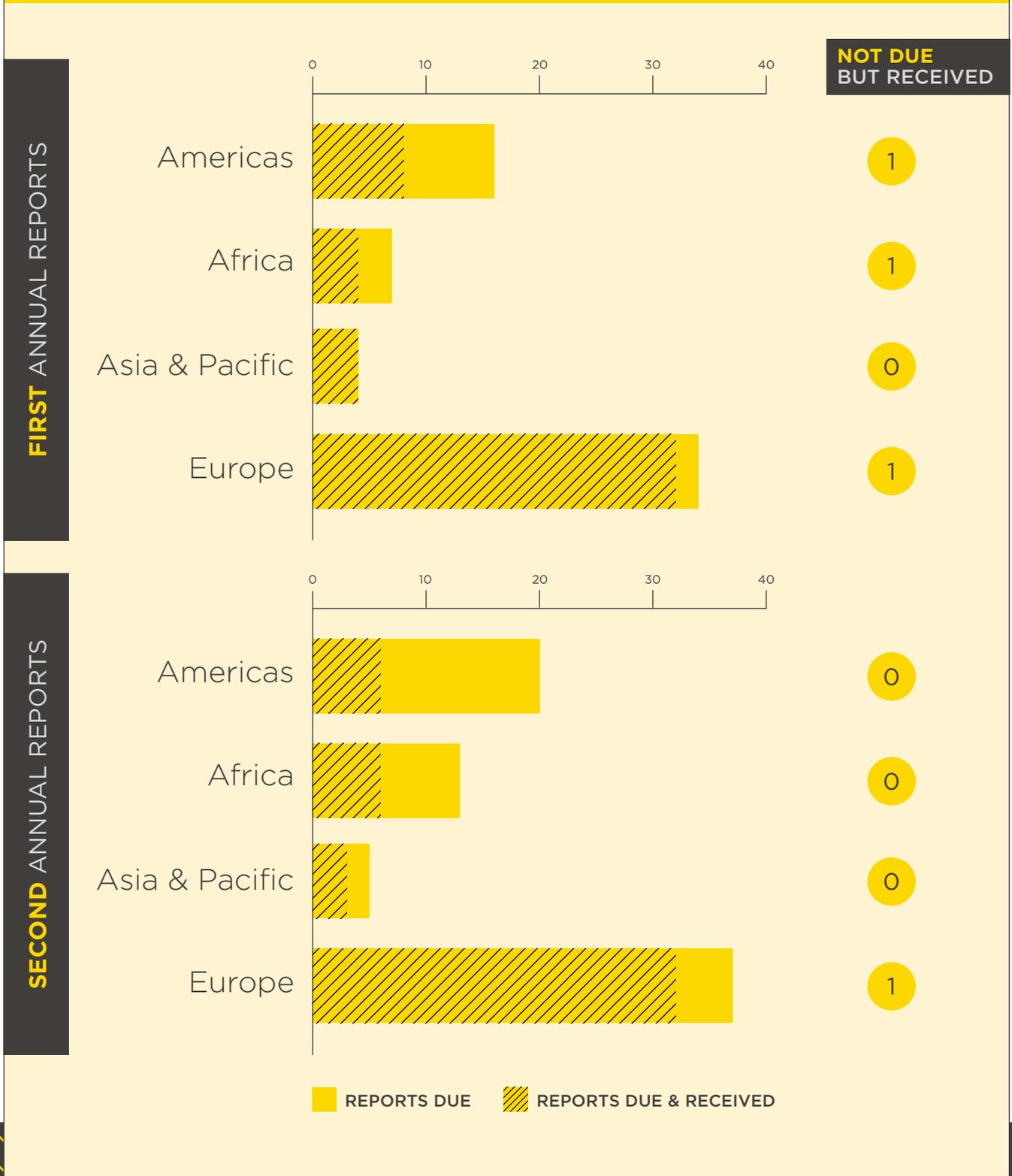


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USE OF ATT PROVISIONAL REPORTING TEMPLATE

Forty-Three of the 45 publicly available ATT annual reports were submitted using the reporting template for the ATT annual report. Burkina Faso and France submitted a version of their UNROCA reports. France and the United Kingdom used their UNROCA submissions for their first ATT annual reports, but the United Kingdom used the ATT reporting template for its second annual report. The overwhelming majority of ATT States Parties that have submitted an annual report have used the ATT reporting template.

Thirty-Seven of the 45 publicly available reports were submitted in English, three in French, and five in Spanish. The number of States Parties that submitted their annual reports in French and Spanish in 2017 is comparable to the number that did so in 2016.⁶

Forty-One of the 45 States Parties that submitted a publicly available 2017 annual report used the cover sheet on the provisional reporting form to indicate the contents of their submission. Austria, France, and Montenegro did not provide a cover sheet for their first or their second ATT annual reports. Luxembourg did not provide a cover sheet for its 2017 annual report, as it provided a nil report for exports and imports. Poland and the United Kingdom did not provide cover sheets for their first ATT annual reports, but did provide cover sheets for their second annual reports. However, the boxes ticked in the cover sheet do not always correspond to the information provided in the report (e.g., a State Party indicated a nil report for imports but provided information on the import of SALW) for several ATT States Parties, thereby representing a continued mismatch in some responses.

INFORMATION WITHHELD FOR NATIONAL SECURITY OR COMMERCIAL CONFIDENTIALITY CONSIDERATIONS

Seven of the 45 States Parties indicated that they had excluded information from the second round of ATT annual reports in relation to national security and/or commercial considerations, compared to nine States Parties that did so in their first ATT annual report.⁷ Two of the States Parties that noted that information had been withheld in their first annual report did not make their second annual report publicly available (Dominican Republic and Senegal). Sweden is the only State Party that indicated in both its first and second annual reports that information had been withheld.



