



# REVIEWING INITIAL REPORTS ON ATT IMPLEMENTATION

**ANALYSIS AND LESSONS LEARNED**

**Arms  
Trade  
Treaty**

Baseline Assessment Project



# TABLE OF CONTENTS

INTRODUCTION	4
THE ARMS TRADE TREATY-BASELINE ASSESSMENT PROJECT	5
THE PURPOSE OF INITIAL REPORTS	6
TOWARD A STANDARDIZED REPORTING TEMPLATE	7
<i>The Initial Reports</i>	8
THE ATT-BAP SURVEY	11
OVERVIEW OF THE PRACTICES REVEALED IN THE INITIAL REPORTS	15
<i>National Control System and List</i>	15
<i>Prohibitions</i>	18
<i>Exports</i>	22
<i>Imports</i>	26
<i>Transit/Transshipment</i>	28
<i>Brokering</i>	32
<i>Diversion</i>	36
<i>Record Keeping</i>	40
<i>Reporting</i>	41
<i>Enforcement</i>	44
<i>International Cooperation</i>	46
<i>International Assistance</i>	50
COMPARING ATT INITIAL REPORTS WITH OTHER CONVENTIONAL ARMS REPORTING MECHANISMS	54
<i>Programme of Action</i>	58
<i>End-Use/User Reporting</i>	60
<i>United Nations General Assembly Resolution: National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology</i>	62
<i>Unilateral and Regional Reporting on Transfer Control Systems</i>	63
<i>ATT-BAP Survey</i>	64
CONCLUSION	66
ANNOTATIONS	68



## INTRODUCTION

One year after the First Conference of States Parties to the Arms Trade Treaty (CSP1) concluded, implementation of the ATT is under way. A key component of the first stage of ATT implementation is reporting on measures to implement the ATT, as outlined in Article 13(1) of the Treaty. States Parties' initial reports on measures undertaken to implement the ATT (hereafter referred to as "initial reports") should demonstrate treaty implementation and provide greater transparency of the global arms trade and its regulatory processes. States Parties have spent significant time and resources to conduct an assessment of their compliance with the obligations of the ATT and to record this information in their initial reports, which have been provided to the ATT Secretariat and made available to the public. This ATT-Baseline Assessment Project report analyzes the initial reports that were received by the Secretariat by 15 June 2016. The analysis provides insight into key areas for treaty implementation, and addresses the following questions:

- How useful are the initial reports for determining whether ATT States Parties are in compliance with ATT obligations?
- Do the initial reports provide new information on national transfer control systems? If yes, how can this information be used?
- Do the initial reports provide information on good practices for regulating international arms transfers and addressing diversion?
- Do the initial reports enable the identification of new assistance needs and potential resources?

This report is divided into four thematic sections. The first section outlines the rationale for and purpose of the initial reports. The second section discusses the process for developing a standardized reporting form for States Parties to use in order to fulfill their obligation to provide an initial report to the Secretariat. This section also compares the contents of the provisional reporting template with the contents of the ATT-BAP Survey. The third section provides an overview of the information provided in the submitted initial reports. The fourth section compares the information contained in the initial reports with information contained in other reports on conventional arms, including national reports on the Programme of Action, the Organization for Security and Co-operation in Europe (OSCE), the Wassenaar Arrangement, and the ATT-BAP Survey. The report concludes with an analysis of potential next steps for reporting on implementation of the ATT.



# Arms Trade Treaty

Baseline Assessment Project

## 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 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 reports.

“

**[The ATT] is about promoting international peace and global security...and advancing important humanitarian goals.**

– U.S. Secretary of State John Kerry

”




## THE PURPOSE OF INITIAL REPORTS

All States Parties are required to submit an initial report in accordance with Article 13(1) of the Arms Trade Treaty (ATT), which states:

*Each State Party shall, within the first year after entry into force of this Treaty for that State Party, in accordance with Article 22, provide an initial report to the Secretariat of measures undertaken in order to implement this Treaty, including national laws, national control lists and other regulations and administrative measures. Each State Party shall report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate. Reports shall be made available, and distributed to States Parties by the Secretariat.*

The initial reports serve several purposes:

 <p>Arms Trade Treaty Baseline Assessment Project</p>	<p>To demonstrate compliance with the Treaty's provisions. Analysis of the initial reports can help determine whether sufficient information is being provided and whether a State Party is fulfilling its ATT obligations</p>	<p>To provide an overview of how States Parties interpret and implement ATT obligations</p>	<p>To provide an opportunity for States to assess Treaty implementation</p>
<p>To enable identification of good practices and provide insight on how to determine whether a particular measure is good practice</p>	<p>To follow patterns and trends in implementation – such as whether States are using similar control lists, brokering definitions, or common control measures</p>	<p>To help identify areas that need to be addressed and those that might benefit from international assistance and cooperation</p>	<p>To highlight States Parties that could provide implementation assistance</p>



# TOWARDS A STANDARDIZED REPORTING TEMPLATE

The ATT does not have an annex that contains a template for an initial report. The Treaty text does not contain any reference to the need to develop or adopt standardized reporting templates for the initial report or annual report. Article 13(1) of the ATT provides some guidance for the contents of the initial report, stating that it should include “national laws, national control lists and other regulations and administrative measures.” Therefore, States Parties can provide information on national measures to implement the ATT in their own national format.

After the Treaty was adopted, States Parties considered the benefits of developing standardized reporting templates to assist States Parties in fulfilling their reporting obligations for the initial and annual reports.<sup>1</sup> In general, standardized reporting templates can:

Assist States in understanding the types of information required for comprehensive reporting	Allow for consistent and uniform analyses of implementation efforts	Make it possible to compare reports	Simplify processes for providing information to comply with international obligations for States with limited capacity and resources
--	---	-------------------------------------	--

Therefore, at the November 2014 informal consultations for CSP1 held in Berlin, States Parties agreed to the establishment of an informal working group on reporting to examine issues related to the development of standardized reporting templates for the ATT initial and annual reports. Swedish Ambassador Paul Beijer was appointed to chair the informal working group.

The informal working group was intended, over the course of nearly nine months, to share ideas on the development of standardized reporting templates via email as well as meet on the sidelines of informal and formal preparatory meetings before CSP1. By request of the informal working group chair, civil society, including ATT-BAP, developed first drafts of the initial and annual reporting templates to serve as the basis for the development of reporting templates to be adopted at CSP1. The first draft of the standardized reporting template for the initial report was based on the ATT-BAP Survey (see page 11). Few States shared their views on the sidelines of the preparatory meetings or via email, and there was an overall lack of clarity regarding the process, status, and scope of the proposed templates. The final drafts of the reporting templates were presented for adoption at CSP1. However, States Parties could not agree

on adoption of the reporting templates at CSP1, and therefore the final report of the meeting “took note” of the drafts that had been presented and decided to establish another informal working group on reporting.<sup>2</sup>

The informal working group was reconvened after the extraordinary meeting of 29 February 2016, with four sessions convened in the lead-up to the Second Conference of States Parties (CSP2).<sup>3</sup> The informal working group considered revisions to the draft reporting template for the initial report in light of the first round of initial reports submitted by States in late 2015 and early 2016. Following this examination, the informal working group proposed several amendments to the draft template, which will be presented for adoption at CSP2 in Geneva in August 2016.<sup>4</sup> It should be noted that even if States Parties come to agreement at CSP2 on the format and contents of the standardized reporting template for the initial reports, use of the template would not be binding on ATT States Parties, because a standardized reporting form is not explicitly recommended in the Treaty text, nor is one attached as an annex to the Treaty.<sup>5</sup>

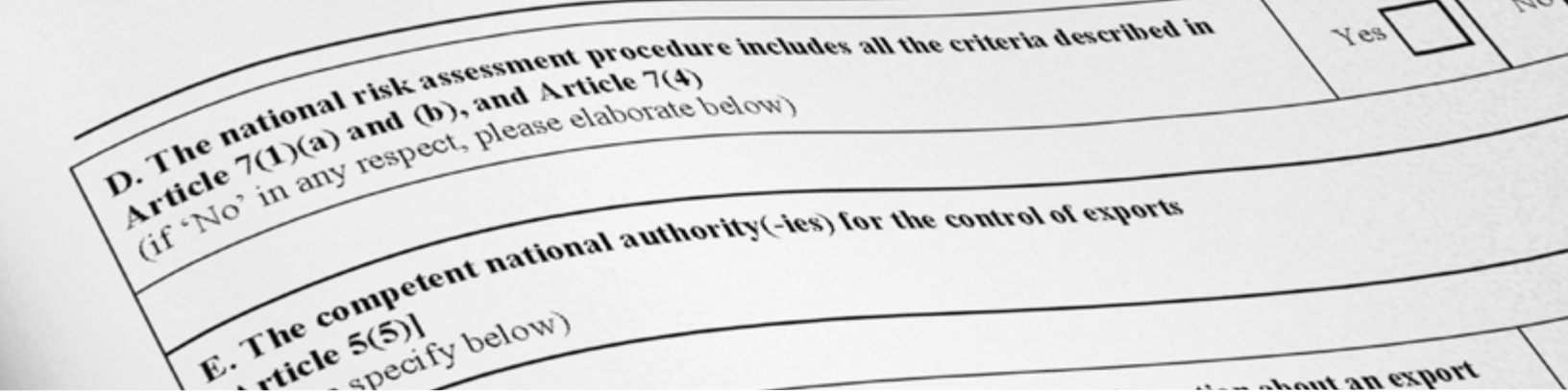
## The Initial Reports

Article 13(1) requires States Parties to report on all “measures undertaken in order to implement” the ATT. Sixty-three States Parties were required to submit their initial implementation reports by 15 June 2016. Forty-nine States Parties did so, according to the Secretariat’s provisional website.<sup>6</sup> Three of the 49 reports are private, or States Parties have elected not to display them publicly on the Secretariat’s provisional website. These three reports are those submitted by Burkina Faso, Nigeria, and Senegal. Therefore, this report analyzes only the 46 publicly available reports. Of those 46 publicly available reports, 39 used the draft provisional template presented at CSP1. Six States Parties used a version of their ATT-BAP Survey, and one State used its own national template.<sup>7</sup>

“

**49 States Parties have submitted an initial report [on measures to implement the ATT]**

”



The provisional reporting template consists of a combination of “yes/no” questions in tick box form and open-ended questions across 13 topics:

- National Control System and List
- Prohibitions
- Exports
- Imports
- Transit/Transshipment
- Brokering
- Diversion
- Record Keeping
- Reporting
- Enforcement
- International Cooperation
- International Assistance
- Dispute Settlement<sup>8</sup>



Although States Parties are required to report on all measures undertaken to implement the Treaty, the provisional template distinguishes between voluntary and mandatory Treaty obligations, which are reflected in two separate sections in the template – “binding” and “non-binding.” This structure has created two main challenges. First, it has led to confusion among States Parties as to whether they are required to report on voluntary measures that are contained in the “non-binding” section of the template. For example, Hungary did not provide any responses in the “non-binding” section. Second, it makes the completion of the reporting template more time-consuming because States Parties have to report on the same topic in two separate areas of the reporting form. This increases the reporting burden and the potential for repetition, as well as the risk that States Parties might omit details from their initial reports.

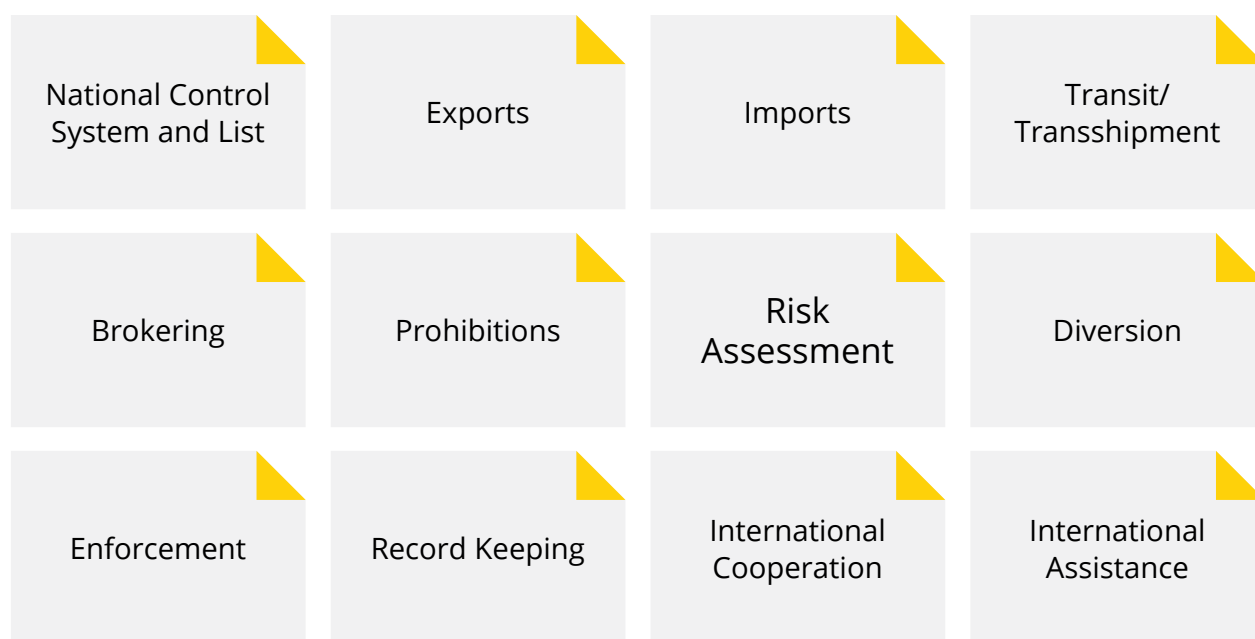
In general, States Parties provided more detailed information in the “non-binding” section than in the “binding” section of the provisional template. The reason for this is unclear. For example, the differences in the amount of information provided across the two sections may be the result of more open-ended questions in the “non-binding” section and the opportunity to provide narrative responses. It could also be the case that because there are fewer questions to answer in the “binding” section, there are fewer opportunities to provide information. The “binding” section consists of 34 questions, whereas the “non-binding” section consists of 48 questions. To mitigate these challenges, the 2016 informal working group on reporting proposes moving the “binding” and “non-binding” sections into the same thematic sections, though the shading that differentiates between the “binding” and “non-binding” obligations would remain.<sup>9</sup>

To assist States Parties that wanted to use information provided in their ATT-BAP Survey when completing the provisional reporting template, ATT-BAP contributed to a “key” that was developed by the informal working group chair to enable States Parties to match questions in the ATT-BAP Survey with questions contained in the provisional reporting template. The table on page 14 provides a comparison of the sections (by number) contained in the ATT-BAP Survey and the provisional reporting template, demonstrating the overlap. At least nine States Parties appear to have used the “key” in order to transfer information provided in their ATT-BAP Surveys into the provisional template that they submitted as their initial reports.<sup>10</sup>



