

# Arms Trade Treaty

Baseline Assessment Project



## **The Known Unknowns:** Examining the 2018 ATT Annual Reports

OCTOBER 2019

# The Arms Trade Treaty-Baseline Assessment Project (ATT-BAP)

aims to assist States in understanding the obligations of the ATT and to promote effective implementation. ATT-BAP supports efforts to assist States in implementing the treaty and to ensure that reporting on the ATT is comprehensive and robust. 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 longterm effectiveness. These tools are also utilized for identifying State capacity and resource needs, including the identification of critical gaps and available resources to implement the ATT. The tools include a Ratification Checklist, the ATT-BAP Baseline Assessment Survey, the ATT-BAP Portal and country profile database, guidance for completing initial and annual reports, and a national transfer controls database.

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## INTRODUCTION

In 2013, the United Nations General Assembly adopted the international Arms Trade Treaty (ATT) with the aim of contributing to international peace and security and reducing human suffering caused by the irresponsible and illicit arms trade. The treaty represents the only legally binding instrument to regulate the global arms trade and promote transparency and accountability in arms transfer decisions. The treaty advances these objectives in its requirement for States Parties to annually report on their arms exports and imports. This report examines the 2018 ATT annual reports, which were submitted to the ATT Secretariat by 10 September 2019, and captures information provided by ATT States Parties on their arms exports and imports that occurred during the 2018 calendar year. In analyzing the 2018 ATT annual reports, this report begins to identify emerging reporting trends and patterns, and establishes questions regarding ATT reporting efforts in terms of their value and impact.

### **Article 13 - Reporting**

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.
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).
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.

## METHODOLOGY

Information analyzed throughout this report is derived from the 49 publicly available annual reports provided on the ATT Secretariat's website as of 10 September 2019.<sup>1</sup> Due to the timing of this report, the analysis only covers submissions for the first nine months of 2019 and therefore should not be compared to the total number of reports submitted for previous years (which include late report submissions). The report also benefited from insights provided by the ATT Secretariat on States Parties' compliance with reporting obligations.

This report is divided into three sections. Section one reviews the status of reporting for the 2018 ATT annual reports and provides a comparison with previous years. Section two highlights reporting practices and identifies trends in how States Parties are reporting on their arms exports and imports. Section three examines broader transparency trends and compares the 2018 ATT annual reports with reports to the UN Register of Conventional Arms (UNROCA).



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<sup>1</sup> States Parties have the option of restricting access to their submitted reports so that only other States Parties may view them. States wishing to have restricted, or private, reports, must indicate their preference on their reporting form.

## STATUS OF REPORTING

Ninety-Two States Parties were required to submit a 2018 annual report on arms exports and imports by 31 May 2019. As of 10 September 2019, 57 of these States Parties had done so, representing a compliance rate of approximately 62 percent. This is higher than the reporting rate for the 2017 annual report for the same timeframe (through 7 September 2018), which was 57 percent. An additional State Party, Chile, also submitted a 2018 annual report even though it was not required to do so, bringing the total number of States Parties to submit 2018 ATT annual reports to 58.

Forty-Eight percent of States Parties required to submit a 2018 ATT annual report did so on time, taking into consideration the seven-day grace period provided by the ATT Secretariat to States Parties that sets an on-time reporting deadline of 7 June each year. This is an increase from the on-time reporting rate of 42 percent for 2017. Although the number of 2018 annual reports thus far received matches the number of 2017 annual reports submitted to the ATT Secretariat, the overall compliance rate for the 2018 annual reports is lower than previous years because more States Parties are required to submit a 2018 report than in previous years. Given that States Parties can, and likely will, continue to submit 2018 annual reports over the coming months, as indicated by reporting practices of previous years, the overall compliance rate may increase as more States Parties submit their 2018 annual reports during 2019 or even 2020.<sup>2</sup>

