



The ATT Reporting Templates: Challenges and Recommendations

JANUARY 2020



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, promote effective treaty implementation, and ensure comprehensive and robust ATT reporting. ATT-BAP has developed tools to help provide a baseline for assessing State progress in implementing the ATT and to enable measurement of the treaty's impact and long-term effectiveness. These tools are also utilized for identifying State capacity and resource needs, including the identification of critical gaps and available resources to implement the ATT. The tools include a Ratification Checklist, the ATT-BAP Baseline Assessment Survey, the ATT-BAP online portal and country profiles on treaty implementation, guidance and trainings for completing the initial and annual reports, and a dataset on States' national transfer controls.

COVER (TOP), INSIDE FRONT COVER: FLICKR - CONTROL ARMS
COVER (BOTTOM): FLICKR - ISAAC BOWEN



INTRODUCTION

The Arms Trade Treaty (ATT) is a legally-binding instrument that regulates the international trade in conventional weapons. Among its aims, the treaty promotes cooperation, transparency, and responsibility in the global arms trade by establishing common standards for regulating arms transfers. One of the fundamental obligations of the ATT is reporting, which serves to monitor treaty implementation and discern patterns and dynamics of global arms flows.

ATT Article 13 requires States Parties to complete and submit two reports to the ATT Secretariat. First, the treaty requires States Parties to complete an initial report on treaty implementation – to be submitted within one year of the treaty’s entry into force for a given State Party – and update that report as implementation measures change. The treaty also requires States Parties to complete by 31 May each year an annual report on arms exports and imports that were undertaken in the previous calendar year.

ATT REPORTING OBLIGATIONS

Article 13(1)

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.

Article 13(3)

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

Although ATT reporting is mandatory, many States Parties continue to experience difficulties meeting their ATT reporting requirements. Indeed, the ATT Working Group on Transparency and Reporting, which was established to support reporting efforts among States Parties, has repeatedly identified the need to improve reporting compliance as a priority issue.¹ In 2015, the working group developed provisional templates for both the initial report on treaty implementation and the annual report on arms exports and imports in an effort to facilitate ATT reporting and help standardize information collected from States Parties. These recommended templates were endorsed at the second Conference of States Parties to the ATT.²

¹ ATT Working Group on Transparency and Reporting, “Report from the Group’s Second Meeting,” (paper presented at Second Informal Preparatory Meeting to the Third Conference of States Parties, Geneva, Switzerland, April 2017), https://thearmstradetreaty.org/hyper-images/file/WGTR-Co-chairs_Summary_Report_of_second_meeting_on_6_April_2017_Rev/WGTR-Co-chairs_Summary_Report_of_second_meeting_on_6_April_2017_Rev.pdf.

² ATT Secretariat, Final Report of the Second Conference of States Parties, Geneva, Switzerland, 22-26 August 2016, ATT/CSP2/2016/5.

The proposed mandate for the Working Group on Transparency and Reporting for the period of September 2018 – August 2019 as described in the report to the fourth Conference of States Parties was to “review the effectiveness and clarity of the templates to submit initial and annual reports.”³ The working group considered the reporting templates at the two working group meetings leading up to the fifth Conference of States Parties (CSP5). At the 31 January 2019 working group meeting, as part of the review of the effectiveness and clarity of the templates to submit initial and annual reports, the working group co-chairs asked meeting participants to share comments and suggestions for possible amendments to the templates. At the 4 April 2019 working group meeting, the co-chairs requested again that participants provide suggestions and noted that those suggestions would be shared in the CSP5 working group report. In addition, the co-chairs offered a discussion forum on the restricted area of the ATT website for States Parties to share their views, comments, and suggestions (States may also share such insights by email to the ATT Secretariat). The results of those requests can be found in Annex C of the working group report to CSP5.⁴

This report seeks to identify challenges to the effectiveness and clarity of the reporting templates, to identify solutions to ensure that ATT reporting supports the objectives of transparency and confidence-building as described in the treaty’s object and purpose, and to support the efforts of the Working Group on Transparency and Reporting.

This report examines the ATT reporting templates and identifies both opportunities and challenges for comprehensive reporting. It is intended to serve as a starting point for greater examination of potential changes to the reporting templates. The report is divided into five sections. Section one outlines the practical utility of reporting templates in the context of the ATT. Section two examines challenges presented by the current templates for the initial and annual reports and the ways in which States Parties have provided information for those reports. Section three addresses the voluntary diversion report. Section four offers a series of recommendations to address the challenges in the reporting templates with a view toward strengthening ATT reporting. The fifth and final section concludes with an examination of the ways in which these recommendations can be implemented to support the future work of the Working Group on Transparency and Reporting.



FLICKR - CONTROL ARMS

³ ATT Working Group on Transparency and Reporting, “Draft Report to CSP4,” (paper presented at the Fourth Conference of States Parties to the Arms Trade Treaty, August 2018), https://www.thearmstradetreaty.org/hyper-images/file/ATT_CSP4_WGTR_Co-chairs_report_EN/ATT_CSP4_WGTR_Co-chairs_report_EN.pdf.

⁴ ATT Working Group on Transparency and Reporting, Co-Chairs’ Draft Report to CSP 5, Annex C, 29 August 2019, ATT/CSP5.WGTR/2019/CHAIR/533/Conf.Rep.Rev1.

METHODOLOGY

This report is based on more than five years of practical experience and research findings from the Arms Trade Treaty-Baseline Assessment Project (ATT-BAP). ATT-BAP works with States (ATT States Parties, signatories, and national governments interested in adopting the ATT), the Working Group on Transparency and Reporting, civil society, and the ATT Secretariat to strengthen reporting compliance. ATT-BAP has also conducted trainings, research, and analysis on ATT reporting.

ATT-BAP utilized questionnaires completed by States and interviews conducted by the ATT-BAP team at several workshops held in the Asia-Pacific region and the Caribbean Community (CARICOM) sub-region from 2016 to 2019. The questionnaires and responses from these workshops also contributed to this report's findings and recommendations.

ATT-BAP also convened a meeting of government representatives and practitioners, reporting experts, and the ATT Secretariat to discuss the ATT reporting templates on the margins of the ATT working groups and preparatory meetings in April 2019. This meeting provided additional insights and feedback on the reporting templates and the content of this report. The report does not include the feedback provided to the Secretariat as part of the Working Group on Transparency and Reporting's request for comment, but many of the recommendations in this report mirror the suggestions made by States in that forum.



PRACTICAL UTILITY OF REPORTING TEMPLATES

The ATT text simply requires reporting and does not contain any reference to the need to develop or adopt standardized reporting templates for the initial report or annual report. However, Article 13(1) of the ATT does provide some guidance for the contents of both reports. For example, the treaty states that the initial report should include information on “national laws, national control lists and other regulations and administrative measures.” With regard to the annual reports, the treaty states that they “may contain the same information submitted by the State Party to relevant United Nations frameworks,” including the UN Register of Conventional Arms (UNROCA). Thus, States Parties can provide information on national measures to implement the ATT in their own national format for the initial report and can submit information on annual authorizations or actual exports and imports in their own national format for the annual report.

