

STIMSON

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# ATT Implementation Checklist and Assistance Assessment



The ATT Implementation Checklist and Assistance Assessment supports States in conducting internal reviews of their existing measures that can facilitate implementation of the Arms Trade Treaty and the development of national action plans. It allows States to identify the progress they have made toward fulfilling the ATT’s obligations as well as identify gaps in compliance. The Checklist and Assessment covers 11 issue areas related to treaty implementation and allows States to quickly survey their current capacities, identify areas for further development, determine assistance needs and capabilities, and implement tailored solutions. States can use the Checklist and Assessment to develop proposals for the Voluntary Trust Fund or other assistance programs.

Please answer yes or no to the following questions.

**NATIONAL CONTROL SYSTEM AND LIST** [ATT Articles 2, 3, 4, 5]

Does your State:		Yes	No
1.	Have the capacity to effectively implement ATT provisions relating to national control systems and lists?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Maintain a national system for controlling or regulating:		
	a. Exports of arms and related items?	<input type="checkbox"/>	<input type="checkbox"/>
	b. Imports of arms and related items?	<input type="checkbox"/>	<input type="checkbox"/>
	c. Transit/transshipment of arms and related items?	<input type="checkbox"/>	<input type="checkbox"/>
	d. Brokering of arms and related items?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Maintain a national control list of conventional arms?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Maintain national definitions of items within the scope of the ATT that are not less than those in the UN Register of Conventional Arms?	<input type="checkbox"/>	<input type="checkbox"/>
5.	Make its national control list publicly available?	<input type="checkbox"/>	<input type="checkbox"/>
6.	Have a designated national point of contact for the ATT? If yes, please provide their contact information in the space below.	<input type="checkbox"/>	<input type="checkbox"/>
<div style="border: 1px solid black; height: 60px; width: 100%;"></div>			
7.	Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to national control systems and lists?	<input type="checkbox"/>	<input type="checkbox"/>

Is your State:		Yes	No
8.	Involved in cooperative measures with other States that will help to implement the ATT provisions relating to national control systems and lists?	<input type="checkbox"/>	<input type="checkbox"/>
9.	Intending to pursue cooperation with other States to implement ATT provisions relating to national control systems and lists?	<input type="checkbox"/>	<input type="checkbox"/>
10.	Likely to require assistance to effectively implement ATT provisions relating to national control systems and lists? If yes, please describe the types of implementation assistance your State is likely to require in the space below.  <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	<input type="checkbox"/>	<input type="checkbox"/>
11.	In a position to provide assistance to other States to support implementation of ATT provisions relating to national control systems and lists? If yes, please describe the types of implementation assistance your State could provide in the space below.  <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	<input type="checkbox"/>	<input type="checkbox"/>

**PROHIBITIONS** [ATT Article 6]

Does your State:		Yes	No
1.	Have the capacity to effectively implement ATT provisions relating to transfer prohibitions?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Prohibit transfers of conventional arms, ammunition, parts, and components in accordance with Article 6 of the ATT, including if: <ul style="list-style-type: none"> <li>a. The transfer would violate your State's obligations under measures adopted by the UN Security Council acting under Chapter VII of the UN Charter, in particular arms embargoes?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>

- b. The transfer would violate your State’s relevant international obligations under international agreements to which it is a Party, in particular those relating to the transfer of, or illicit trafficking in, conventional arms?
- c. Your State has knowledge at the time of authorization that the arms or items 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 it is a Party?

3. Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to transfer prohibitions?

**Is your State:** **Yes** **No**

4. Involved in cooperative measures with other States that will help to implement the ATT provisions relating to transfer prohibitions?

5. Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to transfer prohibitions?

6. Likely to require assistance to effectively implement ATT provisions relating to transfer prohibitions? If yes, please describe the types of implementation assistance your State is likely to require in the space below.

7. In a position to provide assistance to other States to support implementation of ATT provisions relating to transfer prohibitions? If yes, please describe the types of implementation assistance your State could provide in the space below.

