

# Arms Trade Treaty Checklist

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|                  |  |
|------------------|--|
| State Name:      |  |
| Completed by:    |  |
| Position / Date: |  |

Once completed, please return this form to:  
[att@stimson.org](mailto:att@stimson.org)  
 or by post to  
 Rachel Stohl  
 1111 19<sup>th</sup> Street NW  
 Twelfth floor  
 Washington, DC 20036  
 United States

## 1 NATIONAL CONTROL SYSTEM AND LIST

[Articles 2, 3, 4 and 5]

|  | Yes                      | No                       | N/A                      | Do not know              |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| <b>Does your State:</b>  |                          |                          |                          |                          |
| 1. Maintain a national system for controlling or regulating:   |                          |                          |                          |                          |
| a. Exports   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Imports   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Transit and transshipment   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Brokering   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Maintain a national control list of conventional arms?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| a. Maintain national definitions of items within the scope of the Treaty that are not less than those in the United Nations Register of Conventional Arms? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Make the national control list publicly available?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 2 EXPORTS

[Articles 5, 7, 11 and 12]

|   | Yes                      | No                       | N/A                      | Do not know              |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| <b>Does your State:</b>   |                          |                          |                          |                          |
| 1. Have a designated authority responsible for implementing controls on arms exports?       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Take measures to ensure that all authorizations are detailed and issued prior to export? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Reassess an authorization if your State becomes aware of new and relevant information?   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Maintain records of arms export authorizations?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Maintain records of actual arms exports?   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 3 IMPORTS

[Articles 5, 8, 11 and 12]

|                         | Yes | No | N/A | Do not know |
|-------------------------|-----|----|-----|-------------|
| <b>Does your State:</b> |     |    |     |             |

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|  |                          |                          |                          |                          |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. Have a designated authority responsible for regulating arms imports?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Take measures to regulate imports?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Have measures in place to ensure that appropriate and relevant information is available to exporting States as part of their export assessment process? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Maintain records of arms imports?   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 4 TRANSIT/TRANSHIPMENT

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Articles 5, 9, 11 and 12]

**Does your State:**

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. Have a designated authority responsible for regulating arms transit and /or transshipment?                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Take measures to regulate transit and/or transshipment under its jurisdiction?                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Maintain records of arms that are authorized to transit and/or transship territory under its jurisdiction? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 5 ARMS BROKERING

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Articles 5 and 10]

**Does your State:**

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. Have a designated authority responsible for implementing controls on arms brokering? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Take measures to regulate brokering taking place under your jurisdiction?            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 6 PROHIBITIONS

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Article 6]

**Does your State:**

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. Prohibit transfers of conventional arms in accordance with article 6 of the ATT? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|--------------------------|--------------------------|

## 7 RISK ASSESSMENT

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Articles 7 and 11]

**Does your State:**

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. Always conduct a risk assessment prior to authorization of an arms export?   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Include the criteria elaborated in article 7 of the ATT in your national assessment prior to granting an export authorization? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Consider risk mitigation measures as part of its authorization process?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 8 Diversion

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

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[Article 11]

| <b>Does your State:</b>   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. Take preventative measures to mitigate the risk of diversion of conventional arms? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Cooperate and exchange information with States to mitigate the risk of diversion?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Share information on effective measures to address diversion?                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 9 ENFORCEMENT

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Articles 5 and 14]

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| <b>Does your State:</b>   |                          |                          |                          |                          |
| 1. Have a designated authority responsible for enforcing arms transfer controls?                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Take measures to enforce national laws and regulations that implement the provisions of the ATT? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 10 TRANSPARENCY

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Articles 12 and 13]

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| <b>Does your State:</b>   |                          |                          |                          |                          |
| 1. Have the capacity to provide an initial report within one year of entry into force on measures undertaken in order to implement the ATT? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Produce an annual report on authorized or actual arms exports?   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Produce an annual report on authorized or actual arms imports?   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Have legal impediments to the reporting requirements under the ATT?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Have capacity to report on measures taken to address the diversion of transferred conventional arms?                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Have a designated a national contact point for the ATT?  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 11 INTERNATIONAL COOPERATION

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Article 15]

|  |                          |                          |                          |                          |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| <b>Is your State:</b>  |                          |                          |                          |                          |
| 1. Involved in cooperative measures that will help to implement the ATT? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Intending to pursue cooperation to implement the ATT?                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 12 INTERNATIONAL ASSISTANCE

| Yes | No | N/A | Do not know |
|-----|----|-----|-------------|
|-----|----|-----|-------------|

[Article 16]

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| <b>Is your State:</b>   |                          |                          |                          |                          |
| 1. Likely to require assistance to implement the provisions of the ATT?                                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. In a position to provide assistance to other States to enable implementation of the provisions of the ATT? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

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