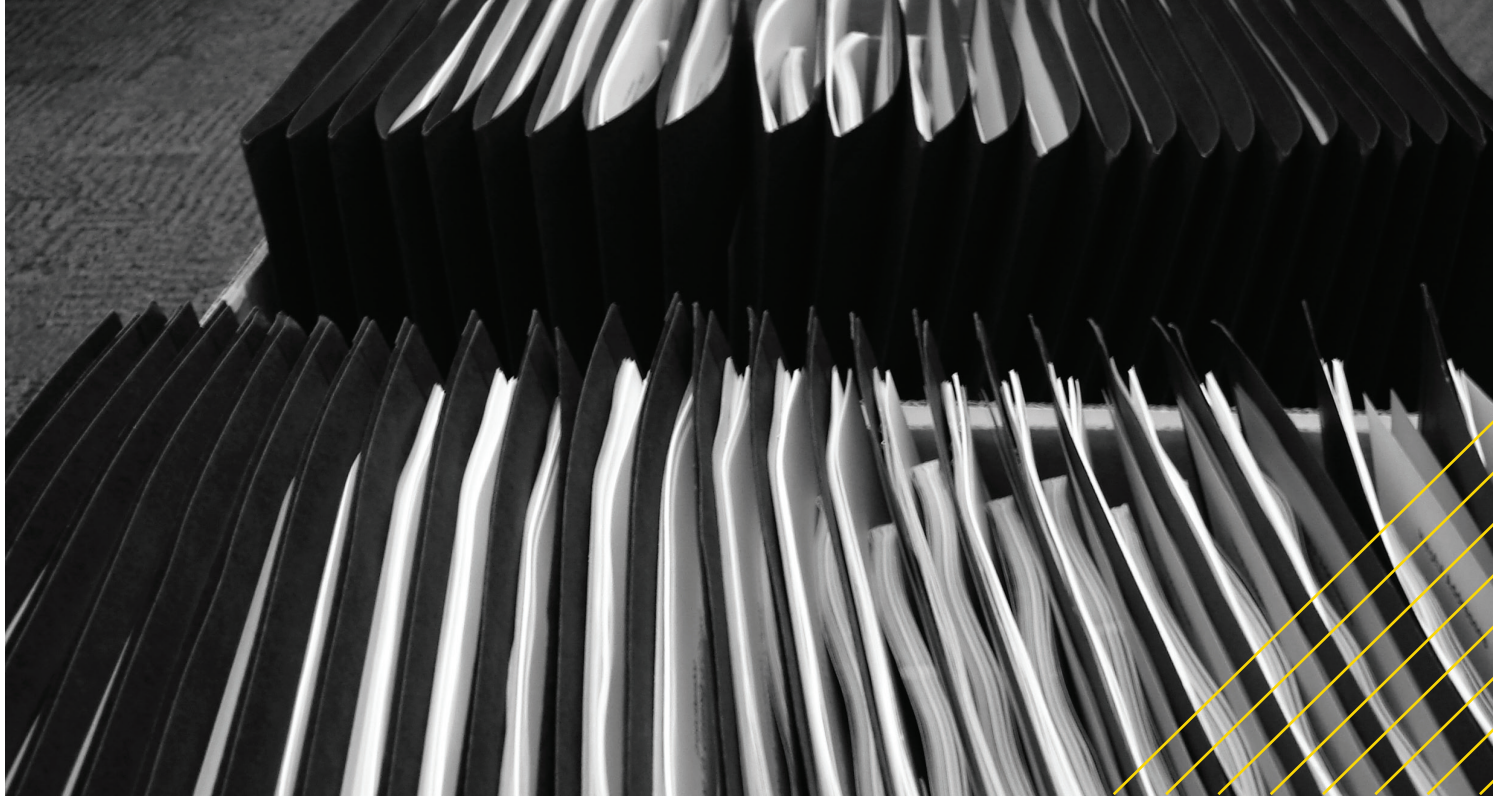
After the treaty was adopted, States Parties considered the benefits of developing standardized reporting templates to assist in fulfilling their reporting obligations for the initial and annual reports. During the November 2014 informal consultations for the first Conference of States Parties (CSP1) held in Berlin, States Parties agreed to the establishment of an informal working group on reporting that could begin discussions on the development of standardized reporting templates for the ATT initial and annual reports, with Swedish Ambassador Paul Beijer appointed as chair. The informal working group examined issues related to the development of standardized reporting templates via email and met during the informal and formal preparatory meetings for CSP1. However, very few States shared their views on the development of the templates and many States were unclear on the informal working group’s process, status, and the scope of the proposed templates. Ambassador Beijer presented final drafts of the reporting templates at CSP1, but States Parties could not agree on their adoption. Thus, the final report of CSP1 simply “took note” of the drafts that had been presented and decided to establish another informal working group on reporting.⁵ In February 2016, the informal working group reconvened and held four sessions prior to the second Conference of States Parties (CSP2).⁶ Additional revisions to the draft reporting templates were considered by the informal working group. At CSP2, State Parties endorsed the recommended templates for use by States Parties when completing their initial and annual reports.⁷ However, use of the recommended templates is not required by 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.

In order to require States Parties to use a particular reporting template when completing their initial and annual reports, 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.

⁵ Arms Trade Treaty Secretariat, Final Report of the First Conference of States Parties, Cancun, Mexico, 24–27 August 2015, ATT/CSP1/2015/6.

⁶ 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).

⁷ ATT Secretariat, Final Report of the Second Conference of States Parties, Geneva, Switzerland, 22–26 August 2016, ATT/CSP2/2016/5.



Without an amendment, the treaty text cannot be changed to mandate the use of a standardized reporting template. Thus, the provisional reporting templates have been and likely will continue to be used by States Parties when completing their ATT reports, and the treaty Secretariat has used these templates in its online reporting tool.⁸

Even if not required, there are benefits to States Parties using the same reporting templates. 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,
- ▶ identify issues on which States Parties can share good and effective practices for implementation, and
- ▶ help States Parties meet their reporting obligations more efficiently in light of additional obligations/commitments under other arms transfer instruments, particularly those mentioned in the ATT Preamble.

⁸ Furthermore, a question arises that if a standardized reporting template is required, what happens to those States Parties that have already submitted a report? Will they be required to do so again in the standardized format? That proposal would likely face opposition from States Parties that completed their initial reports before the new template is adopted.

CHALLENGES PRESENTED BY CURRENT ATT REPORTING TEMPLATES

Though standardized reporting templates serve several functions, the current templates for both the initial and annual reports raise a few challenges and can lead to inconsistent reporting practices. It is worth noting that some of these challenges may be due in part to deficient and/or incomplete submissions of ATT reports and may have more to do with the knowledge and abilities of the individuals completing the reports than the templates themselves. Nevertheless, the current templates pose certain challenges to clear and comprehensive reporting.

The types of challenges that arise when completing and reviewing the initial and annual templates are quite different but can be grouped in the following categories: language, format, and omissions.

- ▶ **Language:** these challenges arise from ambiguous or unclear language or statements in the templates that are not questions but require a yes or no answer. More complete or clear rephrasing of particular questions could allow States Parties to better understand what information is being sought.
- ▶ **Format:** there are some questions where it would be simpler if, instead of requiring respondents to provide their own answers, a checklist of possible answers was provided which would help clarify the type of information being requested, standardize information provided by various States Parties, and therefore make answers more comparable. Similarly, there may be some questions where an open-ended question might be more useful than a yes or no question and allow States Parties to elaborate when an answer isn't entirely yes or entirely no or requires additional clarification or explanation.
- ▶ **Omissions:** there are three types of problems that could be categorized as "omissions." First, some treaty requirements are omitted from the reporting templates. Second, some treaty requirements are not explicitly or directly addressed by the reporting templates. Third, certain parts of the treaty are vaguely worded, and the reporting templates do not attempt to clarify how States Parties have implemented these provisions in a way that fosters understanding of good practice in certain areas.

These challenges have been identified by those who complete and analyze the reporting templates and are discussed in detail below.

Initial Report

Article 13(1) states "Each State Party shall ... provide an initial report to the Secretariat of measures taken in order to implement this Treaty." The article does not specify if States Parties must report on all elements of the treaty or whether the provision of certain information is mandatory or simply encouraged. However, when considering the object and purpose of the treaty - to increase transparency and build confidence - one could argue that the initial reports should be as comprehensive and detailed as possible. Moreover, providing information on all measures will allow better identification of good practice and assistance availability and needs.