NATIONAL DEFINITIONS AND ADDITIONAL CATEGORIES

Nine States Parties indicated that national definitions had been used for their submissions for activities that took place in 2016 compared to 11 States Parties that did so for activities that took place in 2015. Uruguay is the only State Party that reported in both years and indicated a change – it did not indicate national definitions in its first annual report, but did in its second.

NIL REPORTS

The number of ATT States Parties that submitted a “nil report” dropped from three in the first round of reporting to one in the second round (see Table 2). Luxembourg is the only State Party that has thus far provided a publicly available nil report for activities that took place in 2016. Samoa, Sierra Leone, and Uruguay submitted nil reports for activities that took place in 2015. Samoa has not yet submitted a report for activities that took place in 2016, Uruguay has only made part of its second report publicly available, and Sierra Leone has provided information on imports of conventional arms in its second annual report.

Overall, the number of nil reports for exports is lower for 2017 than for 2016, dropping from 14 in the first round of reporting to nine in the second round. Forty-Two percent of States Parties that submitted publicly available reports in 2016 recorded no import or export of heavy weapons during the 2015 calendar year, while only 23 percent of States Parties indicated that they neither exported nor imported heavy weapons in 2016. Only one State Party that reported an import or export of conventional arms during 2015 did not provide information on imports and/or exports of SALW (South Africa). Greece is the only ATT State Party to report transfers of heavy weapons but no transfers of SALW during 2016.



Table 2. Nil Reports

Type of Nil Report	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Nil report for exports and imports	3	1
Nil report for exports only	14	9
Nil report for imports only	5	1
Nil report for exports and imports of heavy weapons	20	10
Nil report for exports of heavy weapons	27	19
Nil report for imports of heavy weapons **	25	17
Nil report for exports and imports of SALW	3	2
Nil report for exports of SALW	14 *	10
Nil report for imports of SALW **	7	4

* South Africa did not provide information on SALW transfers

** Rows exclude Austria and the United Kingdom, which did not provide information on imports

REPORTS OF EXPORTS AND IMPORTS

ATT annual reports should provide greater understanding of patterns of international transfers of conventional arms, including SALW. Analysis of reporting to UNROCA appears to indicate that while the majority of States regularly export or import SALW, transfers of heavy weapons occur less frequently. Therefore, this section compares the first and second rounds of reports to determine if this pattern appears to hold true for ATT States Parties. While two years of analysis is insufficient to determine a trend, the analysis presented below represents a baseline that will continue to be monitored by ATT-BAP.

Seventeen States Parties reported both exports and imports of heavy weapons in their second annual reports, compared to 16 States Parties in the first round of reports (see Table 3). The number of States Parties reporting exports of heavy weapons increased from 23 of the 50 States Parties reporting on activities in 2015 (46 percent) to 26 of the 45 States Parties reporting on activities in 2016 (58 percent). The overall number and share of States Parties reporting imports of heavy weapons also increased from 22 out of 50 States Parties reporting on activities in 2015 (44 percent) to 25 out of 45 States Parties reporting on activities in 2016 (56 percent).

Seventy-Eight percent of 2017 ATT annual reports provided information on SALW exports compared to 70 percent in 2016 (see Table 3). Eighty-Four percent of 2017 annual reports contained information on SALW imports compared to 80 percent in 2016. Thirty-Six percent of 2016 annual reports provided information on exports and/or imports of SALW and no information on exports and/or imports of heavy weapons, compared to 20 percent in the second year of reporting.

South Africa did not provide any information on exports or imports of SALW in its first ATT annual report, but provided aggregated data for SALW transfers in its second ATT annual report. Australia, Austria, and the United Kingdom did not provide information on imports of SALW in their first or second ATT annual reports.

Ninety-One percent of annual reports submitted on activities conducted during 2016 recorded imports of heavy weapons and/or SALW, compared to 84 percent for 2015 activities. Forty-Two percent of reports contained information on SALW imports and no imports of heavy weapons in the first year of annual reports, compared to 36 percent in the second round.

Table 3. States Parties Providing Information on Arms Exports and Imports

Information on Arms Exports and Imports	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Export heavy weapons	23	26
Export SALW	35	35
Import heavy weapons	22	25
Import SALW	40	38
Report exports and/or imports of heavy weapons (either)	30	35
Report exports and/or imports of SALW (either)	46	42
Report exports of heavy weapons and/or SALW (either)	36	36
Report imports of heavy weapons and/or SALW (either)	42	41
Report exports of SALW, no exports of heavy weapons	13	10
Report imports of SALW, no imports of heavy weapons	21	16
Report exports and imports of heavy weapons	16	17
Report exports and imports of SALW	29	31
Report exports and/or imports of SALW, nil report for exports and imports of heavy weapons	18	9
Report exports and/or imports of heavy weapons, nil report for exports and imports of SALW	1	1

DEFINITION OF EXPORTS

More ATT States Parties provided information on their definition of exports in the second round of ATT annual reports compared to the first round (see Table 4). For example, Italy and the United Kingdom provided information on their definitions of exports in their second annual reports, but did not provide such information in their first reports. Overall, however, there is limited difference between the first and second years of reports regarding the definition of exports used by ATT States Parties. The exceptions are:

- ▶ The Netherlands changed its definition from “physical transfer of items” and “transfer of title” in its first report to just “physical transfer” in its second report.
- ▶ Australia also changed from “physical transfer of items” and “transfer of control” in its first report to just “physical transfer” in its second report.