## EXPORTS [ATT Articles 5, 7, 11, 12]

Does your State:	Yes	No
1. Have the capacity to effectively implement ATT provisions relating to arms export regulations?	<input type="checkbox"/>	<input type="checkbox"/>
2. Have a designated national authority responsible for regulating arms exports?	<input type="checkbox"/>	<input type="checkbox"/>
3. Take measures to regulate exports, including: <ul style="list-style-type: none"> <li data-bbox="331 575 1247 659">a. Ensure that all authorizations are detailed and issued prior to export?</li> <li data-bbox="331 680 1247 764">b. Always conduct a risk assessment prior to authorization of an arms export?</li> <li data-bbox="331 785 1247 1688">c. Include in its risk assessment the potential that the arms or items:               <ul style="list-style-type: none"> <li data-bbox="396 848 1247 890">i. Would contribute to or undermine peace and security?</li> <li data-bbox="396 911 1247 1688">ii. Could be used to commit or facilitate:                   <ul style="list-style-type: none"> <li data-bbox="493 974 1247 1016">1. A serious violation of international humanitarian law?</li> <li data-bbox="493 1037 1247 1079">2. A serious violation of international human rights law?</li> <li data-bbox="493 1100 1247 1226">3. An act constituting an offense under international conventions or protocols relating to terrorism to which your State is a Party?</li> <li data-bbox="493 1247 1247 1373">4. An act constituting an offence under international conventions or protocols relating to transnational organized crime to which your State is a Party?</li> <li data-bbox="493 1394 1247 1478">5. Serious acts of gender-based violence or serious acts of violence against women and children?</li> </ul> </li> </ul> </li> <li data-bbox="331 1499 1247 1583">d. Consider risk mitigation measures as part of its authorization process?</li> <li data-bbox="331 1604 1247 1688">e. Reassess an authorization if your State becomes aware of new and relevant information?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
4. Maintain records of actual arms exports?	<input type="checkbox"/>	<input type="checkbox"/>
5. Maintain records of arms export authorizations?	<input type="checkbox"/>	<input type="checkbox"/>

6. Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to arms export regulations?  Yes  No

Is your State:		Yes	No
7.	Involved in cooperative measures with other States that will help to implement the ATT provisions relating to arms export regulations?	<input type="checkbox"/>	<input type="checkbox"/>
8.	Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to arms export regulations?	<input type="checkbox"/>	<input type="checkbox"/>
9.	Likely to require assistance to effectively implement ATT provisions relating to arms export regulations? If yes, please describe the types of implementation assistance your State is likely to require in the space below.  <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	<input type="checkbox"/>	<input type="checkbox"/>
10.	In a position to provide assistance to other States to support implementation of ATT provisions relating to arms export regulations? If yes, please describe the types of implementation assistance your State could provide in the space below.  <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	<input type="checkbox"/>	<input type="checkbox"/>

**IMPORTS** [ATT Articles 5, 8, 11, 12]

Does your State:		Yes	No
1.	Have the capacity to effectively implement ATT provisions relating to arms import regulations?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Have a designated national authority responsible for regulating arms imports?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Take measures to regulate imports?	<input type="checkbox"/>	<input type="checkbox"/>

4. Have measures in place to ensure that appropriate and relevant information is available to exporting States as part of their export assessment process?

5. Maintain records of arms imports?

6. Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to arms import regulations?

**Is your State:** **Yes** **No**

7. Involved in cooperative measures with other States that will help to implement the ATT provisions relating to arms import regulations?

8. Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to arms import regulations?

9. Likely to require assistance to effectively implement ATT provisions relating to arms import regulations? If yes, please describe the types of implementation assistance your State is likely to require in the space below.

10. In a position to provide assistance to other States to support implementation of ATT provisions relating to arms import regulations? If yes, please describe the types of implementation assistance your State could provide in the space below.

**TRANSIT/TRANSSHIPMENT** [ATT Articles 5, 9, 11, 12]

**Does your State:** **Yes** **No**

1. Have the capacity to effectively implement ATT provisions relating to transit/transshipment regulations?



2. Have a designated national authority responsible for regulating arms transit and/or transshipment?

3. Take measures to regulate transit and/or transshipment under its jurisdiction?

4. Maintain records of arms that are authorized to transit and/or transship territory under its jurisdiction?

5. Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to transit/transshipment regulations?

**Is your State:** **Yes** **No**

6. Involved in cooperative measures with other States that will help to implement the ATT provisions relating to transit/transshipment regulations?

7. Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to transit/transshipment regulations?

8. Likely to require assistance to effectively implement ATT provisions relating to transit/transshipment regulations? If yes, please describe the types of implementation assistance your State is likely to require in the space below.

9. In a position to provide assistance to other States to support implementation of ATT provisions relating to transit/transshipment regulations? If yes, please describe the types of implementation assistance your State could provide in the space below.





## **BROKERING** [ATT Articles 5, 10]

Does your State:	Yes	No
1. Have the capacity to effectively implement ATT provisions relating to brokering regulations?	<input type="checkbox"/>	<input type="checkbox"/>
2. Have a designated national authority responsible for regulating arms brokering?	<input type="checkbox"/>	<input type="checkbox"/>
3. Take measures to regulate brokering taking place under your jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
4. Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to brokering regulations?	<input type="checkbox"/>	<input type="checkbox"/>

Is your State:	Yes	No
5. Involved in cooperative measures with other States that will help to implement the ATT provisions relating to brokering regulations?	<input type="checkbox"/>	<input type="checkbox"/>
6. Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to brokering regulations?	<input type="checkbox"/>	<input type="checkbox"/>
7. Likely to require assistance to effectively implement ATT provisions relating to brokering regulations? If yes, please describe the types of implementation assistance your State is likely to require in the space below. <div data-bbox="285 1203 1192 1367" style="border: 1px solid black; height: 78px; margin-top: 10px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>
8. In a position to provide assistance to other States to support implementation of ATT provisions relating to brokering regulations? If yes, please describe the types of implementation assistance your State could provide in the space below. <div data-bbox="285 1602 1192 1766" style="border: 1px solid black; height: 78px; margin-top: 10px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>