One of the first challenges posed by the reporting template for the initial report on ATT implementation is reflected in the very first question asked, which prompts States Parties to indicate whether the report may be made publicly available. The phrasing of the question, “This initial report may be made publicly available,” defers to the concept of private reports, yet the text of the ATT does not presume that reports are private. In some cases (at least two that we can identify), States inadvertently made their reports private before later making them public after questioning from analysts and the ATT Secretariat. This delay in public reporting often means that some information is not contained in reporting analyses or assessments of good practice.

The template also suffers from a complicated structure. The template distinguishes between voluntary and mandatory treaty obligations, which are reflected in two separate sections, identified as “binding” and “non-binding.” However, the treaty does not differentiate between varying levels of obligation when mandating the initial report on implementation. The distinction between “binding” and “non-binding” content in the reporting template has therefore 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. This structure of the template may increase the reporting burden and the potential for repetition, as States Parties often provide the same or similar information in both sections of the template, rather than providing more detailed or alternate information. This format results in the risk that States Parties might omit details from their initial reports and thereby hinder transparency and sharing good practices.

Additional concerns with the template relate to questions resulting in answers that have a lack of specificity and are not disaggregated. In broad terms, the template as currently written does not provide States Parties with the opportunity to elaborate in depth, for example, on measures they undertake to implement Articles 6 and 7, which are considered the heart of the treaty. In many cases, there is little opportunity for specificity. For example, in Section 3 (exports), the reporting template asks one general question (question 3.D) on national risk assessment procedures and related criteria, without disaggregating the criteria as described in Article 7 of the ATT. Without disaggregated risk assessment criteria, States Parties cannot describe how they incorporate each criterion within their national control system and provide examples of good practice.



Providing more specific questions might make it clearer what information is being sought and help States Parties clarify their approaches. For example, the section on the definition of brokering states only: “The definition of brokering used in national legislation” then leaves a space for a response. But perhaps it should ask “does your national legislation include a definition of brokering? If so, what is it?” Or the question could ask if a State Party’s definition of brokering includes the following activities and offer a checklist of suggestions. These kinds of question formulations would allow States Parties to provide more complete and useful information in their responses.



The lack of specificity is widespread across various sections of the template, but particularly notable in the assistance section. The reporting template for the initial report does not provide an opportunity for States Parties to provide significant detail on the type(s) of assistance they may be willing or in a position to provide or what assistance States Parties might need to support effective implementation. In simplest terms, States Parties should be asked what types of assistance they would like to request or offer in order to facilitate matching needs with resources and develop Voluntary Trust Fund (VTF) projects. Identifying the needs in the reports would allow States Parties to more thoughtfully develop their VTF proposals and have a more comprehensive picture of their national systems. While a live section on the ATT Secretariat’s portal may prove to be a useful outlet to provide requests and offers in real time, maintaining a section in the report could allow analysis of the reports to identify assistance trends, both in terms of gaps, needs, and available resources.

Moreover, the way questions are asked – open-ended vs. tick boxes – often results in States Parties providing less information than perhaps they are inclined to. For example, in the immediate aftermath of the treaty’s adoption, ATT-BAP developed a baseline assessment survey to serve as an article-by-article list of treaty obligations that States could use to describe how they were implementing or planned to implement the treaty. There are two areas in particular where States Parties provided more information for the ATT-BAP survey as compared to the reporting template for the initial report: record keeping and international assistance. The difference in detail is likely based predominately on the way the questions are asked in the ATT-BAP survey compared to the reporting template.

The reporting template for the initial report also does not provide an easy way for States Parties to update their initial report when their national measures change. To date, only four States Parties have provided information on “any new measures undertaken in order to implement” the ATT, as required under Article 13(1) of the treaty. Sweden and Japan submitted updated initial reports to the ATT Secretariat in September 2018 and March 2019, respectively, and provided cover pages that list the changes to their initial reports – which could be a helpful example for how States Parties indicate updates. New Zealand and Slovenia provided updated reports in August 2019 and October 2019, respectively, using the original reporting template, which does not provide an option to clearly indicate what has been changed. A clear process for updating initial reports has not yet been developed and no guidance yet exists to support States Parties in updating their initial reports, either in the reporting template or in other resources.

Annual Report

The ATT annual report template is based on the standardized templates for reporting on international transfers of seven categories of conventional arms to UNROCA and for providing background information on international transfers of small arms and light weapons (SALW) to UNROCA, which contains six sub-categories for small arms and seven sub-categories for light weapons. The reporting template for the ATT annual report shaded the sub-categories for SALW, indicating that their inclusion is “optional” in the ATT annual report.

Using the ATT reporting template for annual reports on arms exports and imports, States Parties choose whether they are reporting on authorized or actual transfers. Similarly, States Parties can choose to report on the quantity or the value of arms transferred, or both. While such choices offer States Parties some flexibility in reporting, the varying metrics can complicate data analyses on trends in arms transfers and comparisons across States Parties. In reality, the use of both authorized and actual transfers makes it impossible to do a holistic analysis of trends from year to year. Furthermore, some States Parties might report on authorizations one year and actuals in another year, thereby undermining any meaningful analysis. Ideally States Parties would provide both actual and authorized transfer data and number and value. However, if they can only provide one data point, actual transfers is a preferable metric to authorized transfers and the number of items transferred is preferable to the value of the transfer, as it gives a more precise accounting of weapons that have been transferred.

The ATT has as its object and purpose a desire to increase transparency of the arms trade. However, the template’s form lends itself towards aggregating data, which can limit understanding of specific transfers. For example, several States Parties did not provide information on importing/exporting States when reporting and aggregated data on SALW transfers, either in part or in full. Without knowing who transferred the weapons or to whom, it is impossible to undertake assessments of compliance with ATT Articles 6 and 7 and maintain assurances that the export criteria have been considered. Reporting States Parties may, for example, group different transfer parties together under the same category of transferred arms or simply omit details on exporting/importing States (see figures 1, 2, and 3).

FIGURE 1: Australia aggregated information on exporting States for SALW (2018)

Category of arms ⁴ [I-VIII]	Authorised or actual imports ⁵		Extent of imports ⁶ (choose one or both)		Exporting State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
Small Arms (aggregated) ¹⁶	<input type="checkbox"/>	<input type="checkbox"/>	106065		Various		^Figures do not include imitation firearms and paintball markers. Figures include blank firing firearms.	
1. Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>	12927					
2. Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>	53605					
3. Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>						

FIGURE 2: Italy omitted information on importing States (2017)

Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³)								
I.	Battle tanks	<input checked="" type="checkbox"/>	<input type="checkbox"/>	0				
II.	Armoured combat vehicles	<input checked="" type="checkbox"/>	<input type="checkbox"/>	73				

FIGURE 3: Jamaica aggregated information on certain exporting States (2018)

Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
B. VIII. Small Arms and Light Weapons^{14,15}								
Small Arms (aggregated) ¹⁶		<input type="checkbox"/>	<input type="checkbox"/>					
1.	Revolvers and self-loading pistols	<input checked="" type="checkbox"/>	<input type="checkbox"/>	201		USA, Barbados, Guyana, Antigua, Grenada, Chile, Canada, Brazil, Panama, Argentina, Ecuador, Venezuela, Cayman Islands,		Competitive/Sport Shooting
2.	Rifles and carbines	<input checked="" type="checkbox"/>	<input type="checkbox"/>	36		Canada, Panama, Trinidad		Law Enforcement Exercises, Competitive/Sport Shooting
3.	Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>					
4.	Assault rifles	<input checked="" type="checkbox"/>	<input type="checkbox"/>	4		Panama		Law Enforcement Exercises
5.	Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>					
6.	Others	<input checked="" type="checkbox"/>	<input type="checkbox"/>	30 (Shotgun)		Columbia, Barbados		Competitive/Sport Shooting

Moreover, some States Parties provide contradictory information in their reports, ticking the “nil report” box but then providing information on transfers. The format and design of the reporting template contributes to this confusion. However, this issue of contradictory information is resolved in the online reporting tool as it requires States Parties to select either “nil” or “annual report” on arms exports and imports, but not both. Moreover, the online reporting tool will remove certain sections of the report that are determined to not be required for a given State Party, based on information provided by that State Party. For example, if a State Party indicates it is submitting a “nil” report for arms exports, then the online tool will hide the exports section of the report for that State Party as it completes its annual report.