Table 4. Definition of Exports

Definition of Exports	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Physical transfer of items across a national border	22*	21
Transfer of title	0	0
Transfer of control	0	1
All three of the above	10	8
Physical transfer of items across a national border and transfer of title	1	0
Physical transfer of items across a national border and transfer of control	1	2
Other	1	3 **
No information provided	15 (includes states that did not report exports)	10 (includes states that did not report exports)
TOTAL	50	45

*Montenegro indicated physical transfer and identified “other” as “export includes export licenses.”

**Italy and the United Kingdom noted that the definition is derived from licenses issued.

DEFINITION OF IMPORTS

There are negligible differences between the information provided on the definition of imports by States Parties in the first and second round of annual reports. Most States Parties define “imports” as physical transfers only, with the second largest category of reporting States Parties indicating that imports are defined as the physical transfer as well as the transfer of “title” or “control” (see Table 5).

Table 5. Definition of Imports

Definition of Imports	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Physical transfer of items across a national border	27*	23
Transfer of title	0	1
Transfer of control	0	0
All three of the above	13	10
Physical transfer of items across a national border and transfer of title	1	1
Physical transfer of items across a national border and transfer of control	2	2
Other	1	1
No information provided	6	7
TOTAL	50	45

*Montenegro indicated physical transfer and also identified “other” as “import includes import licenses.”

ANALYSIS OF SECOND ATT ANNUAL REPORTS

This section provides analysis of the information provided on exports and imports in the second ATT annual reports. It is divided into four parts:

- ▶ Analysis of Export Forms for Heavy Weapons
- ▶ Analysis of Export Forms for SALW
- ▶ Analysis of Import Forms for Heavy Weapons
- ▶ Analysis of Import Forms for SALW

Analysis of Export Forms for Heavy Weapons

ACTUAL AND/OR AUTHORIZATIONS FOR EXPORTS

Most States Parties provided information on actual arms exports, continuing a trend first identified in the first round of ATT annual reports, as 71 percent of States Parties that provided information in their 2017 ATT annual reports reported on actual exports, compared to 75 percent of States Parties that did so in their 2016 ATT annual reports (see Table 6).

Norway and the United Kingdom did not provide information on whether they were reporting on actual or authorized arms exports in their 2016 annual reports, but noted in their 2017 annual reports that they reported on actual exports. Montenegro did not report exports in 2016, but reported actual and authorized exports in 2017, joining South Africa as one of the few States Parties to provide information on both actual and authorized exports. Four States Parties changed the source of information for exports of heavy weapons in 2017 compared to 2016:

- ▶ Hungary provided information on actual exports in 2016, but authorized exports in 2017
- ▶ Belgium, New Zealand, and Switzerland provided information on authorized exports in 2016, but actual exports in 2017

Belgium Reports on Authorized Exports, 2016

Category of arms ⁴ [I-VIII]		Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
		Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
II.	Armoured combat vehicles	<input checked="" type="checkbox"/>		90		Indonesia			
		<input checked="" type="checkbox"/>		45		Bahrain			

Belgium Reports on Actual Exports, 2017

Catégorie d'armes ⁴ [I-VIII]		Exportations autorisées ou réelles ⁵		Volume des exportations ⁶ (choisir l'une de ces options ou les deux)		État importateur final ⁹	État d'origine (autre que l'exportateur) ¹⁰	Observations ¹¹	
		Aut.	Réelles	Nombre de pièces ⁷	Valeur ⁸			Description de la pièce	Remarques concernant le transfert
1		2	3	4	5	6	7	8	9
A. Catégories I à VII du registre des Nations Unies¹² (la portée des définitions nationales ne saurait en aucun cas être moindre que celle des définitions figurant à l'annexe 1¹³)									
I.	Chars de combat	<input type="checkbox"/>	<input checked="" type="checkbox"/>	26		Pologne	Allemagne		
II.	Véhicules blindés de combat	<input type="checkbox"/>	<input checked="" type="checkbox"/>	6		Autriche	Autriche		

Table 6. Reporting on Actual or Authorized Exports of “Heavy Weapons”⁸

Actual / Authorized	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Actual	18	20
Authorized	5	6
Both	1	2
Total	24	28

NUMBER OF ITEMS AND/OR VALUE OF EXPORTS

Twenty-One States Parties provided information only on the number of items of heavy weapons exported during 2016 compared to 20 States Parties that did so for weapons exported in 2015. Five States Parties provided information on both the number of items and the value of exports in their 2017 ATT annual reports, whereas three States Parties did so in their 2016 ATT annual reports. Austria, Portugal, and Slovenia provided information on both the number of items exported and the value of exports in their first and second annual reports, while Australia provided information only on the number of items in its first annual report and on both items and value in its second annual report. Montenegro did not provide information on exports in its first annual report. Sweden provided information on the value of exports for all categories in its national control list as additional categories in both its first and second annual reports.

Australia Reports on the Number of Items Exported, 2016

Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories ¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³)								
I. Battle tanks	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2		United Kingdom, Canada		Tank, Model Matilda, Circa WW2, complete with 2 Pdr Matilda Tank Gun. Stuart Tank, Model M3A1 fitted with 37mm inert cannon (circa 1943)	Private Collector, Canadian War Museum

Australia Reports on the Number of Items and Value of Exports, 2017

Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories ¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³)								
I. Battle tanks	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1	\$200,000	United Kingdom			

INFORMATION ON IMPORTING STATE

Twenty-Five States Parties that reported exports of heavy weapons in their 2017 ATT annual reports indicated the importing State for each transfer, compared to 23 States Parties that did so in their 2016 ATT annual reports. Therefore, all States Parties that provided information on exports of heavy weapons provided a breakdown of which items were exported to which importing States.