**Table 1: ATT Annual On-Time Reporting Rates (Percent of Reports Due)**

2015	2016	2017	2018
46%	41%	42%	48%

**Table 2: ATT Annual Overall Reporting Compliance Rates (Percent of Reports Due)**

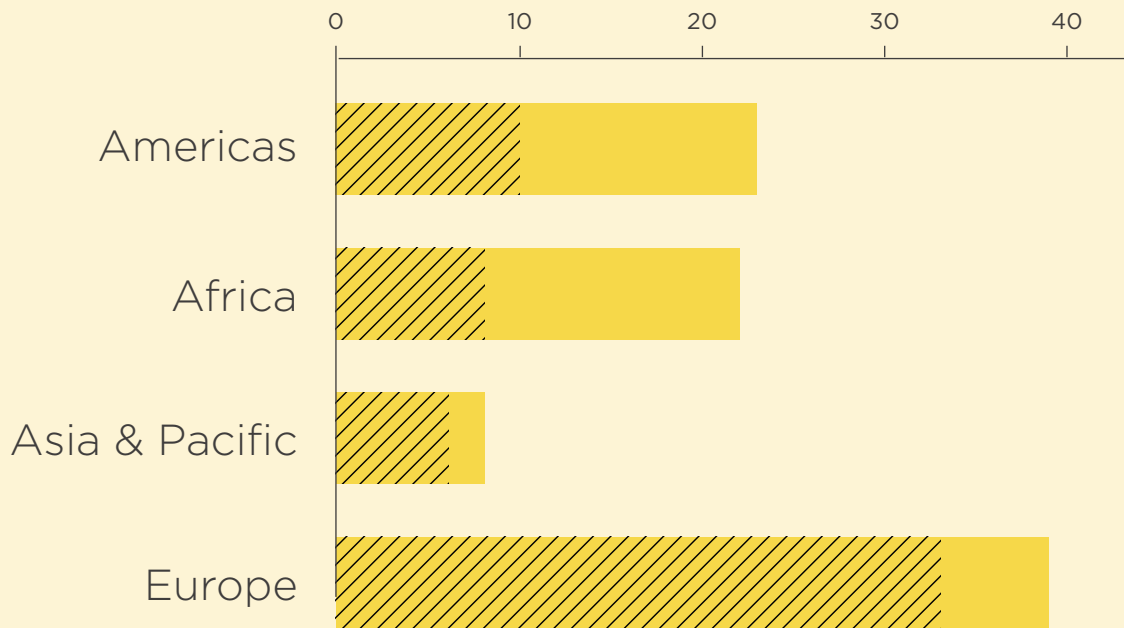
2015	2016	2017	2018 (through 10 September 2019)
80%	71%	65%	62%

Three States Parties were due to submit their first ATT annual report by 31 May 2019. All three of these States Parties – Benin, Honduras, and the Republic of Korea – met their reporting requirements. Additionally, two States Parties – Chile and Nigeria – reported on their annual arms exports and imports to the ATT for the first time. Nigeria was due to begin reporting to the ATT Secretariat on its annual arms exports and imports as early as 2015 and has only just done so. By comparison, Chile is not required to submit an ATT annual report until 2020 and elected to begin reporting early.

<sup>2</sup> The St. John's Declaration of Commitment that resulted from a meeting of CARICOM Members that are States Parties to the Arms Trade Treaty held in Antigua and Barbuda 13-15 August 2019 included a pledge to submit their annual reports by 15 October 2019.