There is also confusion about whether the annual reports are publicly available. In the reporting template, there is a box at the top of both the export and import sections that reads: “This Annual Report on exports [imports] is available only to States Parties.” Thus, States Parties can keep private half or the entirety of their annual reports. Such a confidentiality mechanism is not specified in the ATT and results in confusion and a lack of transparency, even when not intended.

Furthermore, the annual report template does not lend itself to allowing States Parties to provide additional details and specificity around a particular transfer. The “comments on the transfer” column is used in a variety of ways by different responding States Parties, making information difficult to compare and assess.

DIVERSION

While the text of the ATT does not contain a specific obligation to report on diversion, Article 13(2) of the treaty encourages States Parties to report on measures to address diversion.

ATT REPORTING ON DIVERSION

Article 13(2)

States Parties are encouraged to report to other States Parties, through the Secretariat, information on measures taken that have been proven effective in addressing the diversion of transferred conventional arms covered under Article 2 (1).

To date, there has been limited discussion on developing a template to support reporting on diversion and at the fourth Conference of States Parties, the Working Group on Transparency and Reporting encouraged participants to consider mechanisms to facilitate information exchanges between States Parties on anti-diversion measures and lessons learned.⁹ Indeed, other multilateral instruments have more extensive information on diversion and diversion mitigation in their reporting templates. For example, national reports for the UN Programme of Action on Small Arms and Light Weapons request information on end-use/end-user documentation, contents and verification of such documents, and authentication and post-shipment controls. By comparison, question 7C.iv in the reporting template for ATT States Parties' initial report on treaty implementation 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.

Perhaps that is the desired outcome. It may be that it is not necessary to develop a specific template for diversion and allow States Parties the freedom to report on diversion along the lines that are most important for them, taking into account different contexts for different countries. Indeed, discussions in the Working Group on Effective Treaty Implementation indicate that there could be use in requesting information, within a new section of the ATT initial report, on "measures" to prevent and address diversion during the four stages of the transfer chain. The Working Group on Transparency and Reporting could take that direction and encourage revision of the templates to include such information. The Working Group on Transparency and Reporting could then compile that information on diversion, along with what has already been assembled as best or good practices and provide guidelines for all States Parties to implement at the national level. As discussions on developing a format for this report have stalled, however, it remains to be seen how reporting on diversion under Article 13(2) will develop.

⁹ ATT Working Group on Transparency and Reporting, "Draft Report to CSP4," (paper presented at the Fourth Conference of States Parties to the Arms Trade Treaty, August 2018), https://www.thearmstradetreaty.org/hyper-images/file/ATT_CSP4_WGTR_Co-chairs_report__EN/ATT_CSP4_WGTR_Co-chairs_report__EN.pdf.

LESSONS FROM THE ONLINE REPORTING TOOL

At the April 2019 preparatory committee meeting in advance of the fifth Conference of States Parties to the ATT, the treaty Secretariat reviewed the usage of the new online reporting tool. Currently, the reporting options follow the existing template, which although perhaps easier than flipping through hard copy pages, is still quite cumbersome to navigate. The Secretariat is pursuing creative IT solutions, which would allow more user-friendly navigation through the reporting template in the future – such as a series of tabs for each section.

The ATT Secretariat has integrated explanatory notes into the online reporting tool. States Parties can now find information bubbles that contain the information captured at the end of the word document version of the template. The long list of explanatory notes also still appears at the end of the reporting tool, as no changes to the text of the reporting template were made by the Secretariat prior to making the reporting tool available online, since the Secretariat has no mandate to change the template without CSP consent. For example, the “nil” report options appear at the end of the document for the annual report, which is not ideal for helping States Parties more efficiently navigate the online form. Similarly, it could be useful to include the UN Register definitions that appear in Annex 1 of the annual report in comment bubbles or hyperlinks where the terms appear in the annual report template. The annex would still appear in the online template in order to accurately represent the reporting template, as adopted.

Given the limitations of the templates in their current forms, there are some elements that remain challenging to navigate in an online reporting tool. It may be useful, then, to have testing and feedback on the online reporting tool from a dedicated user group (including both States Parties and non-government entities). More streamlined and clearer expectations for ATT reporting would benefit the online reporting tool as well.



RECOMMENDATIONS FOR IMPROVING ATT REPORTING TEMPLATES

The proposed mandate for the Working Group on Transparency and Reporting for September 2019 – August 2020 contained specific reference to the reporting templates and a workplan for identifying means to their improvement. Annex C of the working group’s draft report to CSP5 calls for participants to take “into account the inventory of comments and suggestions regarding the reporting templates and the online reporting tool...and with respect for article 13 of the Treaty, consider adjustments to the reporting templates deemed necessary to address uncertainties and inconsistencies to ensure compatibility between the online reporting tool and the proposed public searchable database that allows for queries and extracting data.”¹⁰ The recommendations that follow are intended to support that endeavor and supplement the inputs already received from States.

Three recommendations are relevant for both the initial and annual reporting templates in order to better facilitate transparency and compliance with reporting requirements:

- ▶ Rather than having a tick box with the statement “This Initial/Annual Report is available only to States Parties,” include a statement at the beginning that simply says, “This report may be made publicly available” and have the default of the report be “public.”
- ▶ Have the Secretariat send automatic “report due” reminders for both initial and annual reports.
- ▶ Include requests for the point of contact’s details for reporting as well as the person completing the submission for each submitted report.

The following recommendations in this report are grouped into the same framework as the challenges that were identified previously: format, language, and omissions for the initial reports, and format and language for the annual reports.

- ▶ **Format:** these recommendations make suggestions to the ways in which questions are phrased in order to clarify the type of information being sought and to standardize responses and make answers comparable.
- ▶ **Language:** these recommendations refer to more complete or clear rephrasing of particular questions that could allow States Parties to better understand what information is being sought and provide more comparable data.
- ▶ **Omissions:** these recommendations refer to specific areas that are currently absent from the reporting templates and that will allow a better understanding of good practice for treaty implementation.

¹⁰ ATT Working Group on Transparency and Reporting, Co-Chairs’ Draft Report to CSP 5, Annex C, 29 August 2019, ATT/CSP5. WGTR/2019/CHAIR/533/Conf.Rep.Rev1.

Recommendations for the Initial Report Template

Format

- ▶ Clarify that reports must include any measures undertaken in order to implement the ATT, regardless of the binding nature of the provision that is being implemented.
- ▶ Develop a process/form to more easily identify how and when States Parties update their reports with new measures, including clear notation on the treaty Secretariat’s website.
- ▶ Eliminate designation of information as “voluntary” in the reporting template.
- ▶ Disaggregate questions that have multiple elements. For example:

SECTION 2: Prohibitions, Questions A, B and C which currently read:

2. PROHIBITIONS

<p>A. The national control 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) (if ‘No’ in any respect, please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2) (please list below)</p>		
<p>C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3) (please list below - for instance if)</p>		

Could be changed to read:

Does your State prohibit transfers of conventional arms:

- 1
 If the transfer would violate obligations under measures adopted by the United Nations Security Council acting under Chapter VII, in particular arms embargoes.
- 2
 If the transfer would violate relevant international obligations under international agreements to which you are a party, in particular those relating to the transfer of, or illicit trafficking in, conventional arms. Please provide a list of the relevant international agreements to which you are a party.
- 3
 If you have knowledge at the time of authorization that the arms or items covered by your State’s legislation would be used in the commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which you are a Party. Please provide a list of the relevant international agreements to which you are a party.
- 4
 Elaborate on all measures your State undertakes and the processes in place to assess if such a transfer should be prohibited.