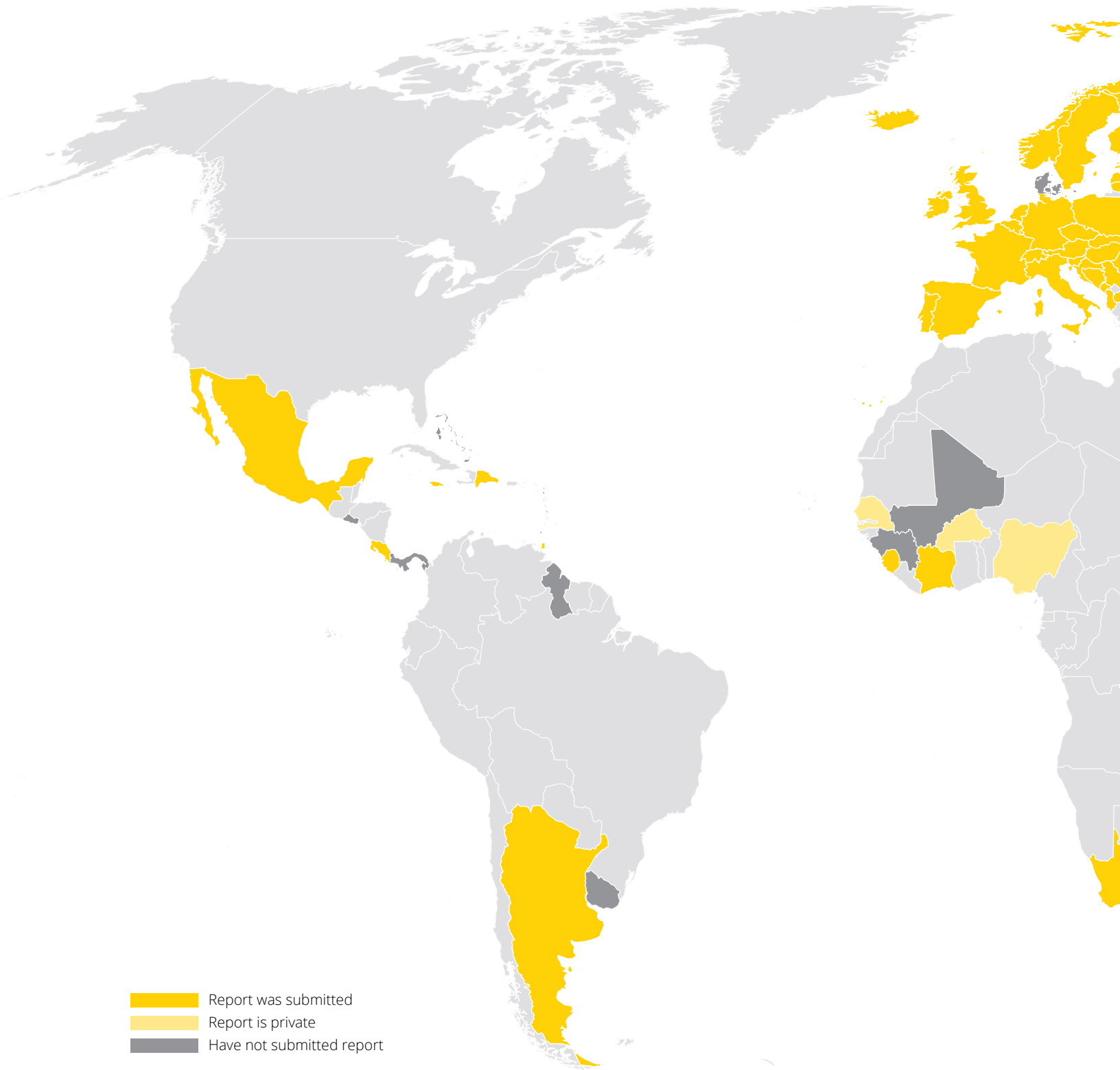
## THE ATT-BAP SURVEY

The ATT-BAP Survey, which was made available in January 2014, contains a section relating to progress toward signing and ratifying the ATT, as well as 12 sections with detailed questions on how States implement the ATT:

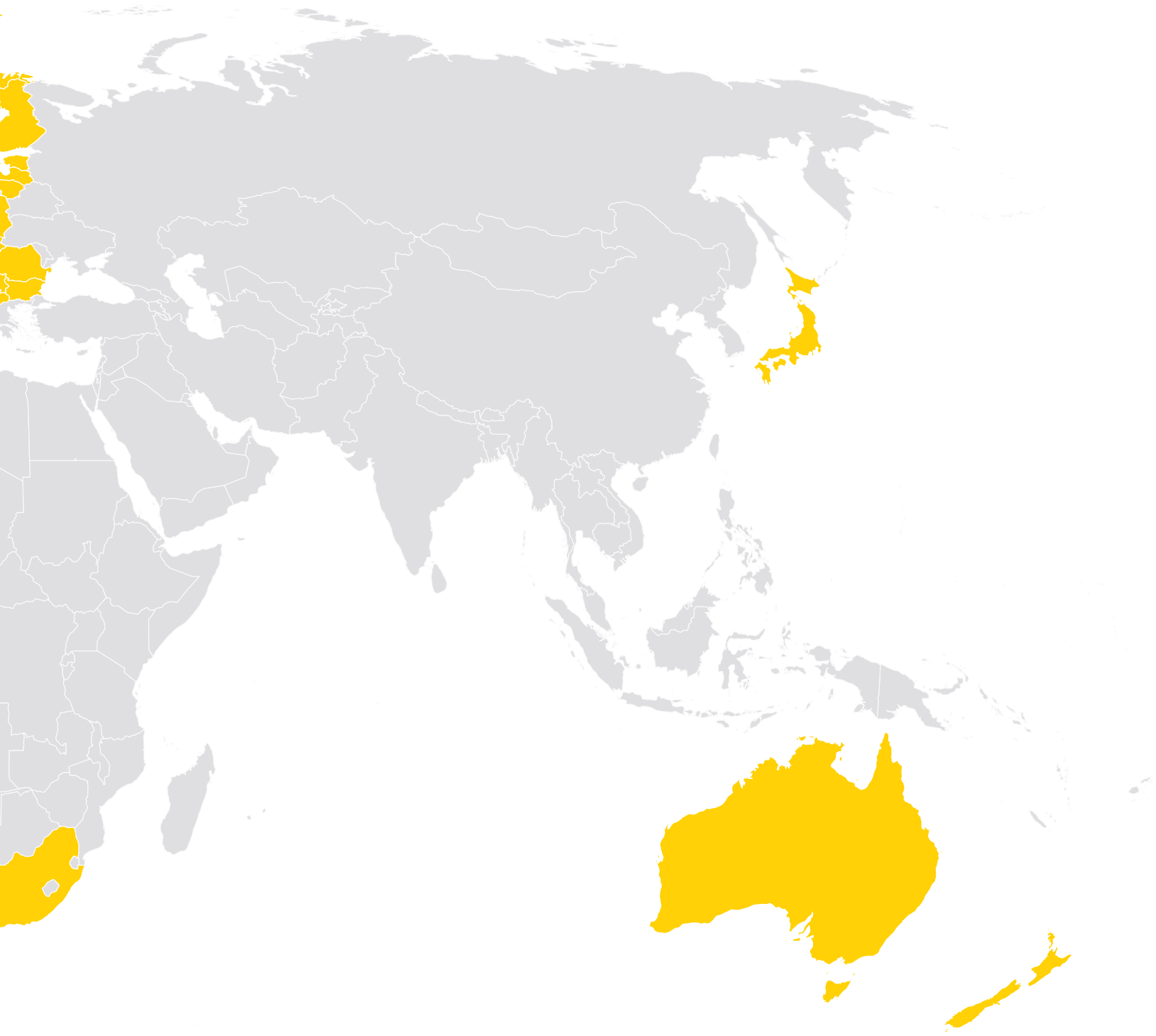


The ATT-BAP Survey requires States to conduct an in-depth review and assessment of how their current arms transfer control systems can implement the ATT. As of 15 June 2016, 63 ATT-BAP Surveys have been received. Of the 49 States Parties that submitted an initial report by 15 June 2016, 41 previously completed the ATT-Baseline Assessment Survey. In addition, eight Signatories and two States that have not yet signed the Treaty have completed their ATT-BAP Surveys. Six of the 63 total ATT-BAP Surveys are identified on the United Nations list of least developed countries. ATT-BAP continues to support progress toward final reporting templates and engages with stakeholders on key issues pertaining to increasing transparency and enabling effective reporting on ATT obligations.

# ATT INITIAL REPORTS



- Report was submitted
- Report is private
- Have not submitted report





*Comparison of the Sections in the ATT-BAP Survey and the Provisional Reporting Template*

ATT ARTICLE	ATT-BAP SURVEY	PROVISIONAL REPORTING TEMPLATE
Article 2. Scope	1. National control system and list	1. National control system and list
Article 3. Ammunition / Munitions	1. National control system and list	1. National control system and list
Article 4. Parts and Components	1. National control system and list	1. National control system and list
Article 5. General Implementation	1. National control system and list	1. National control system and list
Article 6. Prohibitions	6. Prohibitions	2. Prohibitions
Article 7. Export and Export Assessment	2. Exports 7. Risk Assessment	3. Exports
Article 8. Import	3. Imports	4. Imports
Article 9. Transit and trans-shipment	4. Transit / Transshipment	5. Transit / Trans-shipment
Article 10. Brokering	5. Arms Brokering	6. Brokering
Article 11. Diversion	8. Diversion	7. Diversion
Article 12. Record-keeping	2. Exports 3. Imports 4. Transit / Transshipment	8. Record Keeping
Article 13. Reporting	10. Transparency	9. Reporting
Article 14. Enforcement	9. Enforcement	10. Enforcement
Article 15. International Cooperation	11. International Cooperation	11. International Cooperation
Article 16. International Assistance	12. International Assistance	12. International Assistance
Article 19. Dispute Settlement		13. Dispute Settlement



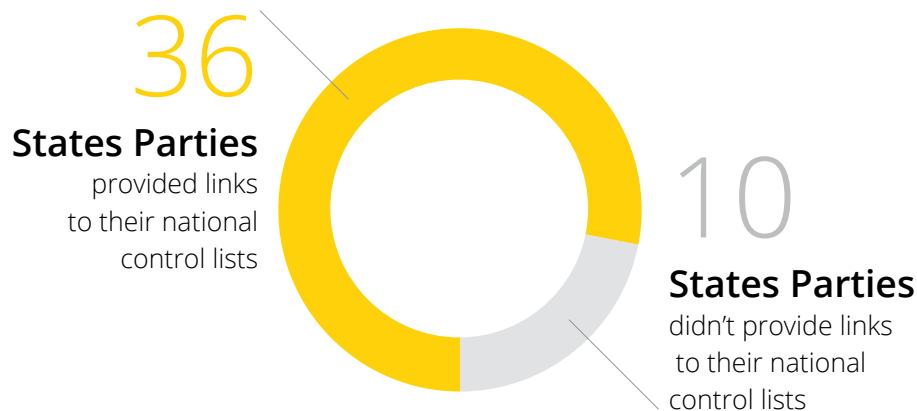
## OVERVIEW OF THE PRACTICES REVEALED IN THE INITIAL REPORTS

The initial reports allow for analysis of the ways in which States Parties are implementing the ATT. Within the initial reports are examples of measures undertaken by States Parties that could serve as models for others to adapt in their own national systems, as well as areas where States Parties continue to develop implementation measures. This section provides snapshot analyses of 12 thematic sections<sup>11</sup> based on information provided in the 46 publicly available initial reports.<sup>12</sup>

### National Control System and List

Thirty-three States Parties included links and/or references to national legislation, regulations, and/or ordinances governing their national control system. Though 13 States Parties did not include references to their legislation in the national control systems section, all States Parties did include references to their national legislation in other sections of their reports.

Forty-five reporting States Parties indicated that their national control system includes a control list. Fourteen States Parties explicitly referenced the Wassenaar Control List, while 24 States Parties explicitly referenced the EU Common Military List as the basis for their national lists. Although the mechanism for receiving national control lists by the Secretariat is unclear, 19 States Parties indicated that they have provided their list to the Secretariat. In addition, 44 States Parties indicated that their control list is publicly available, and 36 provided links to relevant webpages.



## NATIONAL CONTROL SYSTEM

	NATIONAL CONTROL SYSTEM INCLUDES NATIONAL CONTROL LIST	INCLUDE LINK AND/OR REFERENCE TO NATIONAL LEGISLATION, REGULATIONS, AND/OR ORDINANCES GOVERNING NATIONAL CONTROL SYSTEM	EXPLICITLY REFERENCE WASSenaar CONTROL LIST TO DEFINE CONTROLLED ITEMS	EXPLICITLY REFERENCE EU COMMON MILITARY LIST TO DEFINE CONTROLLED ITEMS	PROVIDED NATIONAL CONTROL LIST TO THE SECRETARIAT	CONTROL LIST IS PUBLICLY AVAILABLE	NATIONAL CONTROL SYSTEM COVERS 8 CATEGORIES COVERED IN ARTICLE 2(1)	NATIONAL CONTROL SYSTEM COVERS AMMUNITION	NATIONAL CONTROL SYSTEM COVERS PARTS AND COMPONENTS
Albania	✓	X	X	✓	X	✓	✓	✓	✓
Antigua and Barbuda									
Argentina	✓	✓	X	X	X	✓	✓	✓	✓
Australia	✓	✓	✓	X	X	✓	✓	✓	✓
Austria	✓	✓	✓	✓	✓	✓	✓	✓	✓
Bahamas									
Belgium	✓	✓	X	✓	✓	✓	✓	✓	✓
Bosnia & Herzegovina	✓	✓	X	✓	X	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓	X	✓	✓	✓	✓
Burkina Faso	🔒	🔒	🔒	🔒	🔒	🔒	✓	🔒	🔒
Costa Rica	✓	X	X	X	✓	✓	✓	✓	X
Cote d'Ivoire	✓	✓	X	X	X	✓	✓	✓	✓
Croatia	✓	✓	X	X	X	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓	✓	✓	✓
Denmark									
Dominican Republic	✓	X	X	X	✓	✓	✓	✓	✓
El Salvador									
Estonia	✓	✓	X	✓	X	✓	✓	✓	✓
Finland	✓	✓	X	✓	✓	✓	✓	✓	✓
France	✓	✓	✓	✓	X	✓	✓	✓	✓
Germany	✓	✓	✓	✓	✓	✓	✓	✓	✓
Grenada									
Guinea									
Guyana									
Hungary	✓	X	X	X	X	X	✓	✓	✓
Iceland	✓	✓	X	✓	✓	✓	✓	✓	✓
Ireland	✓	✓	X	✓	✓	✓	✓	✓	✓
Italy	✓	✓	X	✓	X	✓	✓	✓	✓
Jamaica	X	✓	X	X	X	X	X	X	X
Japan	✓	X	X	X	X	✓	✓	✓	✓
Latvia	✓	✓	✓	✓	✓	✓	✓	✓	✓
Liechtenstein	✓	✓	✓	X	✓	✓	✓	✓	✓

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

■ Have not submitted report

	NATIONAL CONTROL SYSTEM INCLUDES NATIONAL CONTROL LIST	INCLUDE LINK AND/OR REFERENCE TO NATIONAL LEGISLATION, REGULATIONS, AND/OR ORDINANCES GOVERNING NATIONAL CONTROL SYSTEM	EXPLICITLY REFERENCE WASSenaar CONTROL LIST TO DEFINE CONTROLLED ITEMS	EXPLICITLY REFERENCE EU COMMON MILITARY LIST TO DEFINE CONTROLLED ITEMS	PROVIDED NATIONAL CONTROL LIST TO THE SECRETARIAT	CONTROL LIST IS PUBLICLY AVAILABLE	NATIONAL CONTROL SYSTEM COVERS 8 CATEGORIES COVERED IN ARTICLE 2(1)	NATIONAL CONTROL SYSTEM COVERS AMMUNITION	NATIONAL CONTROL SYSTEM COVERS PARTS AND COMPONENTS
Lithuania	✓	✓	✓	✓	X	✓	✓	✓	✓
Luxembourg	✓	✓	X	✓	✓	✓	✓	✓	✓
Macedonia	✓	✓	✓	X	X	✓	✓	✓	✓
Mali									
Malta									
Mexico	✓	X	X	X	X	✓	✓	✓	✓
Montenegro	✓	✓	X	✓	X	✓	✓	✓	✓
Netherlands	✓	✓	X	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	X	X	✓	✓	✓	✓	✓
Nigeria	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Norway	✓	X	X	X	X	✓	✓	✓	✓
Panama									
Poland	✓	✓	X	✓	X	✓	✓	✓	✓
Portugal	✓	✓	X	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓	✓	✓	✓
Saint Kitts and Nevis									
Saint Lucia									
Saint Vincent and the Grenadines									
Samoa	✓	✓	X	X	X	✓	✓	✓	✓
Senegal	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Serbia	✓	✓	X	✓	X	✓	✓	✓	✓
Sierra Leone	✓	X	X	X	X	X	X	✓	✓
Slovakia	✓	✓	X	X	X	✓	✓	✓	✓
Slovenia	✓	✓	X	✓	X	✓	✓	✓	✓
South Africa	✓	X	X	X	✓	✓	✓	✓	✓
Spain	✓	X	X	X	✓	✓	✓	✓	✓
Sweden	✓	✓	✓	✓	X	✓	✓	✓	✓
Switzerland	✓	✓	✓	X	✓	✓	✓	✓	✓
Trinidad and Tobago	✓	✓	X	X	X	X	✓	✓	X
United Kingdom	✓	✓	✓	X	X	✓	✓	✓	✓
Uruguay									



## Prohibitions

Forty-five of the forty-six States Parties that submitted publicly available initial reports indicated that they prohibit arms transfers in all circumstances specified in Articles 6(1), 6(2), and 6(3) of the Treaty. The provisional reporting template only requires States Parties to tick a box to indicate that “their national system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, in the circumstances specified in Articles 6(1) to 6(3).” Trinidad and Tobago is the only State Party to have indicated that it does not yet prohibit arms transfers in all three circumstances specified in Articles 6(1), 6(2), and 6(3), but noted that efforts are currently under way to address this gap.