ORIGIN OF CONVENTIONAL ARMS, IF NOT EXPORTING STATE

Six States Parties indicated a State of origin other than the exporting State for conventional arms exports in their 2017 annual reports, compared to seven States Parties that did so in their 2016 annual reports. Albania is the only State Party that provided this information in its 2016 ATT annual report but not in 2017. However, it did not report any exports of heavy weapons in its 2017 ATT annual report. The information provided by most ATT States Parties does not enable one to determine if States Parties are reporting exports of items that did not originate in the exporting State, but are not indicating this in the form.

DESCRIPTION OF CONVENTIONAL ARMS

Nineteen States Parties included a description of at least some of the heavy weapons exported during the 2016 calendar year, compared to 17 States Parties that did so for exports during the 2015 calendar year. Greece, Montenegro, and Paraguay reported on exports of heavy weapons for the first time in the reports for exports that took place during the 2016 calendar year - i.e., these States Parties had not previously reported exports of heavy weapons (see Figure 2).

Greece Reports With Description of Conventional Arms, 2017

Category of arms ⁴ [I-VIII]		Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
		Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat Aircraft	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input checked="" type="checkbox"/>	<input type="checkbox"/>	5		S. KOREA	Aircraft Rocket Launchers LAU-131/A	
					10		S. KOREA	Aircraft Rocket Launchers LAU-131/A	Repair at BOSA Comp. Greece
					8		LUXEMBOURG (NSPA)	STINGER	
					1		SPAIN	AIM-2000 (IRIS-T)	
					4		SPAIN	CATM-88	
					2		SPAIN	CATM-2000	
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					

COMMENTS ON TRANSFER

Overall, 11 States Parties included comments on at least some of the items being exported in the first round of reporting. Eleven States Parties also provided comments in the second round of reporting, though the same States Parties did not provide such information in both rounds. Specifically:

- ▶ Australia and Hungary provided comments on exports of heavy weapons in their 2016 annual reports, but did not provide information in this column in their 2017 annual reports. However, Hungary provided a comment in the column for the “description of item” for the missile launcher exported to Germany in 2016 (see image).
- ▶ Germany and Slovenia did not provide comments on exports of heavy weapons in their 2016 annual reports, but did so in their 2017 annual reports.

In addition, Greece and Montenegro provided comments on exports of heavy weapons in their 2017 annual reports. This represents the first time Greece submitted an ATT annual report, while Montenegro did not provide information on exports in its 2016 annual report.

Hungary Reports With Comments on Transfer, 2016

Category of arms ⁴ [I-VIII]		Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
		Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat aircraft	a)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	1	Germany	Soviet Union	MiG-21 BIS (deactivated, without armament)	exhibitions purposes
		b)	<input type="checkbox"/>	<input type="checkbox"/>					

Hungary Reports Without Comments on Transfer, 2017

Category of arms ⁴ [I-VIII]		Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
		Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat aircraft	a)	<input type="checkbox"/>	<input type="checkbox"/>					
		b)	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a)	<input type="checkbox"/>	<input type="checkbox"/>					
		b)	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a)	<input type="checkbox"/>	<input type="checkbox"/>					
		b)	x	<input type="checkbox"/>	1	DE	Soviet Union	KUBSA6 self-propelled missile launcher, demilitarized	



Analysis of Export Forms for SALW

REPORTING EXPORTS USING SALW SUB-CATEGORIES

Twenty-Eight States Parties utilized the sub-categories for small arms contained in the ATT annual report or UNROCA standardized form for SALW in the second year of reporting, compared to 30 for the first round of annual reports. Twenty States Parties utilized the sub-categories for light weapons, compared to 22 in the second year of reporting.

ACTUAL AND/OR AUTHORIZATIONS FOR EXPORTS

Twenty States Parties indicated that their information on exports of SALW referred to actual exports in the second round of annual reports, while 13 States Parties reported on authorizations. By comparison, 21 States Parties reported on actual exports in the first round of reports and 11 States Parties reported on authorizations for exports.

Latvia and the United Kingdom did not provide information on the source of information in their 2016 ATT annual reports, but both indicated that they were reporting on authorizations as the source of information in their second annual reports. Lithuania and Portugal changed from actual to authorized exports of SALW between their 2016 and 2017 annual reports.

Austria and Germany indicated that they reported on actual exports of heavy weapons and on authorizations for SALW in the first round of annual reports. The number of ATT States Parties indicating this distinction between reporting on exports of heavy weapons and SALW doubled to four States Parties in the second round of reporting: Austria, Belgium, Germany, and Switzerland.

NUMBER OF ITEMS AND/OR VALUE OF EXPORTS

Overall, ATT States Parties reported primarily on the number of items of SALW exported (see Table 7). However, several States Parties changed the type of information provided regarding exports of SALW between the first and second rounds of reporting:

- ▶ Portugal reported on the number of items and value of exports in its 2016 ATT annual report, but only provided information on the number of items exported in its 2017 ATT annual report;
- ▶ Australia and Lithuania changed from reporting on the number of items to reporting on both the number of items and values.

Bosnia and Herzegovina, Portugal, and Slovenia indicated that the currency being used is euros, Japan indicated yen, and Montenegro indicated euros for some exports and U.S. dollars for others.

Sweden has classified the number of exports of light weapons in its submission to UNROCA and used the same approach for both of its ATT annual reports. It provides information on the value of exports for small arms, using ML category 1.