Language

- ▶ Remove the following terms in the bullet points under the last paragraph relating to the division of obligations on p. 1 of the reporting template:
 - [“and information on that topic should be provided in the initial report”]
 - [“In this case, information on the topic should be provided in the initial report. If the pre-requisites do not exist, the provision is deemed to be nonbinding. In this case information need not be provided unless measures have in fact been taken in the national context that fulfil such a provision.”]
 - [“Information should be provided if measures have been taken in the national context that fulfil this type of provision.”]
 - [“On a voluntary basis, more information may always be provided”]
- ▶ Make consistent use of “State” versus “country.”
- ▶ Make the following wording changes to the questions below:

SECTION 1: National Control System and List, Question J: change **Additional voluntary information about the national control system** to read **Additional information on national control system**

J. Additional voluntary information about the national control system (please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)

SECTION 3: Exports, Question O: change **Additional voluntary information relevant to national export controls** to **Additional information on national export controls**

O. Additional voluntary information relevant to national export controls (please specify below - for instance on the control of re-exports, or further detail on national measures indicated in 3A-D and F)

SECTION 4: Imports, Question D: change **Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure** to **Imports of conventional arms subject to regulation are under specific circumstances permitted without authorization procedure or under a simplified authorization procedure.**

D. Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure (if ‘Yes’ please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 4: Imports, Question H: change **Additional voluntary information relevant to national import controls** to **Additional information on measures to regulate arms imports**

H. Additional voluntary information relevant to national import controls (please specify below)

SECTION 5: Transit & Trans-shipment, Question C: change **Control measures for the regulation of transit and/or trans-shipment cover** to **Measures to regulate transit and/or transshipment include**

C. Control measures for the regulation of transit and/or trans-shipment cover : (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)		Yes	No
i)	Transit / trans-shipment through land territory (including internal waters)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Transit / trans-shipment through territorial waters	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 5: Transit & Trans-shipment, Question E change **Transit/Trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance, in a free trade area)** to **Transit/Transshipment of items covered by Article 2 of the ATT is permitted without regulation in the following circumstances**

E. Transit / trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance in a free trade area) (if 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 5: Transit & Trans-shipment, Question F: change **National Control or transit and or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty** to **National measures to regulate transit and/or transshipment include**

F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 5: Transit & Trans-shipment, Question J: change **Additional voluntary information relevant to national transit/trans-shipment controls** to **Additional information on measures to regulate arms transit/trans-shipment**

J. Additional voluntary information relevant to national transit / trans-shipment controls (please specify below)

SECTION 6: Brokering, Question D: change **National brokering controls contain exemptions (for instance for national armed forces or defense industry)** to **National measures to regulate brokering contain exemptions for the following circumstances**

D. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 & 10] (if 'Yes', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
---	------------------------------	-----------------------------

SECTION 6: Brokering, Question E: change **National brokering controls go beyond the fulfillment of obligations under Article 6 of the treaty (for instance regulating brokering in other situations)** to **National measures to regulate brokering include**

E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations) (if 'Yes', please specify the additional scope of control)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 6: Brokering, Question I: change **Additional voluntary information related to national brokering controls** to **Additional information on measures to regulate arms brokering**

I. Additional voluntary information relevant to national brokering controls (please specify below)

SECTION 8: Record Keeping, Question Ci is missing “import authorizations”

C. The national control system includes provisions for maintaining records regarding :		Yes	No
i)	imports of conventional arms covered under Article 2(1) of the Treaty into national territory as final destination [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>

► Remove the following terms for the questions listed below: ¹¹

SECTION 2: Prohibitions, Question A: if 'No' in any respect

2. PROHIBITIONS		
A. The national control 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) (if 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 3: Exports, Question A: if 'No' to any of the items above

3. EXPORTS			
A. The national control system includes the following:		Yes	No
i)	an authorization or licensing system for arms exports [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	export assessment criteria [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	a risk assessment procedure [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below			

SECTION 3: Exports, Question B: if 'No'

B. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (if 'No', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 3: Exports, Question C: if 'No'

C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (if 'No', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 3: Exports, Question D: if 'No' in any respect

D. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (if 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

¹¹ ICRC, ICRC Selected Views, ATT Working Group on Reporting Templates, 29 April 2016.

SECTION 3: Exports, Question F: if 'No'

<p>F. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)] (if 'No' please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

SECTION 3: Exports, Question N: if 'No'

<p>N. The national control system allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)] (if 'No', please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Omissions

- Do not include questions that cover measures falling outside the scope of the treaty, but do allow for elaboration in yes/no questions that provide context for implementation of treaty elements.

For example, eliminate question 2D: Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case. (if 'No' in any respect, please elaborate below) and change it to **What guidelines exist to undertake an assessment of transfer criteria?**

SECTION 2: Prohibitions, Question D

<p>ANNEX 1 INITIAL REPORTING TEMPLATE 17 July 2016</p>			
<p>D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case (if 'No' in any respect, please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

- Expand assistance questions in Section 12 to allow States Parties to more easily list areas in which they need or can provide assistance.

Recommendations for the Annual Report Template

Format

- ▶ Eliminate designation of information as “voluntary” in the reporting templates and require States Parties to provide information in all report sections.
- ▶ Provide a space for States Parties to explain why and what kind of information was kept confidential as an option beside each reporting category.
- ▶ Disaggregate the “comments on the transfer” column to include specific types of queries.
- ▶ Provide a column that allows States Parties to report on all weapons that are included in their national control lists, including those that are not covered by Article 2(1).
- ▶ Include national definitions of items as well as customs classifications as additional information.
- ▶ Prepare for eventual adoption of customs classifications within the ATT annual reports.
- ▶ Disaggregate the weapons included in the SALW category and provide descriptions of SALW to assist States in reporting in the correct category.

Language

- ▶ Change the title of Annex 1 from **UN Registry Definitions of Categories I-VII** to **UN Register of Conventional Arms Descriptions of Categories I-VII**.
- ▶ Rephrase “voluntary national categories” to “other” categories for reporting beyond the eight categories.

CONCLUSION

Significant progress has been made on the reporting templates in the various working groups and this momentum should be built upon. In some cases, States Parties could be asked to provide voluntary information on areas that are relevant to treaty implementation – such as essential and optional elements to include in end-use certificates. Many of these topics have been raised and discussed in the Working Group on Effective Treaty Implementation and could be included in an updated reporting template or provided by the ATT Secretariat for sharing in a separate section of the ATT portal.

States Parties should also acknowledge that in some cases they may not be in full treaty compliance when they fill out their reports. There is no judgement against such deficiencies, but these gaps in implementation need to be recognized in all aspects of reporting so that States Parties can identify where they need to improve their compliance efforts.

It is possible that States Parties need help fulfilling their reporting requirements. Final reporting templates should be clear, easily understandable, and provide a means to analyze data, identify good practice, facilitate cooperation, and support assistance. States Parties also need to determine how they can use the information contained in ATT reports to best support effective implementation and underscore the utility of ATT reporting. 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
- ▶ The Working Group on Transparency and Reporting or another subsidiary body could draw upon the contents of the initial and annual reports to identify areas for elaboration of good practices, which could include an information exchange.