States Parties provided examples of international agreements relevant to Articles 6(2) and 6(3) in their reports. Among these, four were the most common:

The Convention on  
Cluster Munitions

The Convention  
on Certain  
Conventional  
Weapons

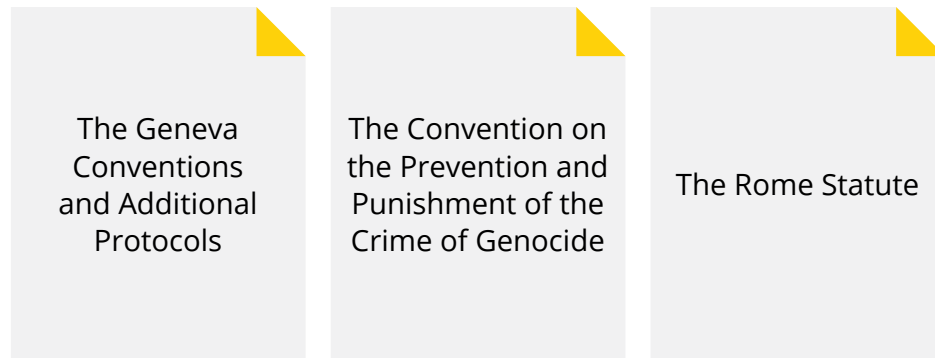
The Firearms  
Protocol

The Wassenaar  
Arrangement

States Parties also referenced non-conventional weapons agreements, including the Biological and Toxin Weapons Convention, the Chemical Weapons Convention, and the Treaty on the Non-Proliferation of Nuclear Weapons.



Similarly, States Parties provided examples of their Article 6(3) commitments with regard to international human rights law and international humanitarian law. These were the three most commonly cited agreements:



## PROHIBITIONS

	PROHIBITS ARMS TRANSFERS IN ALL CIRCUMSTANCES SPECIFIED IN ARTICLE 6	REFERENCE CCW	REFERENCE CCM	REFERENCE FIREARMS PROTOCOL	REFERENCE WASSENAAR ARRANGEMENT	REFERENCE GENEVA CONVENTIONS	REFERENCE CONVENTION ON PREVENTION AND PUNISHMENT OF GENOCIDE	REFERENCE ROME STATUTE
Albania	✓	✓	✓	✓	X	✓	✓	X
Antigua and Barbuda								
Argentina	✓	✓	X	✓	✓	✓	✓	✓
Australia	✓	X	X	✓	✓	X	X	X
Austria	✓	X	X	X	X	✓	X	✓
Bahamas								
Belgium	✓	✓	✓	✓	✓	✓	✓	✓
Bosnia & Herzegovina	✓	✓	✓	✓	✓	✓	✓	X
Bulgaria	✓	X	✓	X	X	✓	✓	✓
Burkina Faso	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Costa Rica	✓	✓	✓	✓	X	✓	✓	✓
Cote d'Ivoire	✓	X	✓	✓	X	X	X	X
Croatia	✓	✓	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	X	X	✓	✓	✓
Denmark								
Dominican Republic	✓	✓	X	✓	X	✓	X	X
El Salvador								
Estonia	✓	X	X	X	X	✓	X	✓
Finland	✓	X	X	✓	X	✓	X	✓
France	✓	✓	✓	X	✓	✓	✓	X
Germany	✓	✓	✓	✓	✓	✓	✓	✓
Grenada								
Guinea								
Guyana								
Hungary	✓	X	X	X	X	X	X	X
Iceland	✓	X	✓	X	X	✓	✓	X
Ireland	✓	✓	✓	X	✓	✓	✓	X
Italy	✓	X	✓	✓	✓	X	X	X
Jamaica	✓	X	X	✓	X	✓	✓	X
Japan	✓	✓	✓	X	X	✓	X	X
Latvia	✓	X	X	X	X	✓	✓	X
Liechtenstein	✓	✓	✓	✓	X	✓	✓	✓

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

■ Have not submitted report

	PROHIBITS ARMS TRANSFERS IN ALL CIRCUMSTANCES SPECIFIED IN ARTICLE 6	REFERENCE CCW	REFERENCE CCM	REFERENCE FIREARMS PROTOCOL	REFERENCE WASSENAAR ARRANGEMENT	REFERENCE GENEVA CONVENTIONS	REFERENCE CONVENTION ON PREVENTION AND PUNISHMENT OF GENOCIDE	REFERENCE ROME STATUTE
Lithuania	✓	✓	X	X	X	✓	X	✓
Luxembourg	✓	✓	✓	✓	✓	✓	✓	✓
Macedonia	✓	✓	✓	✓	X	✓	✓	X
Mali								
Malta								
Mexico	✓	X	X	✓	✓	X	X	X
Montenegro	✓	✓	X	✓	X	✓	X	X
Netherlands	✓	X	X	X	✓	✓	X	✓
New Zealand	✓	✓	✓	X	X	✓	✓	✓
Nigeria	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Norway	✓	X	✓	✓	X	✓	✓	✓
Panama								
Poland	✓	X	X	X	✓	✓	✓	X
Portugal	✓	✓	✓	✓	✓	X	X	X
Romania	✓	✓	X	✓	✓	✓	X	✓
Saint Kitts and Nevis								
Saint Lucia								
Saint Vincent and the Grenadines								
Samoa	✓	X	✓	X	X	✓	X	X
Senegal	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Serbia	✓	X	X	X	X	✓	✓	X
Sierra Leone	✓	X	X	X	X	✓	X	X
Slovakia	✓	✓	✓	X	✓	✓	✓	X
Slovenia	✓	X	X	✓	✓	X	X	X
South Africa	✓	✓	✓	X	✓	X	X	X
Spain	✓	✓	X	✓	✓	X	X	X
Sweden	✓	✓	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	X	✓	✓	✓
Trinidad and Tobago	X	X	✓	✓	X	✓	✓	✓
United Kingdom	✓	✓	✓	X	✓	✓	X	✓
Uruguay								



## Exports

Forty-one of the States Parties that submitted publicly available initial reports indicated that their national legislation provides for a system to control exports of conventional arms. These 41 States Parties take a variety of measures to ensure that authorizations to export conventional arms are detailed and issued prior to the actual export. Thirty-five States Parties indicated the type of information and/or documentation that is required for an application for an export license or to engage in the international arms trade. Some States Parties, such as Belgium, Romania, and New Zealand, noted that they provide multiple types of export licenses/permits, such as individual licenses, global licenses, and general licenses. However, it is challenging to identify good practice based on these responses, as the information provided is insufficient to draw significant conclusions.

Forty States Parties conduct a risk assessment prior to authorization. Their national assessments consider the risks enumerated in Article 7(1) of the Treaty:

**Whether arms would be used to commit or facilitate:**

A serious violation of international humanitarian law

A serious violation of international human rights law

An act constituting an offense under international conventions or protocols relating to terrorism to which the State is a party

An act constituting an offense under international conventions or protocols relating to transnational organized crime to which the State is a party



Costa Rica, the Dominican Republic, Sierra Leone, and Trinidad and Tobago indicated that they do not undertake national assessments because they do not export weapons. States Parties indicated that additional criteria are included in their national risk assessment process. Namely, 39 States Parties reported that they consider the risk that conventional arms will be used to commit or facilitate acts of gender-based violence. Twenty-four States Parties indicated that their risk assessment procedures include other criteria not mentioned in Articles 7(1)(a) and (b), and 7(4), including these:

Criteria contained  
within the EU Common  
Position

National  
security interests

Foreign  
policy interests

Economic capacity  
of recipient States

Use of children in the  
country of destination's  
armed forces

Conduct of the recipient  
country toward the  
international community,  
such as "attitude  
toward terrorism," and/  
or compliance with  
international law

## EXPORTS

	NATIONAL CONTROL SYSTEM COVERS EXPORTS	HAVE MEASURES TO ENSURE AUTHORIZATIONS ARE DETAILED AND ISSUED PRIOR TO EXPORT	AUTHORIZATIONS CAN BE REASSESSED IF NEW AND RELEVANT INFORMATION BECOMES AVAILABLE	CONDUCT RISK ASSESSMENT PRIOR TO AUTHORIZATION	EXPORT ASSESSMENT INCLUDES CONSIDERATION OF RISK OF DIVERSION	EXPORT ASSESSMENT INCLUDES CONSIDERATION OF ACTS OF GENDER-BASED VIOLENCE
Albania	✓	✓	✓	✓	✓	✓
Antigua and Barbuda						
Argentina	✓	✓	✓	✓	✓	✓
Australia	✓	✓	✓	✓	✓	✓
Austria	✓	✓	✓	✓	✓	✓
Bahamas						
Belgium	✓	✓	✓	✓	✓	✓
Bosnia & Herzegovina	✓	✓		✓	✓	✓
Bulgaria	✓	✓	✓	✓	✓	✓
Burkina Faso	🔒	🔒	🔒	🔒	🔒	🔒
Costa Rica	X	X	X	X	X	X
Cote d'Ivoire	X	X	X	X	X	X
Croatia	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓
Denmark						
Dominican Republic	X	X	X	X	X	X
El Salvador						
Estonia	✓	✓	✓	✓	✓	✓
Finland	✓	✓	✓	✓	✓	✓
France	✓	✓	✓	✓	✓	X
Germany	✓	✓	✓	✓	✓	✓
Grenada						
Guinea						
Guyana						
Hungary	✓	✓	X	✓	✓	✓
Iceland	✓	✓	✓	✓	✓	✓
Ireland	✓	✓	✓	✓	✓	✓
Italy	✓	✓	✓	✓	✓	✓
Jamaica	✓	✓	✓	X	X	X
Japan	✓	✓	✓	✓	✓	✓
Latvia	✓	✓	✓	✓	✓	✓
Liechtenstein	✓	✓	✓	✓	✓	✓

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

■ Have not submitted report

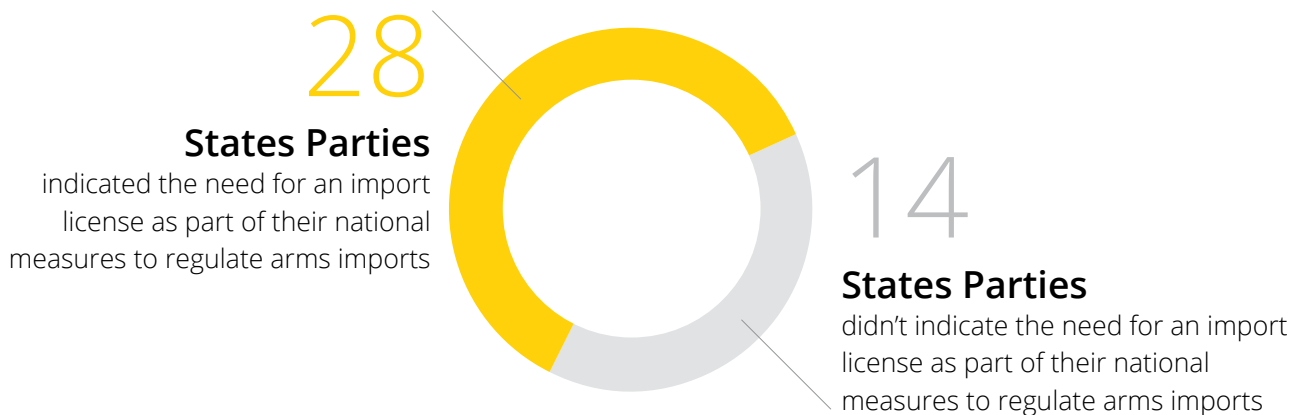
	NATIONAL CONTROL SYSTEM COVERS EXPORTS	HAVE MEASURES TO ENSURE AUTHORIZATIONS ARE DETAILED AND ISSUED PRIOR TO EXPORT	AUTHORIZATIONS CAN BE REASSESSED IF NEW AND RELEVANT INFORMATION BECOMES AVAILABLE	CONDUCT RISK ASSESSMENT PRIOR TO AUTHORIZATION	EXPORT ASSESSMENT INCLUDES CONSIDERATION OF RISK OF DIVERSION	EXPORT ASSESSMENT INCLUDES CONSIDERATION OF ACTS OF GENDER-BASED VIOLENCE
Lithuania	✓	✓	✓	✓	✓	✓
Luxembourg	✓	✓	✓	✓	✓	✓
Macedonia	✓	✓	✓	✓	✓	✓
Mali						
Malta						
Mexico	✓	✓	✓	✓	✓	✓
Montenegro	✓	✓	✓	✓	✓	✓
Netherlands	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	✓	✓
Nigeria	🔒	🔒	🔒	🔒	🔒	🔒
Norway	✓	✓	✓	✓	✓	✓
Panama						
Poland	✓	✓	✓	✓	✓	✓
Portugal	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓
Saint Kitts and Nevis						
Saint Lucia						
Saint Vincent and the Grenadines						
Samoa	X	✓	✓	X	✓	✓
Senegal	🔒	🔒	🔒	🔒	🔒	🔒
Serbia	✓	✓	✓	✓	✓	✓
Sierra Leone	X	X	X	X	X	X
Slovakia	✓	✓	✓	✓	✓	✓
Slovenia	✓	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓	✓
Spain	✓	✓	✓	✓	✓	✓
Sweden	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓
Trinidad and Tobago	✓	✓	✓	✓	X	X
United Kingdom	✓	✓	✓	✓	✓	✓
Uruguay						



## Imports

Forty-six States Parties reported that measures to regulate imports of conventional arms are established in national legislation. Forty-three States Parties reported having measures to ensure that appropriate and relevant information is available to exporting States as part of their export assessment processes. Twenty-eight States Parties specifically referenced the need for an import license. States Parties also noted exceptions to import regulations, such as for allied States (e.g., among EU States) or for procurement by government agencies. Only four countries – Australia, Japan, Sweden, and the United Kingdom – provided additional information with regard to providing information to exporters.