## **DIVERSION** [ATT Article 11]

<b>Does your State:</b>		<b>Yes</b>	<b>No</b>
1.	Have the capacity to effectively implement ATT provisions relating to diversion?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Take preventative measures to mitigate the risk of diversion of conventional arms? If yes, please elaborate in the space below.  <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Cooperate and exchange information with States to mitigate the risk of diversion?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Share information on effective measures to address diversion?	<input type="checkbox"/>	<input type="checkbox"/>
5.	Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to diversion?	<input type="checkbox"/>	<input type="checkbox"/>

<b>Is your State:</b>		<b>Yes</b>	<b>No</b>
6.	Involved in cooperative measures with other States that will help to implement the ATT provisions relating to diversion?	<input type="checkbox"/>	<input type="checkbox"/>
7.	Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to diversion?	<input type="checkbox"/>	<input type="checkbox"/>
8.	Likely to require assistance to effectively implement ATT provisions relating to diversion? If yes, please describe the types of implementation assistance your State is likely to require in the space below.  <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	<input type="checkbox"/>	<input type="checkbox"/>

9. In a position to provide assistance to other States to support implementation of ATT provisions relating to diversion? If yes, please describe the types of implementation assistance your State could provide in the space below.

**ENFORCEMENT** [ATT Articles 5, 14]

Does your State:	Yes	No
1. Have the capacity to effectively implement ATT provisions relating to enforcement?	<input type="checkbox"/>	<input type="checkbox"/>
2. Have a designated national authority responsible for enforcing arms transfer regulations?	<input type="checkbox"/>	<input type="checkbox"/>
3. Take measures to enforce national laws and regulations that implement the provisions of the ATT?	<input type="checkbox"/>	<input type="checkbox"/>
4. Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in implementing ATT provisions relating to enforcement?	<input type="checkbox"/>	<input type="checkbox"/>

Is your State:	Yes	No
5. Involved in cooperative measures with other States that will help to implement the ATT provisions relating to enforcement?	<input type="checkbox"/>	<input type="checkbox"/>
6. Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to enforcement?	<input type="checkbox"/>	<input type="checkbox"/>
7. Likely to require assistance to effectively implement ATT provisions relating to enforcement? If yes, please describe the types of implementation assistance your State is likely to require in the space below. <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. In a position to provide assistance to other States to support implementation of ATT provisions relating to enforcement? If yes, please describe the types of implementation assistance your State could provide in the space below.

## REPORTING [ATT Article 13]

Does your State:	Yes	No
1. Have the capacity to produce an initial report within one year of entry into force of the ATT on measures undertaken to implement the treaty?	<input type="checkbox"/>	<input type="checkbox"/>
2. Have the capacity to report on any new measures undertaken to implement the treaty?	<input type="checkbox"/>	<input type="checkbox"/>
3. Produce, or have the capacity to produce, annual reports of authorized or actual:		
a. Arms exports?	<input type="checkbox"/>	<input type="checkbox"/>
b. Arms imports?	<input type="checkbox"/>	<input type="checkbox"/>
4. Have the capacity to report on measures taken to address the diversion of transferred conventional arms?	<input type="checkbox"/>	<input type="checkbox"/>
5. Have designated national authorities for preparing and contributing to:		
a. Initial reports?	<input type="checkbox"/>	<input type="checkbox"/>
b. Annual reports?	<input type="checkbox"/>	<input type="checkbox"/>
c. Reports on measures taken to address diversion?	<input type="checkbox"/>	<input type="checkbox"/>
6. Have processes or procedures in place to coordinate the work of the various offices/ministries/agencies/etc. involved in reporting?	<input type="checkbox"/>	<input type="checkbox"/>
Is your State:	Yes	No
7. Involved in cooperative measures with other States that will help to implement the ATT provisions relating to reporting?	<input type="checkbox"/>	<input type="checkbox"/>

8. Intending to pursue cooperative measures with other States that will help to implement the ATT provisions relating to reporting?

9. Likely to require assistance to effectively implement ATT provisions relating to reporting? If yes, please describe the types of implementation assistance your State is likely to require in the space below.

10. In a position to provide assistance to other States to support implementation of ATT provisions relating to reporting? If yes, please describe the types of implementation assistance your State could provide in the space below.

## **INTERNATIONAL ASSISTANCE** [ATT Article 16]

Is your State:	Yes	No
1. Likely to require any other types of ATT implementation assistance that are not already addressed above? If yes, please describe the other types of assistance your State is likely to require in the space below.	<input type="checkbox"/>	<input type="checkbox"/>

2. In a position to provide to other States any other types of ATT implementation assistance that are not already addressed above? If yes, please describe the other types of assistance your State could provide in the space below.