The information provided in initial and annual reports should be analyzed and utilized in order to identify good practices in implementing the ATT as well as challenges to implementation. And ATT reporting should augment understandings of arms transfer controls around the world as well as global trends in arms flows. There are several examples where it is possible to find more information on key elements of a State's national transfer control system in sources other than the ATT initial report, such as national reports, reports submitted to the UN Programme of Action, or UN Security Council Resolution 1540 implementation matrices. Similarly, UNROCA reports at times contain different information than found in the ATT annual reports.

With the additional information found in other international and regional instruments, we can identify 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. For ATT reporting to live up to its promise, changes should be made to the reporting templates to support more effective and efficient reporting.

THE ARMS TRADE TREATY

REPORTING TEMPLATE

INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS TRADE TREATY, IN ACCORDANCE WITH ARTICLE 13(1)

This template is intended for use by States Parties to the Arms Trade Treaty when preparing their initial report in accordance with the Treaty's Article 13(1).

Article 13(1) requires States Parties to “*report to the Secretariat on any new measures undertaken to implement the Treaty, where appropriate*” and thus does not limit information-giving only to measures related to binding obligations in the Treaty. However, in terms of national implementation, binding obligations have a special significance. To highlight this, the template distinguishes between two types of information: (A) information which relates to binding obligations under the Treaty, and (B) information which relates to provisions in the Treaty which are estimated to be binding to a lesser degree, or non-binding. Where the template touches upon information related to the (B) type of provisions in the Treaty, the rows are shaded to make this distinction clear.

The shading does not indicate that certain information is purely voluntary, its purpose is to facilitate the use of this template as a diagnostic tool for assessing at the national level the need for implementation work to fulfil requirements of the Treaty. The un-shaded items are necessary to implement, the shaded items represent desirable features of a national control system - which under certain circumstances may also be necessary to implement.

The division of obligations into binding and non-binding has been undertaken - solely for the purpose of this Template - on the basis of a strict observance of the qualifiers included in the text of the Treaty. Thus,

- if a provision in the text is prefaced with “shall” only, it is considered binding and information on that topic should be provided in the initial report.
- if a provision in the text has qualifiers, such as “shall...subject to its national laws”, or “shall...pursuant to national law”, or “shall...consistent with national law”, or “shall...where necessary/appropriate”, then a binding obligation is deemed to exist if certain pre-requisites are fulfilled. In this case, information on the topic should be provided in the initial report. If the pre-requisites are not fulfilled, the provision is deemed to be non-binding. In this case information need not be provided unless measures have in fact been taken in the national context to comply with such a provision.
- if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding. This category also includes qualifiers such as “may include...” or actions to be initiated “by mutual consent” with another State Party. Information should be provided if measures have been taken in the national context that fulfil this type of provision.

On a voluntary basis, more information may always be provided.

Please note that Article 13.1 also requires States Parties to “*report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate*”. This template may be used to supply such updates as well. Only changes need then be indicated.

GOVERNMENT OF _____

INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS
TRADE TREATY, IN ACCORDANCE WITH ITS ARTICLE 13(1)

DATE OF SUBMISSION _____

This Initial Report is available only to States Parties	<input type="checkbox"/>
---	--------------------------

This Report contains only updates to a previously submitted initial report dated _____	<input type="checkbox"/>
--	--------------------------

1. NATIONAL CONTROL SYSTEM AND LIST

A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)			
B. The national control system includes the following:		Yes	No
i)	competent national authorities (further specified below) [Article 5(5)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	a control list [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below.			
C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)] (if 'No', please clarify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. The national control list covers the following:		Yes	No
i)	Battle tanks [Article 2(1a)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1b)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1c)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1d)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1e)]	<input type="checkbox"/>	<input type="checkbox"/>
vi)	Warships [Article 2(1f)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1g)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1h)]	<input type="checkbox"/>	<input type="checkbox"/>
The national control list also includes the following, in order to enable the application of Articles 3 and 4:		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>

x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below			
E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4] (if 'No', please elaborate further below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) & Preamble, 13th para]		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms			
G. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)] (If 'Yes', please specify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. Control list definitions are supplemented by more detailed definitions not in the control list itself [Article 5(3)] (If 'Yes', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
I. The national control list is publicly available [Article 5(4)] (if 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
J. Additional voluntary information about the national control system (please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			

2. PROHIBITIONS

A. The national control 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) (if 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2) (please list below)		
C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3) (please list below - for instance if)		

D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case (if 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to prohibitions under Article 6 (please elaborate below - for instance if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4)		

3. EXPORTS

A. The national control system includes the following:		Yes	No
i)	an authorization or licensing system for arms exports [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	export assessment criteria [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	a risk assessment procedure [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below			
B. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (if 'No', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (if 'No', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. The competent national authority(-ies) for the control of exports [Article 5(5)] (please specify below)			
F. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)] (if 'No' please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)] (if 'Yes' please elaborate below, including an indication of types of risk mitigation measures that are most often used)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. The national control system allows exports of controlled equipment without a		Yes <input type="checkbox"/>	No <input type="checkbox"/>

licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners] (if 'Yes' please provide further information below)		
I. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.D above (if 'Yes' please specify below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
J. Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)] (if 'Yes', please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
K. An export authorization can be reassessed if new relevant information becomes available [Article 7(7)] (if 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
L. Information / documentation included in an application for an export authorization (please specify below)		
M. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)] (please specify below)		
N. The national control system allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)] (if 'No', please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
O. Additional voluntary information relevant to national export controls (please specify below - for instance on the control of re-exports, or further detail on national measures indicated in 3A-D and F)		

4. IMPORTS

A. The national control system includes measures that allow the regulation, where necessary, of imports of conventional arms covered under Article 2(1) [ref Article 8(2)], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question		
B. The competent national authority(-ies) for the regulation of imports [Article 5(5)] (please specify below)		
C. The national control system allows for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist an export		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>

assessment by a potential exporting State Party [Article 8(1)] (if 'No', please elaborate below)		
D. Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure (if 'Yes' please provide further information below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)] (please specify below)		
G. Information / documentation required for an import authorization (please specify below)		
H. Additional voluntary information relevant to national import controls (please specify below)		

5. TRANSIT & TRANS-SHIPMENT

A. The national control system includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. The national control system includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. Control measures for the regulation of transit and/or trans-shipment cover : (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)	Yes	No
i) Transit / trans-shipment through land territory (including internal waters)	<input type="checkbox"/>	<input type="checkbox"/>
ii) Transit / trans-shipment through territorial waters	<input type="checkbox"/>	<input type="checkbox"/>
iii) Transit / trans-shipment through national air space	<input type="checkbox"/>	<input type="checkbox"/>
D. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]		

(please specify below)		
E. Transit / trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance in a free trade area) (if 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required) [Article 5(5)] (please specify below)		
I. Information / documentation required in an application for a transit / trans-shipment authorization (please specify below)		
J. Additional voluntary information relevant to national transit / trans-shipment controls (please specify below)		

6. BROKERING

A. The national control system includes measures that allow the regulation, pursuant to national laws, of brokering of conventional arms covered under Article 2(1) [ref Article 10], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10] (please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)		
C. The competent national authority(-ies) for the regulation of brokering [Article 5(5)] (please specify below)		
D. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 & 10] (if 'Yes', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations) (if 'Yes', please specify the additional scope of control)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)] (please specify below)				
H. Information / documentation required in an application related to brokering (please elaborate below)				
I. Additional voluntary information relevant to national brokering controls (please specify below)				