Table 7. Reporting on SALW Exports, Number of Items and/or Value of Exports

Number of Items / Values	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Number of Items	27	26
Values	1	1
Both	6	7
Other	1	1

INFORMATION ON IMPORTING STATE

Twenty-Eight of the 35 States Parties that reported exports of SALW in the second round of reporting provided information on the importing state, broken down by recipient. Bosnia and Herzegovina and Estonia provided information on aggregated SALW exports for each sub-category in the reporting form with a list of importing States for each sub-category. Denmark, Italy, Mauritius, Norway, and South Africa provided aggregated totals for SALW exports for each sub-category, but did not provide information on importing States. In their first annual reports, however, Italy did provide information on the importing state by sub-category and Norway indicated the importing states for light weapons.

Italy Reports With Information on Importing States, 2016

B. VIII. Small Arms and Light Weapons ^{14,15}							
Small Arms (aggregated) ¹⁶		<input type="checkbox"/>	<input type="checkbox"/>				
1.	Revolvers and self-loading pistols	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1.213 9 3 2 400 500 434 54 1.233 15 2.025 121 35.001 2.149 50 4.040 100 15.011 5 12 511 8	ALBANIA ALGERIA SAUDI ARABIA BAHRAIN BRUNEI CHILE CHINA COLOMBIA EGYPT UAE JORDAN INDONESIA IRAQ LEBANON MALTA MEXICO NAMIBIA OMAN PAKISTAN PARAGUAY PERU UNITED KINGDOM		

Italy Reports Without Information on Importing States, 2017

B. VIII. Small Arms and Light Weapons ^{14,15} (See Annex 4 for further details)							
Small Arms (aggregated) ¹⁶		<input checked="" type="checkbox"/>	<input type="checkbox"/>				
		<input checked="" type="checkbox"/>	<input type="checkbox"/>	99.106			
1.	Revolvers and self-loading pistols	<input checked="" type="checkbox"/>	<input type="checkbox"/>	75.402			
2.	Rifles and carbines	<input checked="" type="checkbox"/>	<input type="checkbox"/>	15.976			
3.	Sub-machine guns	<input checked="" type="checkbox"/>	<input type="checkbox"/>	3.029			
4.	Assault rifles	<input checked="" type="checkbox"/>	<input type="checkbox"/>	4.699			
5.	Light machine guns	<input checked="" type="checkbox"/>	<input type="checkbox"/>	0			
6.	Others	<input checked="" type="checkbox"/>	<input type="checkbox"/>	0			

Therefore, the second round of ATT annual reports provides less information on importing States than the first round of reporting did. It is discouraging that ATT States Parties do not consistently provide information on the States to which they are exporting SALW, especially as they provide such information with regards to heavy weapons exports. Furthermore, most of these States have provided this information in disaggregated form in their UNROCA reports and/or annual reports on arms exports. The lack of such information means that it is not possible to determine if these ATT States Parties are abiding by their obligations under Articles 6 and 7, as information is not provided on the importing States and types of SALW imported.

ORIGIN OF CONVENTIONAL ARMS, IF NOT EXPORTING STATE

Five States Parties indicated a State of origin other than the exporting State in the second round of reporting, compared to six for the first round of reporting.

DESCRIPTION OF SALW

The number of States Parties providing a description of SALW exports for at least some of the reported transfers increased from 15 to 18 between the first and second rounds of reporting. However, Germany, Lithuania, and Norway provided a description for some SALW exports in their first annual reports, but did not do so in their second reports. Conversely, Montenegro, Netherlands, New Zealand, and Poland did not provide such information in their first annual reports, but did in their second annual reports. Therefore, while the overall number has increased, it is disconcerting that several States Parties that provided such information in the first round of reports did not do so in the second round.

COMMENTS ON TRANSFER

Ten States Parties provided “comments on transfer” for some of their exports of SALW in the second round of reporting compared to 11 in the first round. France and New Zealand provided comments on transfers in their 2016 annual reports, but did not do so in their 2017 annual reports. Albania, Montenegro, and Romania did not provide such information in their first reports, but did in their second reports.



PHOTO: U.S. PACIFIC FLEET

Analysis of Import Forms for Heavy Weapons

ACTUAL AND/OR AUTHORIZATIONS FOR IMPORTS

In contrast to the changes in the sources of information for exports, there is limited evidence of change with regard to the sources of information for imports of heavy weapons (see Table 8). Most States Parties provided information on actual imports of heavy weapons in contrast to authorized imports.

Table 8. Reporting on Actual and/or Authorization of Imports of Heavy Weapons

Actual / Authorized	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Actual	20	18
Authorized	4	4
Both	1	2

NUMBER OF ITEMS AND/OR VALUE OF IMPORTS

Twenty-Four States Parties provided information on units of imports in their 2017 annual reports, with no States Parties providing information only on the value for imports of heavy weapons. Portugal and Slovenia provided information on units and value of imports of heavy weapons in their first annual reports, but neither reported imports of heavy weapons in their second annual reports. Montenegro was the only State Party to provide information on items and value of imported heavy weapons in the second round of reporting. Thus, in both the first and second rounds of ATT reporting on annual arms transfers, all States Parties provided information on the number of items of heavy weapons imported, with a very small number of States Parties also providing information on the value of heavy weapons imports (see Table 9).

Table 9. Reporting on the Number of Items or Value of Imports of Heavy Weapons

Number of Items / Values	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Number of Items	21	24
Values	0	0
Both	2	1

INFORMATION ON EXPORTING STATE

Almost all States Parties that provided information on imports of heavy weapons disaggregated information on the exporting State for their imports. Italy, however, is the exception, as it did not provide information on the exporting State for its imports of heavy weapons in the second round of reporting.

ORIGIN OF CONVENTIONAL ARMS, IF NOT EXPORTING STATE

The number of States Parties providing information on the origin of heavy weapons imported if not from the exporting state dropped from six States Parties in the first round of reporting to two States Parties for the second round. It is not possible to determine if this change is due to reduced transparency or differences in the sources of heavy weapons imported.