## REGIONAL REPORTING RATES

2018 ANNUAL REPORTS

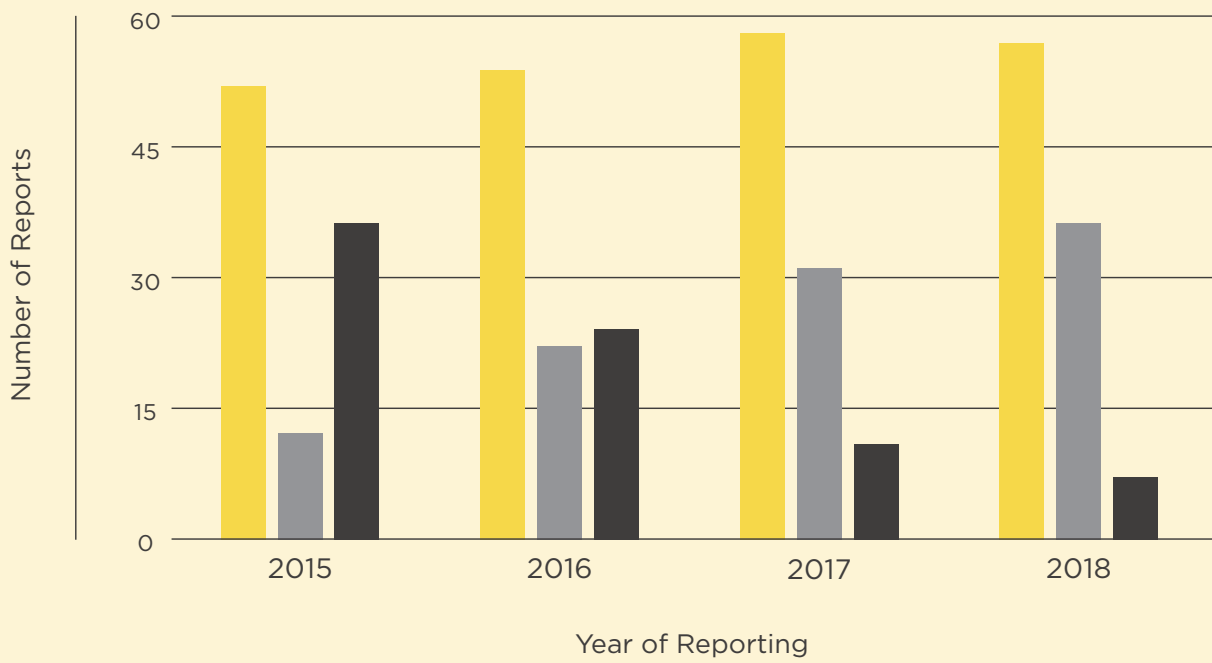


REPORTS DUE

REPORTS SUBMITTED



## ATT REPORTING TRENDS



REPORTS SUBMITTED



REPORTS DUE BUT NOT SUBMITTED

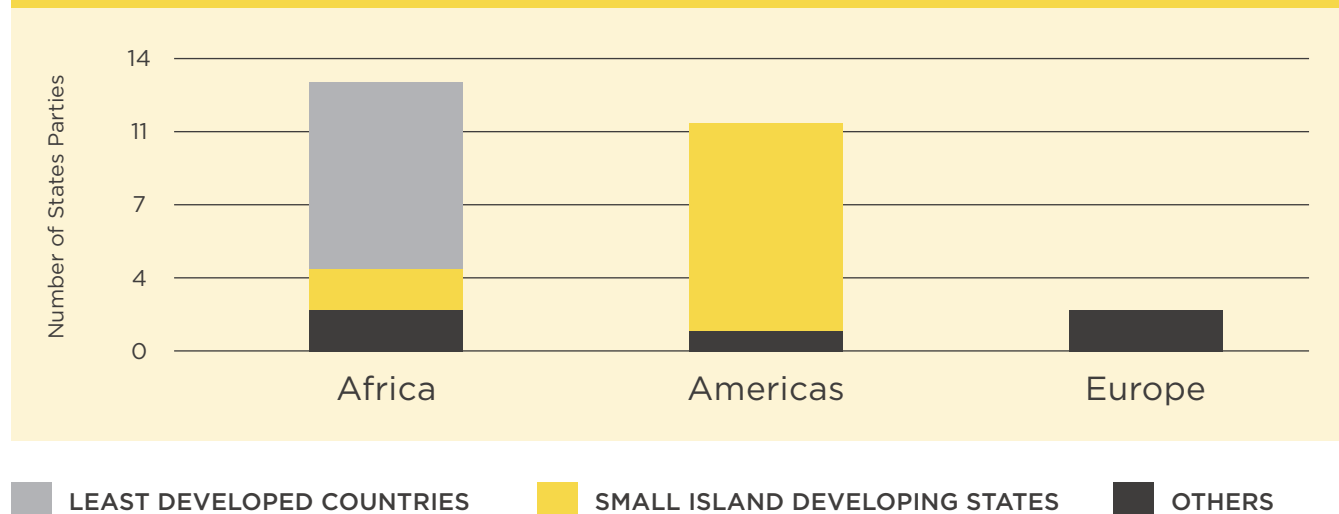


STATES PARTIES NOT REQUIRED TO REPORT



PHOTO: US AIR FORCE

## HISTORICALLY ABSENT ATT REPORTERS



Nine States Parties that submitted at least one ATT annual report in either 2015, 2016, and/or 2017 did not submit a 2018 ATT annual report by 10 September 2019. These nine States Parties are: Burkina Faso, Croatia, Cyprus, Denmark, El Salvador, Georgia, Luxembourg, Malta, and Tuvalu. Of these nine States Parties, three (Burkina Faso, Cyprus, and Tuvalu) have previously submitted their reports late. In addition, two of these States Parties (Cyprus and Luxembourg) did submit a 2018 UNROCA report.