- **Australia:** On request Australia may issue International Import or End-user Certificates to exporting States.
- **Japan:** Appropriate measures are taken in accordance with national laws
- **Sweden:** Information in the form of end user assurances are normally provided by the importer, for instance the Swedish Armed Forces or a defense industry entity. International Import Certificates (IICs) are issued by the Swedish Chamber of Commerce. On occasion, end user assurances may be incorporated into a government-to-government agreement.
- **UK:** Import controls are published on [www.gov.uk](http://www.gov.uk). Export licensing authorities are free to contact [the Import Licensing Branch] ILB if they have queries about any import licence ILB have issued or any UK import controls. Import controls are published on [www.gov.uk](http://www.gov.uk).



## IMPORTS

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private  
 ■ Have not submitted report

	NATIONAL CONTROL SYSTEM COVERS IMPORTS	HAVE MEASURES TO ENSURE APPROPRIATE AND RELEVANT INFORMATION IS AVAILABLE TO EXPORTING STATE IN ORDER TO ASSIST AN EXPORT ASSESSMENT
Albania	✓	✓
Antigua and Barbuda		
Argentina	✓	✓
Australia	✓	✓
Austria	✓	✓
Bahamas		
Belgium	✓	✓
Bosnia & Herzegovina	✓	✓
Bulgaria	✓	✓
Burkina Faso	🔒	🔒
Costa Rica	✓	✓
Cote d'Ivoire	✓	✓
Croatia	✓	✓
Czech Republic	✓	✓
Denmark		
Dominican Republic	✓	✓
El Salvador		
Estonia	✓	✓
Finland	✓	✓
France	✓	✓
Germany	✓	✓
Grenada		
Guinea		
Guyana		
Hungary	✓	X
Iceland	✓	✓
Ireland	✓	✓
Italy	✓	✓
Jamaica	✓	✓
Japan	✓	✓
Latvia	✓	✓
Liechtenstein	✓	✓

	NATIONAL CONTROL SYSTEM COVERS IMPORTS	HAVE MEASURES TO ENSURE APPROPRIATE AND RELEVANT INFORMATION IS AVAILABLE TO EXPORTING STATE IN ORDER TO ASSIST AN EXPORT ASSESSMENT
Lithuania	✓	✓
Luxembourg	✓	✓
Macedonia	✓	✓
Mali		
Malta		
Mexico	✓	✓
Montenegro	✓	✓
Netherlands	✓	✓
New Zealand	✓	✓
Nigeria	🔒	🔒
Norway	✓	✓
Panama		
Poland	✓	✓
Portugal	✓	✓
Romania	✓	✓
Saint Kitts and Nevis		
Saint Lucia		
Saint Vincent and the Grenadines		
Samoa	✓	X
Senegal	🔒	🔒
Serbia	✓	✓
Sierra Leone	✓	✓
Slovakia	✓	✓
Slovenia	✓	✓
South Africa	✓	✓
Spain	✓	✓
Sweden	✓	✓
Switzerland	✓	✓
Trinidad and Tobago	✓	X
United Kingdom	✓	✓
Uruguay		



## Transit/Transshipment

Forty-five States Parties reported that transit/transshipment regulation is established in legislation. Some States Parties, however, indicated that while regulation covers transit, it does not cover transshipment. The Treaty does not provide definitions for transit/transshipment. However, nine States Parties provided their national definitions for transit/transshipment in their initial reports.

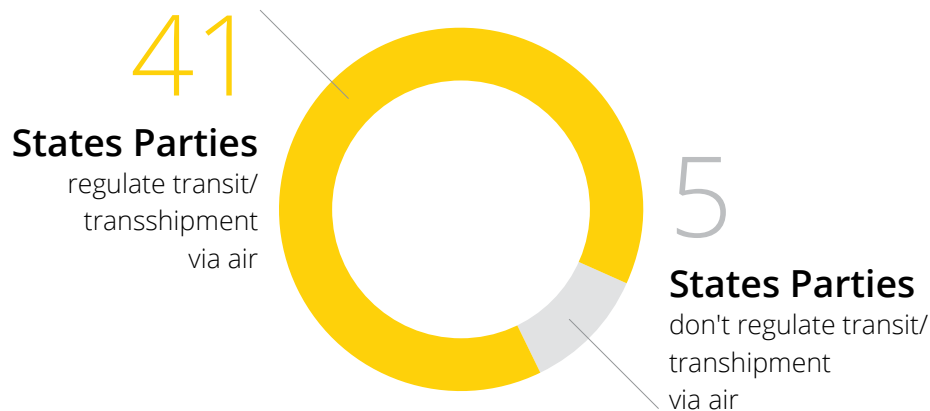
### Examples of Definitions of Transit/Transshipment

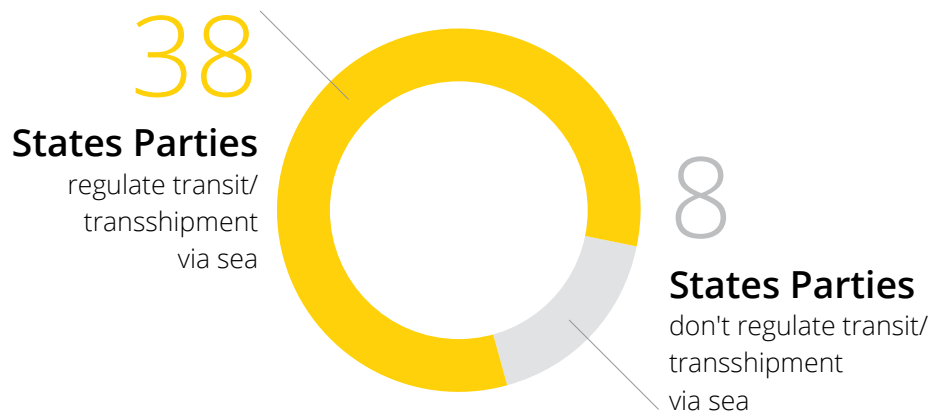
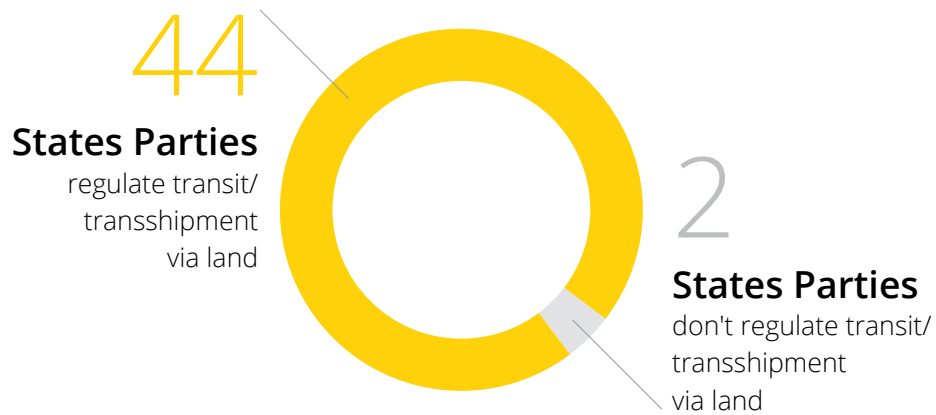
**Belgium:** Trans-shipment, i.e. the transportation of goods that are exclusively brought into Belgium to be transported through its territory into another country, with the exception of transport between two EU Member States, and whereby the goods are transported in one of the following ways:

- a) they are loaded from one mode of transport to another;
- b) they are unloaded from one mode of transport and are then later reloaded onto the same mode of transport

**Montenegro:** Transportation shall mean any type of shipping (land, water, air) of controlled goods from the territory of Montenegro and to the territory of Montenegro; transits shall mean any kind of transportation (land, water, air) of controlled goods (with and without re-loading), over the territory of Montenegro without putting those items in trade in Montenegro.

States Parties had similar regulatory processes for transit/transshipment by air, sea, and land:





States Parties' examples of regulatory controls for transit/transshipment include licenses, inspections, and declarations of goods. Additionally, some States Parties noted that the transit/transshipment of weapons is subject to the same requirements and regulations as arms exports.

TRANSIT/TRANSSHIPMENT

	NATIONAL CONTROL SYSTEM COVERS TRANSIT/ TRANSSHIPMENT	CONTROL MEASURES COVER TRANSIT/ TRANSSHIPMENT VIA AIR	CONTROL MEASURES COVER TRANSIT/ TRANSSHIPMENT VIA LAND	CONTROL MEASURES COVER TRANSIT/ TRANSSHIPMENT VIA SEA	PROVIDES DEFINITION OF TRANSIT/ TRANSSHIPMENT
Albania	✓	✓	✓	✓	X
Antigua and Barbuda					
Argentina	✓	✓	✓	✓	X
Australia	✓	✓	✓	✓	X
Austria	✓	✓	✓	X	✓
Bahamas					
Belgium	✓	✓	✓	✓	✓
Bosnia & Herzegovina	✓	✓	✓	✓	X
Bulgaria	✓	X	✓	X	X
Burkina Faso	🔒	🔒	🔒	🔒	🔒
Costa Rica	✓	✓	✓	✓	✓
Cote d'Ivoire	✓	X	X	X	X
Croatia	✓	✓	✓	✓	X
Czech Republic	✓	X	✓	X	X
Denmark					
Dominican Republic	✓	✓	✓	✓	X
El Salvador					
Estonia	✓	✓	✓	✓	X
Finland	✓	✓	✓	✓	X
France	✓	✓	✓	✓	X
Germany	✓	✓	✓	✓	X
Grenada					
Guinea					
Guyana					
Hungary	✓	✓	✓	✓	X
Iceland	✓	✓	✓	✓	X
Ireland	✓	✓	✓	✓	X
Italy	✓	✓	✓	✓	X
Jamaica	✓	✓	✓	✓	X
Japan	✓	✓	✓	✓	X
Latvia	✓	✓	✓	✓	X
Liechtenstein	✓	✓	✓	✓	X

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

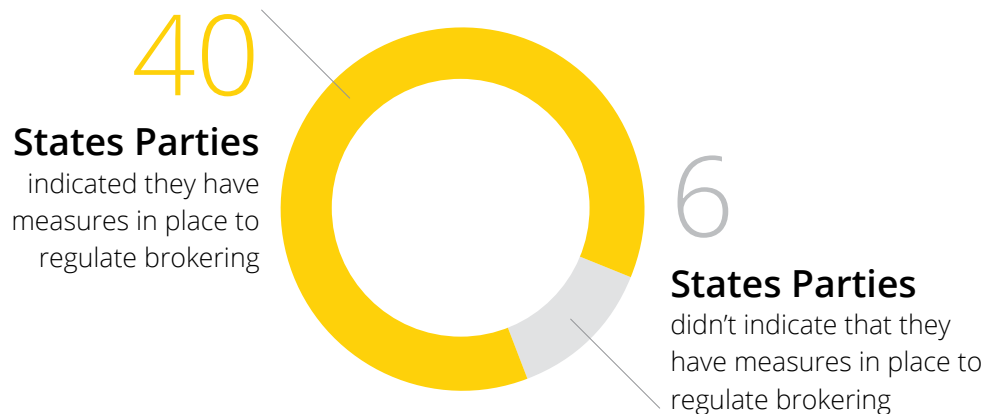
■ Have not submitted report

	NATIONAL CONTROL SYSTEM COVERS TRANSIT/ TRANSSHIPMENT	CONTROL MEASURES COVER TRANSIT/ TRANSSHIPMENT VIA AIR	CONTROL MEASURES COVER TRANSIT/ TRANSSHIPMENT VIA LAND	CONTROL MEASURES COVER TRANSIT/ TRANSSHIPMENT VIA SEA	PROVIDES DEFINITION OF TRANSIT/ TRANSSHIPMENT
Lithuania	✓	✓	✓	✓	✓
Luxembourg	✓	X	✓	X	X
Macedonia	✓	✓	✓	X	✓
Mali					
Malta					
Mexico	✓	✓	✓	✓	✓
Montenegro	✓	✓	✓	✓	✓
Netherlands	✓	✓	✓	✓	X
New Zealand	✓	✓	✓	✓	X
Nigeria	🔒	🔒	🔒	🔒	🔒
Norway	✓	✓	✓	✓	X
Panama					
Poland	✓	✓	✓	✓	X
Portugal	✓	✓	✓	✓	X
Romania	✓	✓	✓	✓	X
Saint Kitts and Nevis					
Saint Lucia					
Saint Vincent and the Grenadines					
Samoa	✓	✓	✓	✓	X
Senegal	🔒	🔒	🔒	🔒	🔒
Serbia	✓	✓	✓	X	✓
Sierra Leone	X	X	X	X	X
Slovakia	✓	✓	✓	✓	X
Slovenia	✓	✓	✓	✓	X
South Africa	✓	✓	✓	✓	X
Spain	✓	✓	✓	✓	X
Sweden	✓	✓	✓	✓	X
Switzerland	✓	✓	✓	✓	X
Trinidad and Tobago	✓	✓	✓	✓	X
United Kingdom	✓	✓	✓	✓	✓
Uruguay					



## Brokering

Forty States Parties reported that they have measures in place that cover brokering and that they regulate brokering taking place under their jurisdiction. Thirty-six States Parties provided definitions or links to their definitions for brokering in their initial reports. Nine States Parties indicated that their brokering controls contain exemptions, including for national armed forces or other allied States (e.g., other EU Member States or Economic Community of West African States Member States). Some States Parties provided information related to the licensing and documentation required for arms brokers, including for their registration. Others reported on the measures controlling who can conduct brokering activities (e.g., only entities registered in national registries for conducting foreign trade). However, the reports did not contain enough information to draw substantive conclusions about State practice regarding registration.