DESCRIPTION OF CONVENTIONAL ARMS

Nineteen States Parties provided a description of at least some of the heavy weapons being imported in the second round of reporting compared to 18 States Parties in the first round of reporting. For example, Argentina did not report imports of heavy weapons in its 2016 report, but did provide such information in its 2017 report, including a description of heavy weapons imported.

Argentina Reports With Description of Conventional Arms, 2017

Categoría de armas ⁴ [I-VIII]	Importaciones autorizadas o reales ⁵		Alcance de las importaciones ⁶ (elija una o ambas opciones)		Estado exportador ⁹	Estado de origen (si no es el exportador) ¹⁰	Observaciones ¹¹	
	Aut.	Reales	Número de artículos ⁷	Valor ⁸			Descripción del artículo	Comentarios sobre la transferencia
1	2	3	4	5	6	7	8	9
A. I-VII Categorías del Registro de las Naciones Unidas¹² (las definiciones nacionales no deberán incluir menos que las definiciones del Anexo 1)¹³								
I.	Tanques de combate	<input type="checkbox"/>	<input type="checkbox"/>					
II.	Vehículos blindados de combate	<input type="checkbox"/>	<input type="checkbox"/>					
III.	Sistemas de artillería de gran calibre	<input type="checkbox"/>	X	Cuatro (4)		Italia	Obús Otto Melara Cal. 105mm	Artillería Liviana



COMMENTS ON TRANSFER

Seven States Parties included comments on at least some of the items being imported during the 2016 calendar year, compared to six for the 2015 calendar year. This is a lower level of response than for exports of heavy weapons. It is therefore worth commending Sierra Leone for providing information on the intended purpose for the import of 10 MRAPs from China in its 2017 report.

Sierra Leone Reports With Comments on Transfer, 2017

Category of arms ⁴ [I-VIII]	Authorised or actual imports ⁵		Extent of imports ⁶ (choose one or both)		Exporting State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex 1) ¹³								
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>	-		-		
II.	Armoured combat vehicles	<input type="checkbox"/>	<input checked="" type="checkbox"/>	10		China	MRAP	For MINUSMA
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>	-		-		





Analysis of Import Forms for SALW

REPORTING IMPORTS USING SALW SUB-CATEGORIES

Thirty-Four States Parties utilized the small arms sub-categories in the second round of annual reports compared to 37 States Parties that did so in the first round. Twenty-Two States Parties utilized the light weapons sub-categories, compared to 24 States Parties that did so in the first round of ATT annual reporting.

ACTUAL AND/OR AUTHORIZATIONS FOR IMPORTS

Twenty-Two States Parties provided information on actual imports of SALW, 13 provided information on authorized imports of SALW, and The Former Yugoslav Republic of Macedonia provided information on both actual and authorized imports of SALW. Therefore, the sources of information for reporting on SALW imports have not changed dramatically in comparison with the first round of reporting (see Table 10).

Germany was the only State Party to provide information on actual imports of heavy weapons, but on authorized imports of SALW in the first round of ATT annual reports. In the second round of reporting, three States Parties provided information on actual imports of heavy weapons, but on authorized imports of SALW: Germany, New Zealand, and Switzerland.

Table 10. Reporting on Actual and/or Authorized Imports of SALW

Actual / Authorized	2016 Annual Reports (Number of States Parties)	2017 Annual Reports (Number of States Parties)
Actual	24	22
Authorized	14	13
Both	1	1

NUMBER OF ITEMS AND/OR VALUE OF IMPORTS

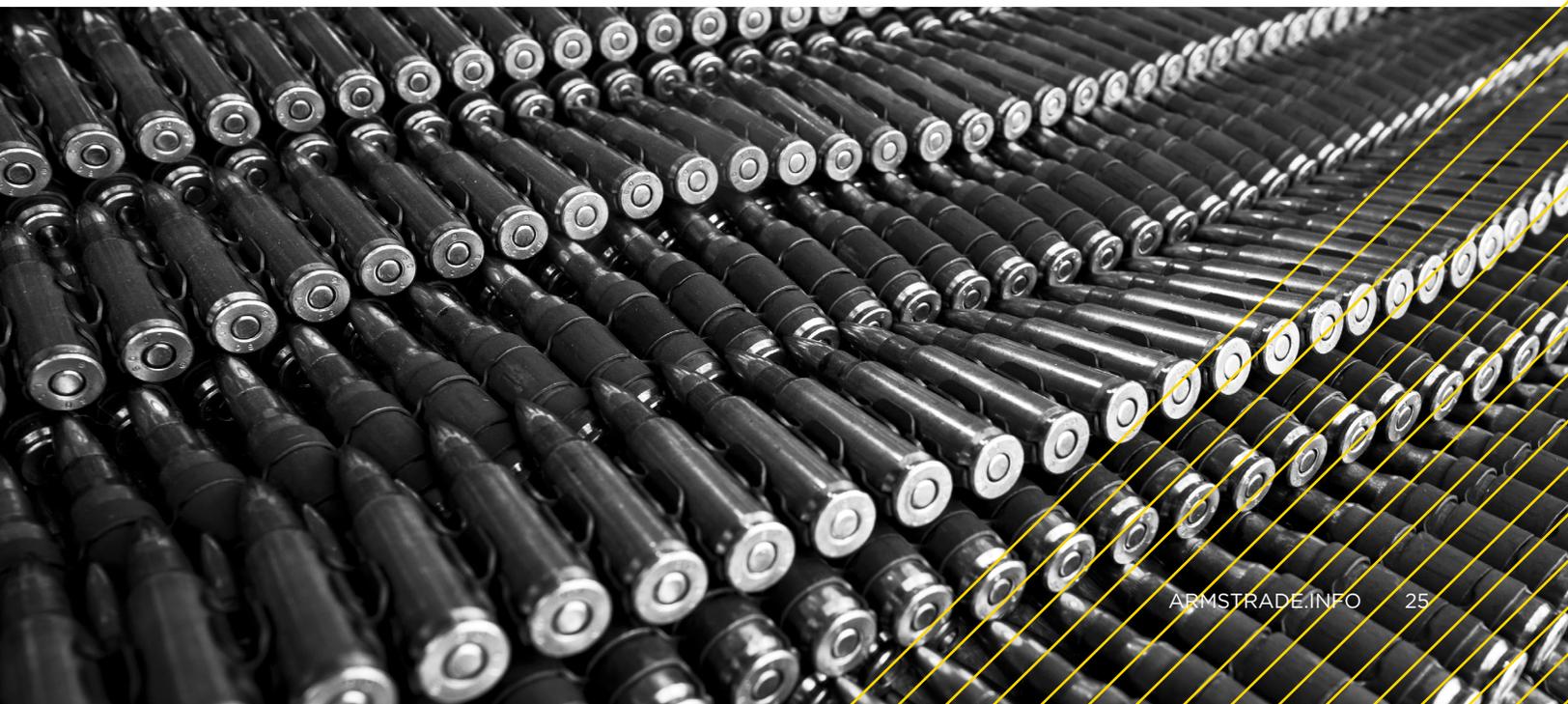
The overall number of States Parties reporting items, values, or both items and values of SALW imports is almost the same for the first and second rounds of annual reports. Although Paraguay provided its first and second annual reports in August 2017, it did not provide information on units of SALW imported in its first annual report, though it did provide information on imported pistols and revolvers, and rifles and carbines in its second report. Paraguay did not provide information on imports of other small arms and light weapons in its 2017 annual report.