7. DIVERSION

A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	cooperation and information exchange, where appropriate and feasible and pursuant to national law, with other States Parties [Article 11(3)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>
B. The national control system includes appropriate measures to be taken, pursuant to national law and in accordance with international law, when a diversion of transferred conventional arms under Article 2(1) has been detected [Article 11(4)] (if 'No', please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :		Yes	No
iii)	establishment of mitigation measures [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
vi)	examination, where appropriate, of parties involved in a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	requirement, where appropriate, for additional documentation, certificates,	<input type="checkbox"/>	<input type="checkbox"/>

	assurances for a transfer [Article 11(2)]		
ix)	exchange of relevant information with other States Parties on effective measures to address diversion, as well as on illicit activities and actors [Articles 11(5) & 15(4)]	<input type="checkbox"/>	<input type="checkbox"/>
x)	reporting through the Secretariat to other States Parties on measures taken to address diversion of transferred conventional arms covered under Article 2(1) [Articles 11(6) & 13(2)]	<input type="checkbox"/>	<input type="checkbox"/>
xi)	other measures [Article 11(1)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]		Yes	No
i)	alerting potentially affected States Parties	<input type="checkbox"/>	<input type="checkbox"/>
ii)	investigative and law enforcement measures at the national level	<input type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Additional voluntary information relevant to the prevention of diversion of conventional arms (please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			

8. RECORD KEEPING

A. The national control system includes provisions for maintaining records regarding: [Article 12(1)] (it is mandatory to retain records for one of the two options below)		Yes	No
i)	issued authorizations for the export of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	actual exports of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input type="checkbox"/>	<input type="checkbox"/>
B. Records are kept for a minimum of 10 years [Article 12(4)] (if 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. The national control system includes provisions for maintaining records regarding :		Yes	No
i)	imports of conventional arms covered under Article 2(1) of the Treaty into national territory as final destination [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>

ii)	authorizations for the transit and/or trans-shipment through national territory of conventional arms covered under Article 2(1) of the Treaty [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	authorizations related to the conduct of brokering activities included in the scope of the national control system (for instance relating to a register of brokers) [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
D. Records cover other categories of conventional arms than those specified in Article 2(1) (if 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to national record keeping (please specify below - for instance types of information preserved in national records for exports and imports respectively)			

9. REPORTING

A. The national control system allows for the provision of information as required by Article 13(3) (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Additional voluntary information relevant to national reporting (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)		

10. ENFORCEMENT

A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)] (please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Additional voluntary information relevant to national enforcement (please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		

11. INTERNATIONAL COOPERATION

A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests [Article 15(1)] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Additional voluntary information relevant to participation in international cooperation (please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)		

12. INTERNATIONAL ASSISTANCE

A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1) (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. National regulations and policy allow the provision of financial resources to the voluntary trust fund established under Article 16(3) of the Treaty (if 'No', please elaborate below)		
C. Additional voluntary information relevant to the provision- or receipt of implementation assistance (please specify below - for instance regarding assistance provision capacities or assistance needs.)		

13. DISPUTE SETTLEMENT

A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1) (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2) (if 'No', please elaborate below)		
C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty (please specify below)		

THE ARMS TRADE TREATY REPORTING TEMPLATE

ANNUAL REPORT IN ACCORDANCE WITH ARTICLE 13(3) - EXPORTS AND IMPORTS OF CONVENTIONAL ARMS COVERED UNDER ARTICLE 2 (1)

This provisional template is intended for use by States Parties to the Arms Trade Treaty when preparing their annual report in accordance with the Treaty's Article 13(3).

The template has two main tables, one for exports and the other for imports. The tables are similar in construction, making it possible to have a common set of explanatory notes for both.

Article 5(3) of the Treaty states that "National definitions of any of the categories covered under Article 2 (1) (a)-(g) shall not cover less than the descriptions used in the United Nations Register of Conventional Arms at the time of entry into force of this Treaty". Against this background, Annex 1 reproduces the UN Registry Definitions of Categories I-VII at the time of the ATT's entry into force. For category VIII (small arms and light weapons), the UN Registry template for voluntary reporting of this category at the time of the ATT's entry into force has been employed as an approximation.

Annex 2 allows reporting States Parties to, if they so wish, include more specific information on national definitions of reported categories.

Annex 3 comprises two templates for nil reports, one for exports and one for imports. They may be used in place of a report in table format if a States Party has no transactions to report.

The title page of the template contains information on the submitting country and authority, but also a 'table of contents' in tick-box form, to indicate which of the different available forms have been included in the national submission. There is also a (voluntary) section where the reporting Government may indicate whether any commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty

On the title page of each of the four reporting forms (exports, imports, nil exports, nil imports) a State Party has the option of indicating that the form is for distribution only to other States Parties to the Treaty. This makes it possible to restrict access to some forms but not others, which provides an additional measure of flexibility to the reporting States Party.

GOVERNMENT OF _____

ANNUAL REPORT ON EXPORTS AND IMPORTS OF CONVENTIONAL ARMS, IN ACCORDANCE WITH ARTICLE 13(3) OF THE ARMS TRADE TREATY

REPORT FOR THE CALENDAR YEAR _____

National Point of Contact for this Report:

Name :	
Organisation :	
Fixed Phone :	
Mobile Phone :	
Fax :	
E-mail :	

Date of Submission :	
-----------------------------	--

Contents of report (check as appropriate)		Yes	No
i)	Nil report on exports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Nil report on imports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Annual report on exports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Annual report on imports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
v)	National definitions of categories of conventional arms reported	<input type="checkbox"/>	<input type="checkbox"/>

Scope of report (voluntary information)		Yes	No
In the submitted report, some commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty		<input type="checkbox"/>	<input type="checkbox"/>

17 July 2016

EXPORTS OF CONVENTIONAL ARMS¹

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

Reporting country :	Calendar Year :	Cutoff date ² :
---------------------	-----------------	----------------------------

In this report, the following definition of the term exports was used³ (check as appropriate) :

Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

This Annual Report on exports is available only to States Parties	<input type="checkbox"/>
---	--------------------------

Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³)								
I.	<input type="checkbox"/>	<input type="checkbox"/>						
Battle tanks								

Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
II. Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III. Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV. Combat Aircraft	<input type="checkbox"/>	<input type="checkbox"/>						
V. Attack helicopters	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
VI. Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII. Missiles & missile launchers	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
B. VIII. Small Arms and Light Weapons^{14,15}								
Small Arms (aggregated)¹⁶								
1.	<input type="checkbox"/>	<input type="checkbox"/>						
2.	<input type="checkbox"/>	<input type="checkbox"/>						
3.	<input type="checkbox"/>	<input type="checkbox"/>						
4.	<input type="checkbox"/>	<input type="checkbox"/>						
5.	<input type="checkbox"/>	<input type="checkbox"/>						
6.	<input type="checkbox"/>	<input type="checkbox"/>						
Light Weapons (aggregated)¹⁷								
	<input type="checkbox"/>	<input type="checkbox"/>						

ANNEX 2

ANNUAL REPORTING TEMPLATE

17 July 2016

Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Number of items ⁷	Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.		Value ⁸	Description of Item ⁸			Comments on the transfer ⁹	
1. Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>	4		5	6	7		
2. Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>							
3. Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>							
4. Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>							
5. Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>							
6. Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>							
7. Others	<input type="checkbox"/>	<input type="checkbox"/>							
C. Voluntary National Categories¹⁸ (please define in Annex 2)									
	<input type="checkbox"/>	<input type="checkbox"/>							
	<input type="checkbox"/>	<input type="checkbox"/>							
	<input type="checkbox"/>	<input type="checkbox"/>							
	<input type="checkbox"/>	<input type="checkbox"/>							
	<input type="checkbox"/>	<input type="checkbox"/>							
	<input type="checkbox"/>	<input type="checkbox"/>							

17 July 2016

IMPORTS OF CONVENTIONAL ARMS¹

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

Reporting country :	Calendar Year :	Cutoff date ² :
---------------------	-----------------	----------------------------

In this report, the following definition of the term imports was used³ (check as appropriate) :

Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

This Annual Report on imports is available only to States Parties	<input type="checkbox"/>
---	--------------------------