36

**States Parties**

provided definitions or links to their countries' definitions for brokering

9

**States Parties**

indicated that brokering controls contain exemptions

States Parties provided information related to:

Licensing and Documentation

Eligible Brokers

## BROKERING

	NATIONAL CONTROL SYSTEM COVERS BROKERING	PROVIDES DEFINITION OF BROKERING	REGULATE BROKERING TAKING PLACE UNDER STATES' JURISDICTION	BROKERING CONTROLS CONTAIN EXEMPTIONS
Albania	✓	✓	✓	✓
Antigua and Barbuda				
Argentina	X	X	X	X
Australia	✓	(not defined, but explained)	✓	X
Austria	✓	✓	✓	✓
Bahamas				
Belgium	✓	✓	✓	X
Bosnia & Herzegovina	✓	✓	✓	X
Bulgaria	✓	✓	✓	X
Burkina Faso	🔒	🔒	🔒	🔒
Costa Rica	✓	✓	✓	X
Cote d'Ivoire	✓	✓	✓	X
Croatia	✓	✓	✓	X
Czech Republic	✓	✓	✓	X
Denmark				
Dominican Republic	X	✓	X	X
El Salvador				
Estonia	✓	✓	✓	X
Finland	✓	✓	✓	X
France	✓	X	✓	X
Germany	✓	✓	✓	✓
Grenada				
Guinea				
Guyana				
Hungary	✓	✓	✓	X
Iceland	✓	✓	✓	X
Ireland	✓	✓	✓	X
Italy	✓	✓	✓	X
Jamaica	X	X	X	X
Japan	✓	X	✓	X
Latvia	✓	✓	✓	✓
Liechtenstein	✓	✓	✓	X

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

■ Have not submitted report

	NATIONAL CONTROL SYSTEM COVERS BROKERING	PROVIDES DEFINITION OF BROKERING	REGULATE BROKERING TAKING PLACE UNDER STATES' JURISDICTION	BROKERING CONTROLS CONTAIN EXEMPTIONS
Lithuania	✓	✓	✓	X
Luxembourg	X	✓	X	X
Macedonia	✓	✓	✓	X
Mali				
Malta				
Mexico	✓	✓	✓	X
Montenegro	✓	✓	✓	X
Netherlands	✓	✓	✓	✓
New Zealand	✓	✓ (draft definition)	✓	X
Nigeria	🔒	🔒	🔒	🔒
Norway	✓	✓	✓	X
Panama				
Poland	✓	✓	✓	X
Portugal	✓	✓	✓	X
Romania	✓	✓	✓	X
Saint Kitts and Nevis				
Saint Lucia				
Saint Vincent and the Grenadines				
Samoa	X	X	X	X
Senegal	🔒	🔒	🔒	🔒
Serbia	✓	✓	✓	X
Sierra Leone	X	X	X	✓
Slovakia	✓	✓	✓	X
Slovenia	✓	✓	✓	X
South Africa	✓	X	✓	X
Spain	✓	✓	✓	✓
Sweden	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓
Trinidad and Tobago	✓	X	✓	X
United Kingdom	✓	X	✓	X
Uruguay				



## Diversion

Forty States Parties reported that they assess the risk of diversion before authorizing exports. Forty-five States Parties indicated that they cooperate and exchange information with States to mitigate the risk of diversion. Additionally, at least 41 States Parties noted that they are willing to share information on effective measures to address diversion. The initial reports do not offer significant detail on efforts to mitigate diversion, but provide types of measures. This lack of information underscores the importance of States Parties fulfilling their obligations as enumerated in Article 13(2) to exchange information with other States Parties on measures undertaken to address diversion.

### Measures to Prevent Diversion

*(Number of States Parties)*

39

Establishment  
of mitigation  
measures

41

Provision,  
upon request,  
of end-use/end-user  
documentation

38

Examination  
of parties involved in  
transfer

40

Require additional  
documentation,  
certificates,  
assurances

42

Exchange  
of relevant  
information

23

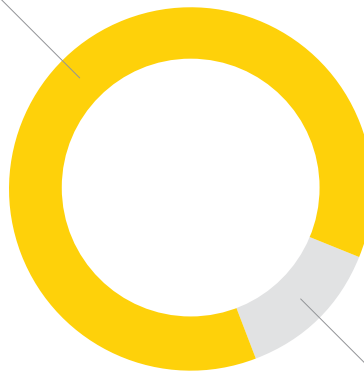
Report through  
the Secretariat on  
measures taken to  
address diversion



40

**States Parties**

indicated that they assess the risk of diversion before authorizing arms exports



6

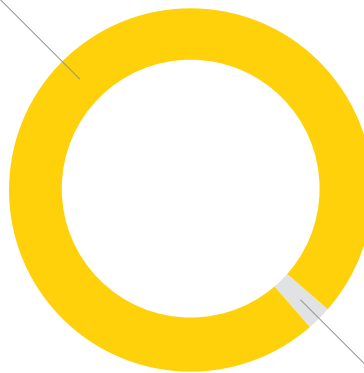
**States Parties**

didn't indicate that they assess the risk of diversion before authorizing arms exports

45

**States Parties**

indicated that they cooperate and exchange information with States to mitigate the risk of diversion



1

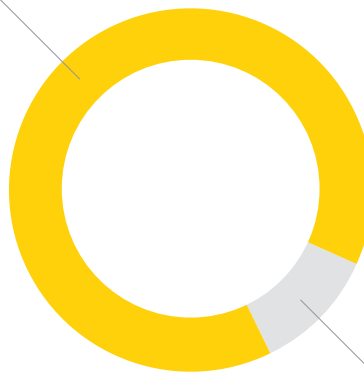
**State Party**

didn't indicate that they cooperate and exchange information with States to mitigate the risk of diversion

41

**States Parties**

indicated that they are willing to share information on effective measures to address diversion



5

**States Parties**

didn't indicate that they are willing to share information on effective measures to address diversion

## DIVERSION

	COOPERATE AND EXCHANGE INFORMATION TO MITIGATE THE RISK OF DIVERSION	WILLING TO SHARE INFORMATION ON EFFECTIVE MEASURES TO ADDRESS DIVERSION	MEASURES IN PLACE TO PREVENT DIVERSION	ESTABLISHMENT OF MITIGATION MEASURES	REQUIRE END-USE/R DOCUMENTATION, STATEMENTS, AND/OR OTHER ASSURANCES	EXAMINE PARTIES INVOLVED IN TRANSFER	REQUIRE ADDITIONAL DOCUMENTATION, CERTIFICATION, AND/OR OTHER ASSURANCES	EXCHANGE RELEVANT INFORMATION WITH OTHER STATES PARTIES	REPORT THROUGH THE SECRETARIAT TO OTHER STATES PARTIES ON MEASURES TAKEN TO ADDRESS DIVERSION	MEASURES IN PLACE TO BE TAKEN WHEN DIVERSION HAS BEEN DETECTED
Albania	✓	✓	✓	X	✓	✓	✓	✓	X	✓
Antigua and Barbuda										
Argentina	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Australia	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Austria	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Bahamas										
Belgium	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Bosnia & Herzegovina	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Burkina Faso	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Costa Rica	✓ (with conditions)	✓	✓	✓	✓	X	✓	✓	X	✓
Cote d'Ivoire	✓	X	✓	X	X	X	X	X	X	✓
Croatia	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Denmark										
Dominican Republic	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
El Salvador										
Estonia	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Finland	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
France	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Germany	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Grenada										
Guinea										
Guyana										
Hungary	✓	X	✓	X	X	X	X	X	X	X
Iceland	✓	✓	✓	X	✓	✓	✓	✓	✓	✓
Ireland	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Italy	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Jamaica	✓	✓	✓	✓	✓	✓	✓	✓	X	X
Japan	✓	✓	✓	✓	X	X	X	✓	X	✓
Latvia	✓	✓	✓	✓	✓	✓	✓	✓	X	✓

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

■ Have not submitted report

	COOPERATE AND EXCHANGE INFORMATION TO MITIGATE THE RISK OF DIVERSION	WILLING TO SHARE INFORMATION ON EFFECTIVE MEASURES TO ADDRESS DIVERSION	MEASURES IN PLACE TO PREVENT DIVERSION	ESTABLISHMENT OF MITIGATION MEASURES	REQUIRE END-USER/R DOCUMENTATION, STATEMENTS, AND/OR OTHER ASSURANCES	EXAMINE PARTIES INVOLVED IN TRANSFER	REQUIRE ADDITIONAL DOCUMENTATION, CERTIFICATION, AND/OR OTHER ASSURANCES	EXCHANGE RELEVANT INFORMATION WITH OTHER STATES PARTIES	REPORT THROUGH THE SECRETARIAT TO OTHER STATES PARTIES ON MEASURES TAKEN TO ADDRESS DIVERSION	MEASURES IN PLACE TO BE TAKEN WHEN DIVERSION HAS BEEN DETECTED
Liechtenstein	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Lithuania	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Luxembourg	✓	✓	✓	✓	✓	✓	✓	✓	✓	X
Macedonia	✓	✓	✓	✓	X	X	X	✓	X	✓
Mali										
Malta										
Mexico	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Montenegro	X	X	X	X	X	X	X	X	X	X
Netherlands	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Nigeria	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Norway	✓	✓	✓	X	✓	✓	✓	✓	✓	✓
Panama										
Poland	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Portugal	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Saint Kitts and Nevis										
Saint Lucia										
Saint Vincent and the Grenadines										
Samoa	✓	✓	✓	✓	✓	✓	✓	✓	✓	X
Senegal	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Serbia	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Sierra Leone	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Slovakia	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Slovenia	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Spain	✓	✓	✓	✓	✓	✓	✓	✓	X	✓
Sweden	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Trinidad and Tobago	✓	X	X	X	✓	X	X	X	X	X
United Kingdom	✓	✓	✓	✓	✓	X	✓	✓	X	✓
Uruguay										



## Record Keeping

Forty-three States Parties indicated that their national control system includes provisions for maintaining records of arms exports. However, based on the information in the initial reports, it is not always clear what type of records they maintain. For example, some States Parties may maintain records on authorized imports and/or exports, while other States Parties may maintain records for actual imports and/or exports.

43

**States Parties  
maintain records  
on authorized arms  
exports**

41

**States Parties  
maintain records  
on actual arms  
exports**

42

**States Parties  
maintain records  
on arms imports**

42

**States Parties  
maintain records  
on transit/  
transshipment**

31

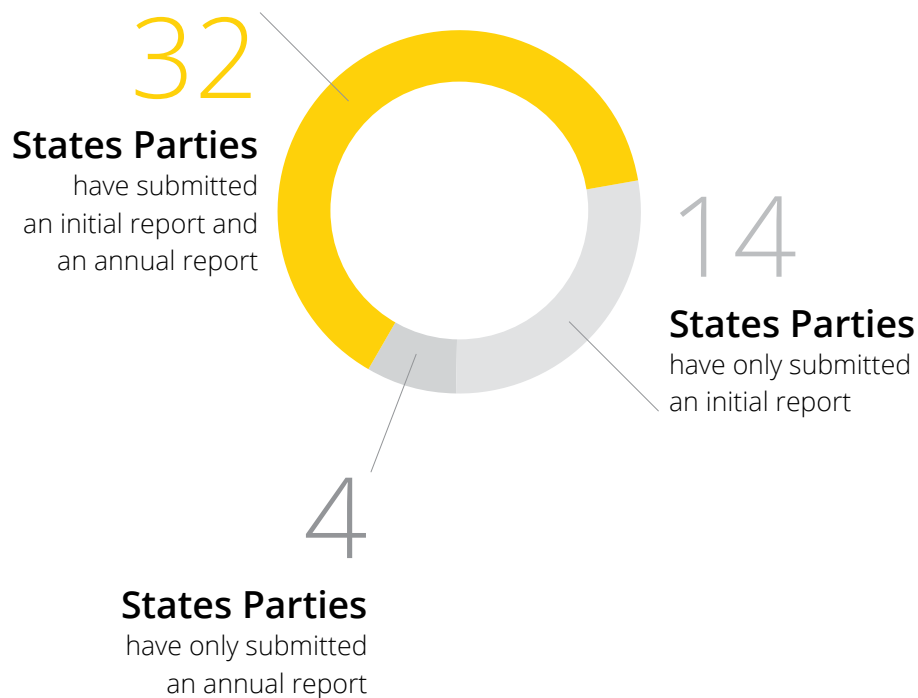
**States Parties  
maintain records  
on brokering**



## Reporting

All 46 States Parties indicated that their national control systems allow for annual reports on arms transfers as required by Article 13(3). The deadline for the first round of annual reports on arms exports and imports was 31 May 2016. As of 29 June 2016, 14 of the 46 publicly reporting States Parties had not submitted their first annual report.<sup>13</sup>

- The Arms Trade Treaty Secretariat website and informal working group on reporting indicate that 15 States Parties have provided an initial report but not an annual report.
- One State Party provided an annual report but has not yet submitted an initial report.



## RECORD KEEPING & REPORTING

	RECORD KEEPING					REPORTING
	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON AUTHORIZED EXPORTS	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON ACTUAL EXPORTS	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON IMPORTS	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON TRANSIT/TRANSSHIPMENT	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON BROKERING	NATIONAL CONTROL SYSTEM ALLOWS FOR ANNUAL REPORTS ON ARMS TRANSFER <sup>5</sup>
Albania	✓	✓	✓	✓	✓	✓
Antigua and Barbuda						
Argentina	✓	✓	✓	✓	X	✓
Australia	✓	✓	✓	✓	X	✓
Austria	✓	✓	✓	✓	✓	✓
Bahamas						
Belgium	✓	✓	✓	✓	✓	✓
Bosnia & Herzegovina	✓	X	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓	✓	✓
Burkina Faso	🔒	🔒	🔒	🔒	🔒	🔒
Costa Rica	✓	✓	✓	✓	✓	✓
Cote d'Ivoire	X	X	X	X	X	✓
Croatia	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓
Denmark						
Dominican Republic	X	X	✓	✓	X	✓
El Salvador						
Estonia	✓	✓	✓	✓	✓	✓
Finland	✓	✓	✓	✓	✓	✓
France	✓	✓	✓	✓	X	✓
Germany	✓	✓	✓	✓	✓	✓
Grenada						
Guinea						
Guyana						
Hungary	✓	✓	X	X	X	✓
Iceland	✓	✓	X	✓	✓	✓
Ireland	✓	✓	✓	✓	✓	✓
Italy	✓	✓	✓	✓	✓	✓
Jamaica	✓	✓	✓	✓	X	✓
Japan	✓	✓	✓	✓	X	✓
Latvia	✓	✓	✓	✓	✓	✓
Liechtenstein	✓	✓	✓	✓	✓	✓

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

■ Have not submitted report

RECORD KEEPING						REPORTING
	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON AUTHORIZED EXPORTS	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON ACTUAL EXPORTS	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON IMPORTS	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON TRANSIT/TRANSSHIPMENT	CONTAINS PROVISIONS FOR MAINTAINING RECORDS ON BROKERING	NATIONAL CONTROL SYSTEM ALLOWS FOR ANNUAL REPORTS ON ARMS TRANSFER <sup>5</sup>
Lithuania	✓	✓	✓	✓	X	✓
Luxembourg	✓	✓	✓	✓	✓	✓
Macedonia	✓	✓	✓	✓	X	✓
Mali						
Malta						
Mexico	✓	✓	✓	✓	✓	✓
Montenegro	✓	✓	✓	X	X	✓
Netherlands	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	X	✓
Nigeria	🔒	🔒	🔒	🔒	🔒	🔒
Norway	✓	✓	X	✓	✓	✓
Panama						
Poland	✓	✓	✓	✓	✓	✓
Portugal	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓
Saint Kitts and Nevis						
Saint Lucia						
Saint Vincent and the Grenadines						
Samoa	✓	✓	✓	✓	✓	✓
Senegal	🔒	🔒	🔒	🔒	🔒	🔒
Serbia	✓	✓	✓	✓	X	✓
Sierra Leone	X	X	✓	✓	✓	✓
Slovakia	✓	✓	✓	✓	✓	✓
Slovenia	✓	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓	✓
Spain	✓	✓	✓	✓	✓	✓
Sweden	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓
Trinidad and Tobago	✓	✓	✓	X	X	✓
United Kingdom	✓	X	✓	✓	X	✓
Uruguay						



## Enforcement

Forty-four States Parties have measures in place to enforce national laws and regulations that implement the Treaty. Jamaica was the only State Party to indicate that no such measures yet exist, stating that “implementing legislation has not yet been enacted.” States Parties provided several examples of national enforcement measures, including:

Custom checks  
at national  
borders

Audit checks

Outreach to  
companies

Fines

Imprisonment

Criminal  
prosecution

Engagement  
with Europol  
and Interpol

Cooperation  
with other  
agencies and  
relevant States/  
actors for  
anti-corruption

**ENFORCEMENT**

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private  
 ■ Have not submitted report