Paraguay Does Not Report on Number of Items Imported, 2016

B. VIII. Armas pequeñas y armas ligeras ^{14, 15}									
Armas pequeñas (total) ¹⁶		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Revólveres y pistolas automáticas	<input checked="" type="checkbox"/>	<input type="checkbox"/>			Estados Unidos de América, Italia, Israel, Austria, Argentina, Brasil	Estados Unidos de América, Italia, Israel, Austria, Argentina, Brasil, Turquía	Revólveres y pistolas semiautomáticas	Para su uso civil.
2.	Fusiles y carabinas	<input checked="" type="checkbox"/>	<input type="checkbox"/>			Estados Unidos de América	Estados Unidos de América	Automáticas y semiautomáticas	Las automáticas son para uso privativo de los órganos de defensa y seguridad. Las semiautomáticas son para uso civil.

Paraguay Does Report on Number of Items Imported, 2017

B. VIII. Armas pequeñas y armas ligeras ^{14, 15}									
Armas pequeñas (total) ¹⁶		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Revólveres y pistolas automáticas	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Revólveres: 89 Pistolas: 8020		Estados Unidos de América, Italia, Israel, Austria, Argentina, Brasil, Turquía	Estados Unidos de América, Italia, Israel, Austria, Argentina, Brasil, Turquía	Revólveres y pistolas semiautomáticas	Para su uso civil.
	Fusiles y carabinas	<input checked="" type="checkbox"/>	<input type="checkbox"/>	3926		Estados Unidos de América	Estados Unidos de América	Automáticas y semiautomáticas	Las automáticas son para uso privativo de los órganos de defensa y seguridad. Las semiautomáticas son para uso civil.



INFORMATION ON EXPORTING STATE

Twenty-Seven States Parties provided information on the exporting State for their SALW imports in the second round of reporting, compared to 29 States Parties that did so in the first round of ATT reporting. As with the first round of reporting, several reports provide information on the exporting states in an aggregated format.

Estonia Provides Information on Exporting States, 2016

B. VIII. Small Arms and Light Weapons ^{14,15}								
Small Arms (aggregated) ¹⁶		X	<input type="checkbox"/>	3072	N/A	N/A		
1.	Revolvers and self-loading pistols	X	<input type="checkbox"/>	1462	N/A	DE, US, AT, ES, IT, LT, LV, SE, SK, FI, CZ, HU, CH		
2.	Rifles and carbines	X	<input type="checkbox"/>	1258	N/A	AT, BE, IT, LT, LV, SE, DE, SK, FI, UK, CZ, US, CH, RU		
3.	Sub-machine guns	X	<input type="checkbox"/>	43	N/A	DE, FI		
4.	Assault rifles	X	<input type="checkbox"/>	30	N/A	DE, US, FI		
5.	Light machine guns	X	<input type="checkbox"/>	3	N/A	DE, FI		
6.	Others	X	<input type="checkbox"/>	276	N/A	ES, IT, LV, DE, FI, UK, CZ, RU		

Estonia Provides Information on Exporting States, 2017

B. VIII. Small Arms and Light Weapons ^{14,15}								
Small Arms (aggregated) ¹⁶		x	<input type="checkbox"/>	2148	N/A	N/A		
1.	Revolvers and self-loading pistols	X	<input type="checkbox"/>	1205	N/A	AT, BE, IT, LV, LU, DE, SK, CZ, FI, CH, US		
2.	Rifles and carbines	x	<input type="checkbox"/>	530	N/A	AT, BE, UK, IT, LV, LT, LU, SE, DE, CZ, FI, DK, US		
3.	Sub-machine guns	x	<input type="checkbox"/>	32	N/A	DE		
4.	Assault rifles	x	<input type="checkbox"/>	21	N/A	DE, ZA		
5.	Light machine guns	x	<input type="checkbox"/>	6	N/A	DE		

ORIGIN OF CONVENTIONAL ARMS, IF NOT EXPORTING STATE

The number of States Parties providing information on the origin of SALW if not the exporting State dropped from nine in the first round of reporting to three in the second round. As with imports of heavy weapons, it is not possible to determine if this relates to a decrease in transparency or a decline in the import of SALW from exporting States other than the source of origin.

