

# ATT Reporting Obligations

AUGUST 2021

Arms  
Trade  
Treaty

Baseline Assessment Project

Article 13 of the ATT requires States Parties to complete and submit two reports to the ATT Secretariat:

- ▶ An initial report on treaty implementation, and to update that report as implementation measures change.
- ▶ An annual report on arms exports and imports undertaken in the previous calendar year, to be completed by 31 May each year.

## INITIAL REPORT ON ATT IMPLEMENTATION

**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.”



**DUE:** One year after the treaty’s entry into force for that State Party.



**CONTENTS:** Information on the measures a State Party takes to implement the ATT (Articles 2-16).

Such information includes details of relevant national laws; control lists; regulatory policies, processes, and systems; and other administrative measures.



**REPORTING FORMAT:**

States Parties may submit their initial reports in any format they choose, including the recommended reporting template developed by the Working Group on Transparency and Reporting, the online version of the recommended reporting template, national formats, or alternative formats – such as the Arms Trade Treaty-Baseline Assessment Survey. Initial reports, in any form, must be submitted to the ATT Secretariat.



**UPDATING INITIAL**

**REPORTS:** States Parties are required to report on updates made to their

national transfer control systems. Though no formal or standardized process yet exists for States Parties to update their initial reports to reflect changes to their national treaty implementation measures, States Parties should submit relevant updates to the ATT Secretariat.



**REPORTING SYNERGIES:**

UN PoA National Reports, UNSCR 1540 National Reports, National Reports.

# ANNUAL REPORT ON ARMS EXPORTS AND IMPORTS

**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.”



**DUE:** A State Party’s first annual report is due one year after the treaty’s entry into force for that State Party. The annual reports are due by 31 May every year thereafter. The

ATT Secretariat grants a 7-day grace period, creating a de facto deadline of 7 June each year.



**CONTENTS:** At a minimum, States Parties are required to provide information on authorized or actual exports and imports of the eight categories of conventional

weapons that fall within the ATT’s scope, as defined in Article 2.1 of the treaty. States Parties can provide information on other weapons as well as details and/or comments on transfers. States Parties may submit nil reports and may withhold commercially sensitive or national security-related information.



**REPORTING FORMAT:** States Parties may submit their annual report using any format they choose, including the recommended reporting template developed by the

Working Group on Transparency and Reporting, the online version of the recommended reporting template, their UNROCA reports, or national formats. Annual reports, in any form, must be submitted to the ATT Secretariat.



**REPORTING SYNERGIES:** Annual Reports to the UN Register of Conventional Arms (UNROCA), National Reports.

*For insights on tools and resources available to States Parties to support adherence to their ATT reporting requirements, see the factsheet on ATT Reporting Challenges.*