	MEASURES IN PLACE TO ENFORCE NATIONAL LAWS AND REGULATIONS THAT IMPLEMENT THE ATT	NATIONAL LEGISLATION ALLOWS FOR THE PROVISION OF JOINT ASSISTANCE IN INVESTIGATIONS, PROSECUTIONS AND JUDICIAL PROCEEDINGS
Albania	✓	✓
Antigua and Barbuda		
Argentina	✓	✓
Australia	✓	(don't know)
Austria	✓	✓
Bahamas		
Belgium	✓	✓
Bosnia & Herzegovina	✓	✓
Bulgaria	✓	✓
Burkina Faso	🔒	🔒
Costa Rica	X	X
Cote d'Ivoire	✓	✓
Croatia	✓	✓
Czech Republic	✓	✓
Denmark		
Dominican Republic	✓	✓
El Salvador		
Estonia	✓	✓
Finland	✓	✓
France	✓	X
Germany	✓	✓
Grenada		
Guinea		
Guyana		
Hungary	✓	✓
Iceland	✓	✓
Ireland	✓	✓
Italy	✓	✓
Jamaica	X	X
Japan	✓	✓
Latvia	✓	✓
Liechtenstein	✓	✓

	MEASURES IN PLACE TO ENFORCE NATIONAL LAWS AND REGULATIONS THAT IMPLEMENT THE ATT	NATIONAL LEGISLATION ALLOWS FOR THE PROVISION OF JOINT ASSISTANCE IN INVESTIGATIONS, PROSECUTIONS AND JUDICIAL PROCEEDINGS
Lithuania	✓	✓
Luxembourg	✓	✓
Macedonia	✓	✓
Mali		
Malta		
Mexico	✓	X
Montenegro	✓	X
Netherlands	✓	✓
New Zealand	✓	✓
Nigeria	🔒	🔒
Norway	✓	✓
Panama		
Poland	✓	✓
Portugal	✓	✓
Romania	✓	✓
Saint Kitts and Nevis		
Saint Lucia		
Saint Vincent and the Grenadines		
Samoa	✓	✓
Senegal	🔒	🔒
Serbia	✓	X
Sierra Leone	✓	✓
Slovakia	✓	✓
Slovenia	✓	✓
South Africa	✓	✓
Spain	✓	✓
Sweden	✓	✓
Switzerland	✓	✓
Trinidad and Tobago	✓	✓
United Kingdom	✓	✓
Uruguay		



## International Cooperation

Forty-five States indicated that they could cooperate with other States Parties with a view to support effective Treaty implementation. Only Sierra Leone responded “no,” but stated that it participates in “only regional cooperation.” States Parties were specific about the types of cooperation they engage in.

**Types of International Cooperation**  
*(Number of States Parties)*

22

**Information exchange**

40

**Cooperative measures to prevent diversion**

39

**Assistance in investigations, prosecutions, and judicial proceedings**

36

**Cooperative measures to prevent corruption**

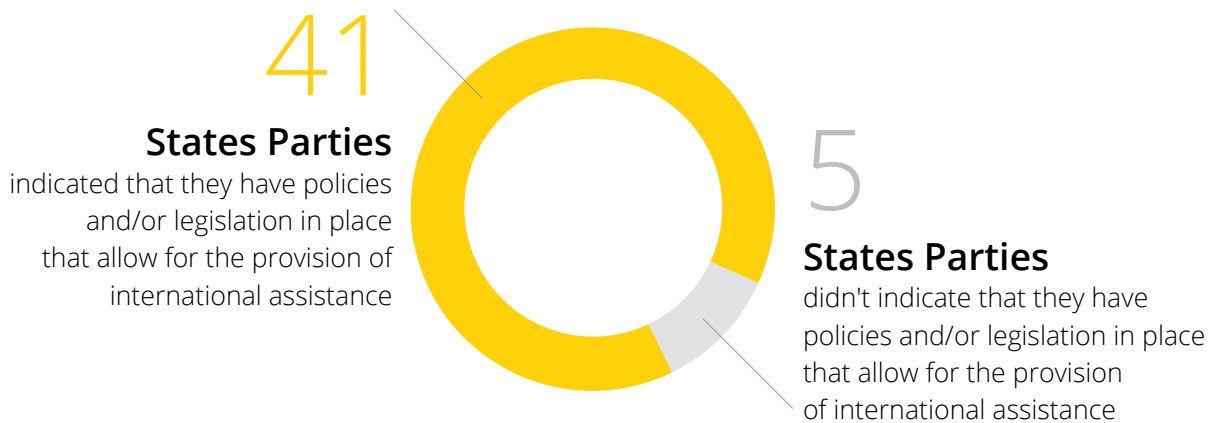
28

**Development of best practices and lessons learned**



## International Assistance

Forty-one States Parties reported that they have policies and/or legislation in place that allow for the provision of international assistance. However, even if not in national policies or regulations, States Parties may still be able to provide assistance to implement the ATT. Hungary, for example, noted that though the provision of assistance is not stipulated in its national regulation, the country would be ready to provide implementation assistance upon request. The initial reports do not contain significant detail on the type(s) of assistance States Parties would be willing or in a position to provide. Nor do the reports shed light on substantive information about whether States Parties are in need of assistance to support effective implementation or the type(s) of assistance they might require. These omissions may be in part due to the lack of an explicitly designated field in the provisional template that would elicit such information from States Parties.



## INTERNATIONAL COOPERATION

	EXCHANGE INFORMATION ON CONVENTIONAL ARMS TRANSFERS	UNDERTAKE COOPERATIVE MEASURES TO PREVENT DIVERSION	PARTICIPATE IN WIDEST MEASURES OF ASSISTANCE IN INVESTIGATIONS, PROSECUTIONS, AND JUDICIAL PROCEEDINGS	UNDERTAKE COOPERATIVE MEASURES TO PREVENT CORRUPTION	PARTICIPATE IN THE DEVELOPMENT OF BEST PRACTICES AND LESSONS LEARNED
Albania	X	✓	✓	X	X
Antigua and Barbuda					
Argentina	X	✓	✓	X	X
Australia	✓	✓	(don't know)	✓	✓
Austria	✓	✓	✓	✓	✓
Bahamas					
Belgium	X	✓	✓	✓	X
Bosnia & Herzegovina	X	✓	✓	✓	✓
Bulgaria	X	✓	✓	✓	X
Burkina Faso	🔒	🔒	🔒	🔒	🔒
Costa Rica	x	✓	X	X	X
Cote d'Ivoire	X	X	✓	X	X
Croatia	✓	✓	✓	✓	✓
Czech Republic	X	✓	✓	✓	X
Denmark					
Dominican Republic	✓	✓	✓	✓	✓
El Salvador					
Estonia	✓	✓	✓	✓	✓
Finland	✓	✓	✓	✓	X
France	X	X	X	X	✓
Germany	✓	✓	✓	✓	✓
Grenada					
Guinea					
Guyana					
Hungary	X	X	✓	X	✓
Iceland	✓	✓	✓	✓	✓
Ireland	✓	✓	✓	✓	X
Italy	✓	✓	✓	✓	✓
Jamaica	X	✓	X	✓	X
Japan	X	X	✓	✓	✓
Latvia	✓	✓	✓	✓	✓
Liechtenstein	X	✓	✓	✓	X

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

🔒 Report is private

■ Have not submitted report

	EXCHANGE INFORMATION ON CONVENTIONAL ARMS TRANSFERS	UNDERTAKE COOPERATIVE MEASURES TO PREVENT DIVERSION	PARTICIPATE IN WIDEST MEASURES OF ASSISTANCE IN INVESTIGATIONS, PROSECUTIONS, AND JUDICIAL PROCEEDINGS	UNDERTAKE COOPERATIVE MEASURES TO PREVENT CORRUPTION	PARTICIPATE IN THE DEVELOPMENT OF BEST PRACTICES AND LESSONS LEARNED
Lithuania	✓	✓	✓	✓	✓
Luxembourg	✓	✓	✓	✓	✓
Macedonia	X	X	✓	✓	X
Mali					
Malta					
Mexico	✓	✓	X	X	✓
Montenegro	X	✓	X	X	X
Netherlands	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	X
Nigeria	🔒	🔒	🔒	🔒	🔒
Norway	X	✓	✓	✓	✓
Panama					
Poland	X	✓	✓	✓	✓
Portugal	X	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓
Saint Kitts and Nevis					
Saint Lucia					
Saint Vincent and the Grenadines					
Samoa	X	✓	✓	✓	X
Senegal	🔒	🔒	🔒	🔒	🔒
Serbia	X	✓	X	X	✓
Sierra Leone	✓	✓	✓	✓	X
Slovakia	X	✓	✓	✓	✓
Slovenia	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓
Spain	X	✓	✓	✓	✓
Sweden	X	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	X
Trinidad and Tobago	X	X	✓	X	X
United Kingdom	✓	✓	✓	✓	✓
Uruguay					

INTERNATIONAL ASSISTANCE (PART 1)

	HAVE POLICES AND/OR LEGISLATION TO ALLOW FOR PROVISION OF IMPLEMENTATION ASSISTANCE	LEGAL ASSISTANCE		LEGISLATIVE ASSISTANCE, INCLUDING MODEL LEGISLATION		ASSISTANCE FOR INSTITUTION BUILDING		TECHNICAL ASSISTANCE	
		REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE
Albania	X	✓	X	X	✓	X	X	X	X
Antigua and Barbuda									
Argentina	✓	X	✓	X	✓	X	✓	X	✓
Australia	✓	X	(provides funding to UNSCAR)	X	✓	X	(provides funding to UNSCAR)	X	(provides funding to UNSCAR)
Austria	✓	X	✓	X	✓	X	✓	X	✓
Bahamas									
Belgium	✓								
Bosnia & Herzegovina	✓	X	X	X	✓	X	✓	X	✓
Bulgaria	✓	X	✓	X	✓	X	✓	X	✓
Burkina Faso	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Costa Rica	✓	✓	X	✓	X	✓	X	✓	X
Cote d'Ivoire	✓								
Croatia	✓	X	✓	X	✓	X	✓	X	✓
Czech Republic	✓								
Denmark									
Dominican Republic	✓	✓	X	X	X	✓	X	✓	X
El Salvador									
Estonia	✓	X	X	X	✓	X	✓	X	✓
Finland	✓	X	X	X	X	X	X	X	✓
France	✓	X	✓	X	✓	X	✓	X	X
Germany	✓	X	✓	X	✓	X	✓	X	✓
Grenada									
Guinea									
Guyana									
Hungary	X	X	✓	X	✓	X	✓	X	✓
Iceland	✓	X	X	X	X	X	X	X	X
Ireland	✓	X	X	X	✓	X	X	X	✓
Italy	✓	X	✓	X	✓	X	✓	X	✓
Jamaica	X	X	X	X	X	✓	X	✓	X
Japan	✓	X	✓	X	✓	X	✓	X	✓
Latvia	✓	X	X	X	X	X	X	X	X

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

■ Have not submitted report

🔒 Report is private

■ Have not completed an ATT-BAP Survey

	HAVE POLICES AND/OR LEGISLATION TO ALLOW FOR PROVISION OF IMPLEMENTATION ASSISTANCE	LEGAL ASSISTANCE		LEGISLATIVE ASSISTANCE, INCLUDING MODEL LEGISLATION		ASSISTANCE FOR INSTITUTION BUILDING		TECHNICAL ASSISTANCE	
		REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE
Liechtenstein	✓	X	X	X	X	X	X	X	X
Lithuania	✓	X	X	X	✓	X	✓	X	✓
Luxembourg	✓	X	X	X	X	X	X	X	X
Macedonia	X	✓	X	X	X	✓	X	X	X
Mali									
Malta									
Mexico	✓	X	✓	X	✓	X	X	X	X
Montenegro	X	X	X	✓	X	X	X	X	X
Netherlands	✓	X	✓	X	✓	X	✓	X	✓
New Zealand	✓								
Nigeria	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Norway	✓	X	✓	X	✓	X	✓	X	✓
Panama									
Poland	✓	X	✓	X	✓	X	✓	X	✓
Portugal	✓	X	✓	X	✓	X	✓	X	✓
Romania	✓	X	✓	X	✓	X	✓	X	✓
Saint Kitts and Nevis									
Saint Lucia									
Saint Vincent and the Grenadines									
Samoa	✓								
Senegal	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Serbia	✓	X	✓	X	X	X	X	✓	X
Sierra Leone	✓								
Slovakia	✓	X	X	X	X	X	X	X	X
Slovenia	✓	X	X	X	X	X	X	X	X
South Africa	✓	X	X	X	X	X	X	X	X
Spain	✓	X	✓	X	✓	X	✓	X	✓
Sweden	✓	X	✓	X	✓	X	✓	X	✓
Switzerland	✓	X	✓	X	✓	X	✓	X	✓
Trinidad and Tobago	✓	✓	X	✓	X	X	✓	X	✓
United Kingdom	✓	X	✓	X	✓	X	✓	X	✓
Uruguay									

**INTERNATIONAL ASSISTANCE (PART 2)**

	FINANCIAL ASSISTANCE		MATERIAL ASSISTANCE		STOCKPILE MANAGEMENT ASSISTANCE		DISARMAMENT, DEMOBILIZATION, OR REINTEGRATION ASSISTANCE		ASSISTANCE WITH EFFECTIVE PRACTICES FOR IMPLEMENTATION	
	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE
Albania	X	X	X	X	X	X	X	X	X	X
Antigua and Barbuda										
Argentina	X	X	X	X	X	✓	X	X	X	✓
Australia	X	(provides funding to UNSCAR)	X	(provides funding to UNSCAR)	X	(provides funding to UNSCAR)	X	(provides funding to UNSCAR)	X	(provides funding to UNSCAR)
Austria	X	✓	X	✓	X	✓	X	✓	X	✓
Bahamas										
Belgium										
Bosnia & Herzegovina	X	X	X	X	X	X	X	✓	X	✓
Bulgaria	X	X	X	X	X	✓	X	✓	X	✓
Burkina Faso	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Costa Rica	✓	X	✓	X	✓	X	✓	X	✓	X
Cote d'Ivoire										
Croatia	X	X	X	X	X	✓	X	✓	X	✓
Czech Republic										
Denmark										
Dominican Republic	✓	X	X	X	✓	X	✓	X	✓	X
El Salvador										
Estonia	X	X	X	✓	X	X	X	X	X	✓
Finland	X	✓	X	X	X	X	X	X	X	X
France	X	X	X	X	X	✓	X	X	X	X
Germany	X	✓	X	✓	X	✓	X	✓	X	✓
Grenada										
Guinea										
Guyana										
Hungary	X	X	X	X	X	X	X	X	X	✓
Iceland	X	X	X	X	X	X	X	X	X	X
Ireland	X	X	X	X	X	X	X	X	X	✓
Italy	X	✓	X	✓	X	✓	X	✓	X	✓
Jamaica	✓	X	✓	X	✓	X	X	X	✓	X
Japan	X	✓	X	✓	X	✓	X	✓	X	✓
Latvia	X	X	X	X	X	X	X	X	X	X

✓ Represents 'YES' response as well as the inclusion of information in a report

X Represents 'NO' response or the absence of information / question was left blank