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

Category of arms ⁴ [I-VIII]	Authorised or actual imports ⁵		Extent of imports ⁶ (choose one or both)		Exporting State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
I	2	3	4	5	6	7	8	9
II. Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III. Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV. Combat aircraft	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
V. Attack helicopters	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
VI. Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII. Missiles & missile launchers	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
B. VIII. Small Arms and Light Weapons^{14, 15}								
Small Arms (aggregated)¹⁶	<input type="checkbox"/>	<input type="checkbox"/>						
1. Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>						
2. Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>						
3. Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5. Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
6. Others	<input type="checkbox"/>	<input type="checkbox"/>						
Light Weapons (aggregated)¹⁷	<input type="checkbox"/>	<input type="checkbox"/>						

ANNEX 2

ANNUAL REPORTING TEMPLATE

17 July 2016

1.	Category of arms ⁴ [I-VIII]	2		3		4		5		6	7	8	11	
		Auth.	Act.	Auth.	Act.	Number of items ⁷	Value ⁸	Exporting State ⁹	State of origin (if not exporter) ¹⁰				Description of Item	Comments on the transfer
1.	Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
2.	Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
3.	Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
4.	Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
5.	Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
6.	Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
7.	Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
C. Voluntary National Categories¹⁸ (please define in Annex 2)														
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									

EXPLANATORY NOTES

- 1) States Parties that do not have any exports and/or imports to report should file a "nil report" clearly stating that no exports/imports have taken place in any of the categories during the reporting period. Templates for such nil reports are included in Annex 3.
- 2) Date for collected statistics (for instance 30 June or 31 December).
- 3) Based on UN Registry practice. An international arms transfer could mean, in addition to the physical movement of equipment to or from national territory, the transfer of title to- and control over the equipment. Other criteria are also possible. States Parties should here provide a description of the national criteria used to determine, for control purposes, exactly when an arms transfer takes place.
- 4) As outlined in Articles 2 (1) (a)-(h) and 5(3). **For more precise definitions of the categories, see Annex 1.**
- 5) Article 13(3) allows reporting of either authorised or actual exports / imports. The choice can be made at the national level for a report as a whole or category by category. Please indicate by ticking the appropriate box for each category reported whether the value represents authorisations (Auth.) or actual exports (Act.). **It is highly desirable that national choices in this respect, once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both quantity and value may of course do so, but then needs to submit two tables, one for authorised exports / imports and the other for actual exports / imports.
- 6) The size of exports / imports may be indicated either as quantity or as value. The choice can be made at the national level for each category of arms, but, **once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both quantity and value may of course do so.
- 7) Standard UN Registry reporting variable. Please indicate unit, if not 'pieces'
- 8) Optional alternative. Please indicate unit (for example national currency)
- 9) In line with UN Registry practice
- 10) In line with UN Registry practice. NB: This is a shaded column, voluntary in terms of the obligations of the ATT
- 11) In line with UN Registry practice. In the first "Remarks" column, States Parties may, if they so wish, describe the item transferred by entering the designation, type, model or any other information considered relevant. The second column may be used to explain or clarify the nature of the transfer - for instance if it is temporary (e.g. for exhibitions or repairs), or if it is industrial in nature (perhaps intended for integration into a larger system). NB: These are shaded columns, voluntary in terms of the obligations of the ATT

- 12) As outlined in Article 2 (1) (a)-(g), See Annex 1 for the UN Registry's more precise definitions of the categories I-VII, including subcategories.
- 13) See Article 5(3)
- 14) As outlined in Article 2 (1) (h), with sub-categories taken from the UN Registry template for voluntary reporting of Small Arms and Light Weapons. This choice has been made provisionally, pending later agreement between States Parties on the desirability of using this or another UN definition of SALW sub-categories (for instance from the UN Firearms Protocol or the International Tracing Instrument - ITI). NB: The SALW sub-categories in this report are shaded, representing voluntary information in terms of the obligations of the ATT
- 15) "national definitions shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force of this Treaty" (Article 5(3))
- 16) In line with UN Registry practice, States Parties may choose between reporting small arms by sub-type or as an aggregate.
- 17) In line with UN Registry practice, States Parties may choose between reporting light weapons by sub-type or as an aggregate.
- 18) Article 5(3) encourages States Parties to apply the provisions of the Treaty to the broadest range of conventional weapons. Any such additional categories are voluntary and categories used may vary between States Parties. If provided at all, extra categories should be more precisely defined in Annex 2.

UN Registry Definitions of Categories I-VII¹

I. Battle tanks

Tracked or wheeled self-propelled armoured fighting vehicles with high cross-country mobility and a high-level of self-protection, weighing at least 16.5 metric tons unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre.

II. Armoured combat vehicles

Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and cross-country capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 millimetres calibre or a missile launcher.

III. Large-calibre artillery systems

Guns, howitzers, artillery pieces, combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 75 millimetres and above.

IV. Combat aircraft

- a) Manned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these aircraft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions;
- b) Unmanned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction.

The term “combat aircraft” does not include primary trainer aircraft, unless designed, equipped or modified as described above.

V. Attack helicopters

- a) Manned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions;
- b) Unmanned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons.

VI. Warships

Vessels or submarines armed and equipped for military use with a standard displacement of 500 metric tons or above, and those with a standard displacement of less than 500 metric tons, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.

VII. Missiles and missile launchers²

- a) Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this sub-category includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.
- b) Man-Portable Air-Defence Systems (MANPADS)³.

¹ Excerpted from the 2014 UN Registry reporting template

² Multiple-launch rocket systems are covered by the definition of category III.

³ MANPADS should be reported if the MANPAD system is supplied as a complete unit, i.e. the missile and launcher/Grip Stock form an integral unit. In addition, individual launching mechanisms or grip-stocks should also be reported. Individual missiles, not supplied with a launching mechanism or grip stock need not be reported.

ANNEX 2

Reporting country :		Calendar Year :	
----------------------------	--	------------------------	--

Specific (diverging or more detailed) national definitions of categories I-VIII
(or simple reference to initial report, if this information was provided there)

No	Description
I.	
II.	
III.	
IV.	
V.	
VI.	
VII.	
VIII.	

Definitions of voluntary national categories - Section C of table(s)
(or simple reference to initial report, if this information was provided there)

No	Description

**NIL REPORT
Exports of Conventional Arms¹**

Reporting country :		Calendar Year :	
----------------------------	--	------------------------	--

The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for exports from territory under our jurisdiction. This report serves to confirm that

<input type="checkbox"/>	no actual exports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place from territory under our jurisdiction during the reporting period indicated above.
<input type="checkbox"/>	no export authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.

This nil report on exports is available only to States Parties	<input type="checkbox"/>
--	--------------------------

ANNEX 3 B

**NIL REPORT
Imports of Conventional Arms¹**

Reporting country :		Calendar Year :	
----------------------------	--	------------------------	--

The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for imports from territory under our jurisdiction. This report serves to confirm that

<input type="checkbox"/>	no actual imports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place to territory under our jurisdiction during the reporting period indicated above.
<input type="checkbox"/>	no import authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.

This nil report on imports is available only to States Parties	<input type="checkbox"/>
--	--------------------------



Since its inception, ATT-BAP has been generously funded by the Governments of Australia, Ireland, the Netherlands, Norway, Switzerland, and the United Kingdom, as well as UNSCAR (the United Nations Trust Facility Supporting Cooperation on Arms Regulations). In addition, the project has engaged in partnerships with the UN Office for Disarmament Affairs and its regional centers, regional organizations including CARICOM and the European Union, and civil society organizations including the Center for Armed Violence Reduction (CAVR) and Control Arms. For more information, visit the Arms Trade Treaty-Baseline Assessment Project Portal at www.armstrade.info or contact us at ATT@stimson.org.

Rachel Stohl: rstohl@stimson.org

©2020 ATT Baseline Assessment Project. All rights reserved.

Produced by Masters Group Design

ARMSTRADE.INFO