DESCRIPTION OF SALW

Twenty-One States Parties provided a description of some of the SALW imported during the 2016 calendar year, compared to 22 States Parties that did so for SALW imported during the 2015 calendar year.

COMMENTS ON TRANSFER

The number of States Parties that provided comments on SALW imports in their first and second rounds of reporting remained the same, with 13 States Parties providing such information in their 2017 annual reports.

CONCLUSION

While the level of reporting for the first and second rounds of ATT annual reports is largely comparable, there are several areas in which the 2017 annual reports show worrying signs of reduced transparency.

First, the number of ATT States Parties that have elected to not make their annual reports publicly available increased from one to three. Slovakia, the one State Party that submitted a private report in 2016, elected to make its 2017 annual report publicly available. In contrast, Liberia, Panama, and Senegal made their 2016 ATT annual reports publicly available, but have restricted access to their 2017 reports. Additionally, Uruguay restricted access to part of its 2017 annual report. In contrast, it had provided information on imports of additional categories of military equipment in its 2016 report.

Second, while the number of States Parties in Africa and the Americas has significantly increased between the first and second rounds of reporting, there has not been a strong overall increase in the number of reports from ATT States Parties from these regions. The reasons for the lack of reporting need to be addressed, as annual reports are a clear and tangible obligation in the Treaty. For example, if the lack of reporting is due to technical challenges, this could be an area in which the Voluntary Trust Fund could provide support. If the lack of reporting relates to political challenges, then the presidency of the Conference of States Parties could be called upon to provide support to those agencies and officials in the ATT States Parties that are seeking to prepare an ATT annual report.

Third, States Parties that provided information in their first annual reports on types of weapons – in particular, sub-categories of SALW – broken down by exporting and importing States, did not provide such information in their second annual reports. This is particularly concerning as it is not possible to determine if an ATT State Party is abiding by its obligations contained in Articles 6 and 7 of the Treaty if information is not provided on the exporting or importing States. For example, absent information on an importing State, it is difficult, if not impossible, to ensure that an ATT State Party has not exported conventional arms to a recipient that poses a significant risk of misuse of the transferred weapons. Additionally, without information on the types of weapons and exporting States, it is not possible to determine if an ATT State Party has imported conventional arms from an entity subject to a UN arms embargo, thereby contravening Article 6(1) or exporting conventional arms in violation of Article 6(3). The Transparency and Reporting Working Group could explore the challenges that ATT States Parties face in providing such information, explaining the rationale for requesting disaggregation.

Fourth, the fact that so few ATT States Parties offer “description of items” and “comments on the transfer” means that it remains difficult to better understand the decision-making rationale for exports or imports (i.e., end use and end user information). These are areas in which additional information would represent a positive development, demonstrating that ATT States Parties are committed to increasing transparency in the international arms trade and clearly enabling other States and interested parties to determine the responsibility of ATT States Parties’ decision-making with regard to exports and imports. This could be an area in which good practice could be promoted within the Transparency and Reporting Working Group.

ENDNOTES

- ¹ Arms Trade Treaty, Second Conference of States Parties, Working Group on Reporting Templates, Draft 9 July 2016 – Rev 1. Draft Report of the ATT Working Group on Reporting Templates to the Second Conference of States Parties, p. 2.
- ² The ATT Secretariat reports that 28 States Parties provided their first ATT annual report before 7 June 2016, compared to 31 States Parties that provided their second ATT annual report before 7 June 2017. ATT Secretariat, 2017, ‘Overview of the Status of ATT Reporting: Presentation to the Third Conference of States Parties to the ATT’, Dumisani Dladla, 13 September 2017, http://thearmstradetreaty.org/images/CSP3_Documents/Statements/170913_CSP3_-_ATT_Secretariat_-_Presentation_on_the_Status_of_ATT_Reporting_13_September_2017.pdf.
- ³ Costa Rica, Croatia, Dominican Republic, Ireland, Jamaica, Mali, and Samoa all provided a 2016 ATT annual report, but have not yet submitted a 2017 annual report.
- ⁴ Liberia, Panama and Senegal elected to make their 2017 annual reports available only to ATT States Parties.
- ⁵ See: The Arms Trade Treaty Secretariat, “Reporting,” Accessed 1 September 2017, <http://thearmstradetreaty.org/index.php/en/2017-01-18-12-27-42/reports>
- ⁶ Belgium, Burkina Faso, and France submitted their 2017 ATT annual reports in French; Argentina, El Salvador, Mexico, Paraguay, and Spain submitted their 2017 ATT annual reports in Spanish. France and Senegal submitted their 2016 ATT annual reports in French; The Dominican Republic, El Salvador, Panama, Paraguay, and Uruguay submitted their 2016 ATT annual reports in Spanish.
- ⁷ Burkina Faso, Finland, Greece, Italy, Norway, Sweden, and Uruguay elected to withhold national security information from their 2017 ATT annual reports. Australia, Bosnia and Herzegovina, Bulgaria, Croatia, Dominican Republic, Germany, Liberia, Senegal, and Sweden elected to withhold national security information from their 2016 ATT annual reports.
- ⁸ Includes information provided by States Parties that did not report exports of “heavy weapons.” That is, some States Parties indicated that they use actual exports for reporting purposes, though they did not provide information on any exports in their reports





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

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