Have not submitted report

Report is private

Have not completed an ATT-BAP Survey

	FINANCIAL ASSISTANCE		MATERIAL ASSISTANCE		STOCKPILE MANAGEMENT ASSISTANCE		DISARMAMENT, DEMOBILIZATION, OR REINTEGRATION ASSISTANCE		ASSISTANCE WITH EFFECTIVE PRACTICES FOR IMPLEMENTATION	
	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE	REQUIRED	AVAILABLE
Liechtenstein	X	X	X	X	X	X	X	X	X	X
Lithuania	X	X	X	X	X	X	X	X	X	X
Luxembourg	X	X	X	X	X	X	X	X	X	X
Macedonia	X	X	X	X	✓	X	X	X	X	X
Mali										
Malta										
Mexico	X	X	X	X	X	X	X	X	X	✓
Montenegro	X	X	X	X	X	X	X	X	X	X
Netherlands	X	✓	X	✓	X	X	X	✓	X	✓
New Zealand										
Nigeria	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Norway	X	✓	X	✓	X	✓	X	✓	X	✓
Panama										
Poland	X	X	X	X	X	✓	X	✓	X	✓
Portugal	X	X	X	✓	X	✓	X	✓	X	✓
Romania	X	X	X	X	X	X	X	X	X	✓
Saint Kitts and Nevis										
Saint Lucia										
Saint Vincent and the Grenadines										
Samoa										
Senegal	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒	🔒
Serbia	X	X	✓	X	✓	X	X	X	✓	X
Sierra Leone										
Slovakia	X	X	X	X	X	X	X	X	✓	✓
Slovenia	X	X	X	X	X	X	X	X	X	X
South Africa	X	X	X	X	X	X	X	X	X	X
Spain	X	✓	X	✓	X	✓	X	✓	X	✓
Sweden	X	✓	X	✓	X	✓	X	✓	X	✓
Switzerland	X	✓	X	✓	X	✓	X	✓	X	✓
Trinidad and Tobago	X	✓	X	✓	X	✓	X	✓	X	✓
United Kingdom	X	✓	X	✓	X	✓	X	✓	X	✓
Uruguay										



## COMPARING ATT INITIAL REPORTS WITH OTHER CONVENTIONAL ARMS REPORTING MECHANISMS

Article 13(1) obliges States Parties to provide information on key elements of their national transfer control systems in order to demonstrate implementation of the ATT's provisions. It was expected that while a significant effort would be required by States Parties to prepare their initial reports, this effort would be carried out only once. Furthermore, many States Parties have already collected and presented information on their national control systems for a variety of international and regional instruments that have requested or encouraged UN Member States to share such information. Therefore, States Parties could have utilized established practices for collecting and sharing such information for their initial reports on implementation of the ATT. It should be possible to determine whether States Parties have provided new information in their initial reports compared to information on transfer controls provided in other formats:

- What is the contribution of ATT reporting to our understanding of national control systems?
- Has the ATT contributed to the strengthening of good practice in the regulation of the international arms trade?

This section identifies several international and regional instruments under which ATT States Parties have shared information on their transfer control systems. It highlights those States Parties that have provided information under the following international instruments:

- UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA)
- UN General Assembly Resolution on National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology

States have also provided information in national reports and via obligations contained in regional and other multilateral instruments, such as:

- European Union (Common Position 2008/944/CFSP Defining Common Rules Governing Control of Exports of Military Technology and Equipment)
- Organization for Security and Co-operation in Europe (OSCE Information Exchange and OSCE SALW Document)
- The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies



This section also utilizes data and perspectives shared by States through their ATT-BAP Surveys. These surveys provide, in many cases, additional information about States' national control systems and treaty implementation efforts. Additionally, the ATT-BAP Guidance for Completing the Initial Report on Implementation Measures provides a comparison of the questions contained in the ATT-BAP Survey, the PoA national report template, and UN Security Council Resolution 1540 (UNSCR 1540) implementation report matrix to demonstrate how information provided for one report can be used for other reports. An example of this overlap is provided in the image below.

ATT-BAP SURVEY QUESTION(S)	UN POA REPORTING TEMPLATE QUESTION(S)	UNSCR 1540 IMPLEMENTATION REPORT MATRIX QUESTION(S)
Question 2.A. - Is the control of arms exports established in national legislation?	Question 6. - Does your country have laws, regulations or administrative procedures to exercise effective control over the export, import or retransfer of SALW? List laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW.	OP 3 (c) and (d) and OP6 and OP10. Controls of NW, CW and BW, including related materials. - Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?: (5) Export control legislation in place
Question 2.B. - Which Ministry/ies or government agency/ies is/are responsible for implementing controls on arms exports?  Question 2.B.i. - Which Ministry or agency leads this process?		OP 3 (c) and (d) and OP6 and OP10. Controls of NW, CW and BW, including related materials. - Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?: (4) Enforcement agencies/ authorities (11) National Licensing Authority

Throughout the ATT negotiations and the discussions conducted within the framework of the informal working group on reporting, States were sensitive to the fact that some States have indicated that they are suffering from a reporting burden and fatigue. Therefore, it could be expected that States Parties that have already provided information on their national transfer control system to international and regional instruments should have been able to draw upon their experiences and text provided for other instruments for their initial reports on implementation of the ATT. The table on pages 56-57 provides an overview of State Party reporting on national transfer control systems for other reporting instruments in comparison to submission of an ATT initial report, for those States Parties that were required to submit an initial report before 15 June 2016.

Comparison of State Party Reporting on National Transfer Control Systems<sup>14</sup>

STATE PARTY	ATT INITIAL REPORT	NATIONAL REPORT ON THE PoA	SUBMISSION FOR UN NATIONAL LEGISLATION ON ARMS TRANSFERS	NATIONAL REPORT CONTAINING INFORMATION ON ARMS TRANSFER CONTROL SYSTEM
Albania	✓	✓	✓	✓
Antigua & Barbuda		✓		
Argentina	✓	✓	✓	
Australia	✓	✓		✓
Austria	✓	✓	✓	✓
Bahamas				
Belgium	✓	✓		✓
Bosnia	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓
Burkina Faso	✓	✓		
Costa Rica	✓	✓		
Cote d'Ivoire	✓	✓		
Croatia	✓	✓		✓
Czech Republic	✓	✓	✓	✓
Denmark		✓		✓
Dominican Republic	✓	✓		
El Salvador		✓		
Estonia	✓	✓	✓	✓
Finland	✓	✓	✓	✓
France	✓	✓	✓	✓
Germany	✓	✓	✓	✓
Grenada		✓		
Guinea		✓		
Guyana		✓		
Hungary	✓	✓	✓	✓
Iceland	✓	✓		
Ireland	✓	✓	✓	✓
Italy	✓	✓	✓	✓
Jamaica	✓	✓		
Japan	✓	✓		
Latvia	✓	✓	✓	
Liechtenstein	✓	✓		
Lithuania	✓	✓		

STATE PARTY	ATT INITIAL REPORT	NATIONAL REPORT ON THE PoA	SUBMISSION FOR UN NATIONAL LEGISLATION ON ARMS TRANSFERS	NATIONAL REPORT CONTAINING INFORMATION ON ARMS TRANSFER CONTROL SYSTEM
Luxembourg	✓	✓		
Macedonia	✓	✓	✓	✓
Mali		✓		
Malta		✓		
Mexico	✓	✓	✓	
Montenegro	✓	✓	✓	✓
Netherlands	✓	✓	✓	✓
New Zealand	✓	✓	✓	
Nigeria	✓	✓		
Norway	✓	✓	✓	✓
Panama		✓	✓	
Poland	✓	✓	✓	✓
Portugal	✓	✓	✓	✓
Romania	✓	✓	✓	✓
Samoa	✓	✓		
Senegal	✓	✓	✓	
Serbia	✓	✓	✓	✓
Sierra Leone	✓	✓		
Slovakia	✓	✓		✓
Slovenia	✓	✓	✓	
South Africa	✓	✓		
Spain	✓	✓	✓	✓
St. Kitts & Nevis				
St. Lucia				
St. Vincent & Grenadines				
Sweden	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓
Trinidad and Tobago	✓	✓		
UK	✓	✓	✓	✓
Uruguay		✓		
<b>Total (63)</b>	<b>49</b>	<b>59</b>	<b>31</b>	<b>28</b>



## Programme of Action

The PoA was adopted at the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects in July 2001.<sup>15</sup> It outlines a set of measures to be implemented at the international, regional, and national levels to counter the illicit trade in small arms and light weapons (SALW), including creating legislation, regulations, and administrative procedures to control the transfer of SALW. The PoA encouraged States to provide information in national reports on implementation, with updated reports to be shared every two years.<sup>16</sup> The outcome document of the 2016 Biennial Meeting of States on the PoA noted that national reports on PoA implementation:

- “Provide a baseline for measuring PoA implementation progress;
- Build confidence and promote transparency;
- Provide a basis for information exchange and action; and
- Serve to identify needs and opportunities for international assistance and cooperation, including the matching of needs with available resources and expertise.”<sup>17</sup>

Like the ATT, the PoA did not provide a standardized template for national reports on implementation. The UN Development Programme, the UN Institute for Disarmament Research, the UN Office of Disarmament Affairs (UNODA), and the Small Arms Survey jointly developed guidance to be used to compile national reports.<sup>18</sup> This guidance was used as the basis for the online PoA Reporting Tool for the production of a national report on implementation of the PoA.<sup>19</sup> The UNODA serves as a repository and posts reports on the PoA Implementation Support System website.<sup>20</sup> There is clear overlap between the PoA reporting template sections on transfer controls and the ATT initial report. Both the PoA reporting template and the ATT provisional reporting template contain a mixture of tick box and open-ended questions.

Of the 63 States Parties due to submit their initial report for the ATT before 15 June 2016, 42 submitted a national report on the PoA during the first six months of 2016; 53 submitted a national report on the PoA at least once during the period 2014–2016; and 59 submitted a national report on the PoA at least once during the period 2002–2016 (see page 56). Therefore, only four of the 63 States Parties have not provided information on implementation of the PoA, which includes information on national SALW transfer controls and measures to address diversion. These are four of the fourteen States Parties that have not submitted an initial report on implementation of the ATT, and all are CARICOM States: Bahamas, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines.<sup>21</sup>



There are several examples in which PoA national reports contain more information on elements of a national transfer control system than ATT initial reports. For example, PoA national reports request information on end-use/end-user documentation, their contents and verification, and authentication and post-shipment controls. Question 7C.iv in the ATT provisional reporting template asks States Parties to indicate only whether they have measures to prevent diversion, including the provision of end-use/end-user documentation to the exporting State and end-use/end-user assurances from an importing State. Albania, for example, mentioned only that an end-user certificate (EUC) is required for an application for an export, import, or brokering authorization. In response to question 4A in the ATT provisional template for the initial report, Albania stated:

*If required by the exporter we issue End User Certificate confirmed by the national authority (AKSHE), or International Import Certificate. Also if required by the exporter state, we issue Delivery Verification certificate.<sup>22</sup>*

In comparison, Albania provided information in its 2014 PoA national report on the contents of the EUC, restrictions on the re-export of SALW, and the methods for authenticating EUCs. It also provided the following information on measures to prevent the forgery and misuse of EUCs:

*The forgery and misuse of the official document are sanctioned by the penal code by imprisonment and fines. Also all the EUCs submitted for an application must be notarized in case that the issuing country is part of the "Hague Convention Abolishing the Requirement for Legalisation for Foreign Public Documents". When the country that had issued the EUC is not a member of this Convention or has expressed reservations toward Albania, the document must have the apostille seal.<sup>23</sup>*

There are other examples where it is possible to find more information on key elements of a national transfer control system in a State Party's PoA implementation reports than in its ATT initial report.



## End-Use/User Reporting

Extract from the 2016 *Reporting Template for the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) and the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Weapons (IT)*:

### **Question 5.4. – What kind of documentation does your country require prior to authorizing an export of SALW to another country?**

- a) an end-user certificate (EUC) from the importing country
  - What elements does an end-user certificate in your country contain?*
  - 1) Detailed description (type, quantity, characteristics) of the SALW or technology
  - 2) Contract number or order reference and date
  - 3) Final destination country
  - 4) Description of the end-use of the SALW
  - 5) Exporter's details (name, address and business name)
  - 6) End-user information (name, position, full address and original signature)
  - 7) Information on other parties involved in the transaction
  - 8) Certification by the relevant government authorities of the authenticity of the end-user
  - 9) Date of issue
  - 10) Other
- b) Other types of end-user documentation



**Question 5.5. – Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided? Question 5.5.1 Details:**

**Question 5.6. – Does your country have measures in place aimed at preventing the forgery and misuse of EUCs or other types of end-user documentation? Question 5.6.1 Details:**

**Question 5.7. – When exporting, does your country require a Delivery Verification Certificate (DVC) to confirm that SALW have reached their intended end-user or intended importer in the importing State?**

**Question 5.8 – After exporting, does your country verify or seek to authenticate DVCs provided?**

**Question 5.9. – When importing, does your country grant the right to the exporting State to conduct a physical check at the point of delivery?**



## United Nations General Assembly Resolution: National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology

UN General Assembly Resolution 57/66 of 2002 encouraged

*Member States to provide, on a voluntary basis, information to the Secretary-General on their national legislation, regulations and procedures on the transfer of arms, military equipment and dual-use goods and technology, as well as the changes therein, and requests the Secretary-General to make this information accessible for Member States.<sup>24</sup>*

The sharing of information on national transfer control legislation is intended to enable States to (a) demonstrate commitment to “international disarmament and nonproliferation treaties;” (b) build confidence, and (c) assist States that are in the process of developing legislation, regulations, and procedures for controlling transfers of arms, military equipment, and dual-use goods. The Resolution does not provide further guidance on the format to be used. The lack of guidance – i.e., a reporting form – for the exchange of information on national legislation, regulations, and procedures has resulted in UN Member States taking one of five different approaches when providing information:

- an overview of the main elements of national transfer controls of varying length (1–20 pages), providing a summary of legislative provisions, procedures for licensing and assessment criteria, and identification of the government ministries and agencies that are responsible for implementing and enforcing transfer controls;
- a list of relevant laws and secondary legislation on transfer controls;
- a statement indicating that the State does not have national transfer controls;
- a copy of a law or secondary legislation on transfer controls; and
- a copy of the transfer control section of the national reports on implementation of the PoA.<sup>25</sup>

Thirty of the 49 States Parties that have submitted an initial report on implementation of the ATT have also provided information “on their national legislation, regulations and procedures on the transfer of arms, military equipment and dual-use goods and technology, as well as the changes therein” at least once during the period 2004–2015 in response to the UN General Assembly Resolution on National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology (see page 56).<sup>26</sup> In general, more information is provided in the ATT initial report than in responses to the UN General



Assembly Resolution on National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology. Nevertheless, if the UN General Assembly issues another resolution on National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology, ATT States Parties might share this information by providing their initial reports to implement the ATT.

## Unilateral and Regional Reporting on Transfer Control Systems

Twenty-eight of the 49 States Parties that have submitted an initial report on implementation of the ATT have also provided information on their national transfer control systems in their national reports on arms transfer controls, authorizations, and actual exports (see page 56). Twenty-one of these are EU Member States that are obliged to produce a national report in accordance with an obligation contained in the EU Common Position and to “provide information for the EU Annual Report on the implementation of [the] Common Position.”<sup>27</sup> Twenty-two EU Member States have provided internet addresses for inclusion in the EU Annual Report where the national report and information on arms transfer controls can be found.<sup>28</sup> The narrative approach taken in the national reports provides more detailed information on national transfer control systems than is provided in the ATT initial reports.

At the regional level, the OSCE undertook a one-off information exchange between participating States on national policy, practices, and procedures for the export of conventional arms and related technology in the mid-1990s.<sup>29</sup> The SALW Document, which was adopted in November 2000, also established a mechanism for a one-off intergovernmental information exchange on “relevant national legislation and current practice on export policy, procedures, documentation and on control over international brokering in small arms.”<sup>30</sup> The rationale for the exchange was to “spread awareness of ‘best practice’ in these areas.”<sup>31</sup> Fifty-six of the 57 participating States have provided information on their SALW transfer control systems and continue to provide updates. The OSCE reporting template is now aligned with the PoA reporting template to reduce the reporting burden for OSCE participating States.<sup>32</sup>

In addition, several participating States of the Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies have provided information on the key elements of their transfer control system via the Wassenaar Arrangement website.<sup>33</sup> Bulgaria, for example, provides samples of its national end-user certificate, international import certificate, and delivery verification certificate on the Wassenaar Arrangement website that they do not provide in their ATT initial report.



## ATT-BAP Survey

In several instances, as a result of the types of questions asked – open-ended vs. tick boxes, – the ATT-BAP Survey provides more detailed information on specific thematic topics in comparison to the provisional reporting template. There are two areas in particular where States Parties provided more information for the ATT-BAP Survey in comparison to the provisional reporting template for the initial report: record keeping and international assistance. On record keeping, the majority of States Parties simply answered “yes” or “no” when asked whether records are kept in the provisional template. The ATT-BAP Survey, by comparison, acquired additional information on State Party practice:

36

**States produce an annual report on authorized arms exports**

27

**States produce an annual report on authorized arms imports**

32

**States produce an annual report on actual arms exports**

30

**States produce an annual report on actual arms imports**



Similarly, the initial reports that used the provisional reporting template generally lack specific detail on implementation assistance needs or available resources. This is likely due to the limited inclusion of questions related to international assistance in the provisional reporting template. International assistance is a priority to ensure effective treaty implementation. Initial reports that used the provisional reporting template do not provide sufficient information to enable the identification of needs and resources. Such information has been provided in greater detail in completed ATT-BAP Surveys. Thus, from completed ATT-BAP Surveys we know that 31 of 46 publicly reporting States Parties are in a position to provide some form of international assistance, and that nine States Parties are in need of certain types of assistance.

In the ATT-BAP surveys, the most commonly identified forms of assistance that States Parties are in a position to provide are legislative assistance, including model legislation (with some States Parties noting that ability is there, but provisions depend on availability and are determined on a case-by-case basis), assistance with effective practices for implementation, and technical assistance. Conversely, the most commonly identified forms of assistance that States Parties are in need of are assistance with effective practices for implementation and technical assistance. Table 5 breaks down the assistance needs and resources.

*Table 5: Identifying Assistance Needs in Initial Reports*

TYPE OF ASSISTANCE	AVAILABLE	NEEDED
Legal assistance	20	5
Legislative assistance, including model legislation	25	3
Assistance for institution building	22	4
Technical assistance	23	4
Financial assistance	12	3
Material assistance	13	3
Stockpile management assistance	16	5
Disarmament, demobilization, or reintegration assistance	16	2
Assistance with effective practices for implementation	23	5



## CONCLUSION

This report has shown that while ATT States Parties are submitting their initial reports, in many cases the information that the reports contain is either partial or was already available in reports provided for other international instruments or regional instruments or in national reports on arms exports and export controls. In other words, national control systems may be more robust than the initial implementation reports indicate. In some cases, the reports for these other instruments contain detailed information on transfer control systems that has not been included in ATT initial reports. Further, this report has demonstrated that it is often difficult to draw conclusions about State practices or trends with regards to fulfilling ATT obligations.

There are several options for supplementing the information provided in ATT initial reports and ensuring that the ATT initial reports contribute to increasing the transparency of national control systems, as intended by the Treaty.

- First, States could build upon the approach taken by UNSCR 1540, whereby a group of experts reviews the initial reports and other publicly available information to prepare a comprehensive overview of States Parties' ability to implement the ATT. As with UNSCR 1540, this review can be presented to each State Party for examination, update, and correction.<sup>34</sup>
- Second, and perhaps as a complement to the first option, an analysis of the ATT initial reports and other relevant open source materials could be conducted by the Secretariat and/or research institutes and civil society. This analysis could then be used to develop a database of ATT States Parties' transfer control systems and measures taken to address diversion.
- Third, States can build upon the approach taken by the OSCE by requesting the provision of additional information in ad hoc information exchanges. The OSCE has undertaken ad hoc information exchanges on regulations concerning SALW brokering activities, national practices to prevent the spread of SALW through illicit air transport, and samples of their national end-user certificate and/or other pertinent documents.<sup>35</sup> As with the exchange under the SALW Document, the exchange of information is intended to share examples of best practices and has enjoyed high levels of participation and regular updates.<sup>36</sup> This approach could be undertaken in an ATT framework for particular issues of importance or focus.



It is possible that States need help fulfilling their reporting requirements. Final reporting templates should be agreed upon as soon as possible and need to be clear, be easily understandable, and provide a means to identify best practices, facilitate cooperation, and support assistance. States also need to determine how they can use the information contained in the initial reports to best support effective implementation. There are several options in this regard:

- Good practices could be considered in a particular area of ATT implementation within the framework of a CSP; and
- A working group or subsidiary body could draw upon the contents of the initial reports to identify areas for elaboration of good practices, which could include an information exchange comparable to the OSCE practices outlined above.

The key issue is that the information provided in initial reports and updates should be analyzed and utilized in order to identify assistance needs and good practices in implementing the ATT. As indicated above, other international and regional instruments also provide lessons learned – both good and bad practices – with regard to sharing information on national transfer control systems and measures to address diversion that ATT States Parties, the Secretariat, and key stakeholders should take into account for promoting the universalization of the ATT and its effective implementation. Such measures would help strengthen the regulation of the international arms trade and promote greater transparency.

# ANNOTATIONS

1. *States have also considered the development of a reporting template for the voluntary report on efforts undertaken to mitigate diversion, but these deliberations are not as far advanced as those for the initial and annual reports.*
2. *Arms Trade Treaty, Secretariat Final Report of the First Conference of States Parties, Cancun, Mexico, 24–27 August 2015, ATT/CSP1/2015/6, 27 August 2015, para. 36.*
3. *The informal working group on reporting met three times in Geneva (29 April 2016, 3 June 2016, and 8 July 2016) and once in New York (13 May 2016).*
4. *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.*
5. *In order to require States Parties to use a particular reporting format, an amendment to the Treaty text would have to be adopted – which under the Treaty could not occur until 2020 at the earliest – and would apply only to those States Parties that ratify the amendment.*
6. *Of the 17 States Parties that have missed their deadline for submitting their initial report, 11 have completed and returned an ATT-BAP Survey. Four of these countries provided their ATT-BAP Survey in Spanish and one in French. To view States Parties' initial implementation reports as well as completed ATT-BAP Surveys, see The Arms Trade Treaty Secretariat, "Reporting," last modified 29 June 2016, <http://thearmstradetreaty.org/index.php/en/resources/reporting>; Arms Trade Treaty-Baseline Assessment Project, "Country Profiles," last modified 30 June 2016, <http://www.armstrade.info/country-profiles/>.*
7. *Of the 63 States Parties required to submit their report by 15 June 2016, 48 had previously completed an ATT-BAP survey. States Parties using the ATT-BAP Survey for their initial report were Australia, Japan, Macedonia, Montenegro, Serbia, and the United Kingdom.*
8. *This report focuses only on sections 1–12 and does not include an analysis of the dispute settlement section.*
9. *Arms Trade Treaty, Provisional Initial Reporting Template, Rev 3, 9 July 2016.*
10. *These States Parties are Austria, Bosnia and Herzegovina, Bulgaria, Estonia, Finland, Latvia, Poland, Portugal, and Romania.*
11. *The data tables in this report list States Parties' responses to questions from publicly available initial reports submitted prior to 15 June 2016. A version of some of these tables first appeared in Annex 2 of the ATT Monitor 2016 Report. States Parties' responses are denoted by check marks and Xs. Checks and Xs are based on information provided in the initial reports. Checks represent the inclusion of information in a report, and Xs represent the absence of information or questions left blank. Asterisks represent special situations in which States Parties either indicated they did not know whether their control system included a given measure or provided information indicating progress toward establishing specific measures. Information reflects what States Parties self-reported and was not independently verified.*
12. *States Parties identified the following as documents required prior to export: import license(s), end-use certificate(s), import certificate(s), delivery verification.*
13. *These States Parties are Austria, Belgium, Cote d'Ivoire, Croatia, Estonia, Iceland, Ireland, Jamaica, Japan, Luxembourg, Montenegro, Poland, Sierra Leone, and Trinidad and Tobago. Burkina Faso and Nigeria submitted initial reports that have not been made public, but have not submitted an annual report. Senegal's initial report is private, but its annual report is public. Moldova has submitted an annual report but not an initial report.*
14. *There is overlap between the information provided on national transfer control systems for the reports to different instruments and the ATT. But, at the same time, the reporting forms request different information on key elements of the national reporting systems. Table sources: Arms Trade Treaty Secretariat, "Reporting," <http://thearmstradetreaty.org/index.php/en/resources/reporting>, last accessed 27 June 2016; UN, Programme of Action – Implementation Support System, <http://www.poa-iss.org/NationalReport/NationalReports.aspx>, last accessed 27 June 2016; UNODA, National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology, <https://www.un.org/disarmament/convarms/nldu/>; SIPRI, "SIPRI National Reports Archive," <https://www.sipri.org/databases/national-reports>, last accessed 27 June 2016.*
15. *United Nations, Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, A/CONF.192/15, 20 July 2001.*
16. *Ibid., para. II.33; United Nations, Programme of Action, "Reporting Tool," <http://www.poa-iss.org/reporting/>.*
17. *United Nations, Outcome of the Sixth Biennial Meeting of States to Consider the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, A/CONF.192/BMS/2016/WP.1/Rev 3, 10 June 2016, para. 19.*
18. *Cattaneo, Silvia and Sarah Parker, Implementing the United Nations Programme of Action on Small Arms and Light Weapons: Analysis of the National Reports Submitted by States from 2002 to 2008 (UNIDIR: Geneva, 2008), p. 3.*
19. *UN General Assembly Resolution 63/72, 2 December 2008.*

20. United Nations, Programme of Action, Implementation Support System, <http://www.poa-iss.org/PoA/PoA.aspx>.
21. El Salvador, Grenada, Mali, and Uruguay have submitted their national report on the PoA during 2016, but have not submitted their initial reports on the implementation of ATT. Six States Parties – Antigua and Barbuda, Denmark, Guinea, Guyana, Malta, and Panama – have not submitted an initial report for the ATT nor a national report on the PoA during 2015–2016.
22. Albania, Reporting, website of the Arms Trade Treaty Secretariat, <http://thearmstradetreaty.org/index.php/en/resources/reporting>.
23. Albania, Question 6.8.1, Reporting Template for the implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) and the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Weapons (ITI), Programme of Action – Implementation Support System (PoA-ISS), <http://www.poa-iss.org/CASACountryProfile/PoANationalReports/2014@2@2014%20PoA%20ALBANIA-E.pdf>.
24. United Nations General Assembly, Resolution 57/66, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/57/66, 30 December 2002, para. 2, accessed via UNODA, National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology, <https://www.un.org/disarmament/convarms/nldu/>, last accessed 27 June 2016.
25. Holtom, Paul and Mark Bromley, *Implementing an Arms Trade Treaty: Lessons on Reporting and Monitoring from Existing Mechanisms* (Stockholm: SIPRI Policy Paper No. 28, July 2011), pp. 10–11.
26. United Nations General Assembly, Resolution 57/66, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/57/66, 30 December 2002; United Nations General Assembly, Resolution 58/42, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/58/42, 17 December 2003; United Nations General Assembly, Resolution 59/66, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/59/66, 10 December 2004; United Nations General Assembly, Resolution 60/69, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/60/69, 6 January 2006; United Nations General Assembly, Resolution 62/26, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/62/26, 10 January 2008; United Nations General Assembly, Resolution 64/40, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/64/40, 12 January 2010; United Nations General Assembly, Resolution 66/41, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/66/41, 12 January 2012; United Nations General Assembly, Resolution 68/44, “National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology,” A/RES/68/44, 10 December 2013. Resolutions accessed via UNODA, National Legislation on Transfer of Arms, Military Equipment and Dual-Use Goods and Technology, <https://www.un.org/disarmament/convarms/nldu/>, last accessed 27 June 2016.
27. European Union, “Common Position 2008/944/CFSP Defining Common Rules Governing Control of Exports of Military Technology and Equipment,” *Official Journal of the European Union*, L 335, 13 December 2008, Article 8(3).
28. In the 16th annual report, 22 EU Member States provided this information, but only 15 EU Member States provided this information in the 17th annual report. European Union, “Table E. Internet Addresses of Member States’ National Websites Providing National Reports on Arms Exports,” *Sixteenth Annual Report According to Article 8(2) of Council Common Position 2008/944/CFSP Defining Common Rules Governing Control of Exports of Military Technology and Equipment*, *Official Journal of the European Union*, C103, 27 March 2015, p. 539; European Union, “Table E. Internet Addresses of Member States’ National Websites Providing National Reports on Arms Exports,” *Seventeenth Annual Report According to Article 8(2) of Council Common Position 2008/944/CFSP Defining Common Rules Governing Control of Exports of Military Technology and Equipment*, *Official Journal of the European Union*, C163, 4 May 2016, p. 538.
29. OSCE, Forum for Security Co-operation (FSC) Decision No. 20/95: Questionnaire on Conventional Arms Transfers, FSC.DEC/20/95, adopted on 29 November 1995.
30. OSCE, FSC Decision No. 1/00: FSC Working Groups, Section III, F(2), FSC.DEC/1/100, adopted on 26 January 2000.
31. *Ibid.*
32. OSCE, FSC Chairperson’s Progress Report to the Twenty-First Meeting of the Ministerial Council on the Continuing Implementation of the OSCE Document on Small Arms and Light Weapons, Annex 3 to MC.GAL/2/14 of 1 December 2014, in *Basel 2014: Twenty-First Meeting of the Ministerial Council*, December 4-5 2014, MC21EW89, pp. 119-20.
33. Wassenaar Arrangement, “Participating States: Export Control Documentation,” <http://www.wassenaar.org/participating-states/>.
34. Holtom and Bromley, *Implementing an Arms Trade Treaty*, pp. 11–12.
35. OSCE, FSC Decision No. 11/07: Information Exchange with Regard to OSCE Principles on the Control of Brokering in Small Arms and Light Weapons, FSC.DEC/11/07, adopted on 17 October 2007; OSCE, FSC Decision No. 11/08: Introducing Best Practices to Prevent Destabilizing Transfers of Small Arms and Light Weapons through Air Transport and on an Associated Questionnaire, adopted on 5 November 2008; OSCE, FSC Decision No. 12/08: Information Exchange with Regard to Sample Formats of End-User Certificates and Relevant Verification Procedures, FSC.DEC/12/08, adopted on 12 November 2008.
36. OSCE, Annex 3 to MC.GAL/2/14, pp. 119–120.

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 (United Nations Trust Facility Supporting Cooperation on 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](http://www.armstrade.info) or contact us at [ATT@stimson.org](mailto:ATT@stimson.org)**

**Rachel Stohl (Stimson): [rstohl@stimson.org](mailto:rstohl@stimson.org)**

**Paul Holtom (Coventry): [paul.holtom@coventry.ac.uk](mailto:paul.holtom@coventry.ac.uk)**

**©2016 ATT Baseline Assessment Project. All rights reserved.**

**Produced by Media Frontier**