Twenty-Six States Parties have never reported on their arms exports and imports to the ATT Secretariat, despite being required to submit an ATT annual report for multiple years (including for 2018). Of these States Parties, 13 are from Africa, 11 are from the Americas, and 2 are from Europe.<sup>3</sup> Furthermore, 9 of these 26 States Parties are among the least developed countries, according to UN figures, and 12 represent small island developing states.<sup>4</sup>

While all but two (Cabo Verde and Guinea) of these 26 States Parties have experience reporting on annual arms exports and imports in other forums – particularly through UNROCA – most have not done so since the early 2000s, before the ATT entered into force. The most recently submitted UNROCA reports from these 24 countries were submitted in 2014 by Grenada. Iceland, San Marino, and Trinidad and Tobago last submitted UNROCA reports in 2013.

<sup>3</sup> States Parties that have never submitted an annual report on arms exports and imports to the ATT Secretariat include: Antigua and Barbuda, Bahamas, Belize, Cabo Verde, the Central African Republic, Chad, Cote d'Ivoire, Dominica, Ghana, Grenada, Guatemala, Guinea, Guyana, Iceland, Lesotho, Mali, Mauritania, Niger, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, San Marino, Seychelles, Togo, Trinidad and Tobago, and Zambia.

<sup>4</sup> The nine States Parties that represent LDC countries are: The Central African Republic, Chad, Guinea, Lesotho, Mali, Mauritania, Niger, Togo, and Zambia. The twelve States Parties that represent SIDS are: Antigua and Barbuda, Bahamas, Belize, Cabo Verde, Dominica, Grenada, Guyana, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Seychelles, and Trinidad and Tobago. States Parties that do not fit within the LDC and SIDS categories are: Cote d'Ivoire, Ghana, Guatemala, Iceland, and San Marino.

**Table 3: ATT Annual Reporting Practices**

ATT State Party	2015 Annual Report	2016 Annual Report	2017 Annual Report	2018 Annual Report
Albania	✓	✓	✓	✓
Antigua and Barbuda				
Argentina	✓	✓	🔒	✓
Australia	✓	✓	✓	✓
Austria	✓	✓	✓	✓
Bahamas				
Barbados	--			
Belgium	✓	✓	✓	✓
Belize	--			
Benin	--	--	--	✓
Bosnia and Herzegovina	✓	✓	✓	✓
Botswana	--	--	--	--
Brazil	--	--	--	--
Bulgaria	✓	✓	✓	✓
Burkina Faso	✓	✓	✓	
Cabo Verde	--	--		
Cameroon	--	--	--	--
Canada	--	--	--	--
Central African Republic	--	--		
Chad	--			
Chile	--	--	--	✓*
Costa Rica	✓	✓	✓	✓
Cote d'Ivoire	--			
Croatia	✓	✓	✓	
Cyprus	--	--	🔒	
Czech Republic	✓	✓	✓	✓
Denmark	✓	✓	✓	
Dominica	--			
Dominican Republic	✓	✓	✓	✓
El Salvador	✓	✓	✓	
Estonia	✓	✓	✓	✓
Finland	✓	✓	✓	✓
France	✓	✓	✓	✓
Georgia	--	--	✓	🔒
Germany	✓	✓	✓	✓
Ghana	--	--		
Greece	--	✓*	🔒	🔒
Grenada				
Guatemala	--	--		
Guinea				
Guinea Bissau	--	--	--	--
Guyana				

ATT State Party	2015 Annual Report	2016 Annual Report	2017 Annual Report	2018 Annual Report
Honduras	--	--	--	🔒
Hungary	✓	✓	✓	✓
Iceland				
Ireland	✓	✓	✓	✓
Italy	✓	✓	✓	✓
Jamaica	✓	✓	✓	✓
Japan	✓	✓	✓	✓
Kazakhstan	--	--	--	--
Latvia	✓	✓	✓	✓
Lebanon	--	--	--	--
Lesotho	--	--		
Liberia	✓*	🔒		🔒
Liechtenstein	✓	✓	✓	✓
Lithuania	✓	✓	✓	🔒
Luxembourg	✓	✓	✓	
Madagascar	--	--	🔒	🔒
Mali	✓			
Malta			✓	
Mauritania	--			
Mauritius	--	✓	✓	🔒
Mexico	✓	✓	✓	✓
Monaco	--	--	✓	✓
Montenegro	✓	✓	✓	✓
Mozambique	--	--	--	--
Netherlands	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓
Niger	--			
Nigeria				🔒
North Macedonia	✓	✓	✓	✓
Norway	✓	✓	✓	✓
Palau	--	--	--	--
Panama	✓	🔒	✓	✓
Paraguay	✓*	✓		✓
Peru	--	--	✓	✓
Poland	✓	✓	✓	✓
Portugal	✓	✓	✓	✓
Republic of Korea	--	--	--	✓
Republic of Moldova	--	✓	✓	✓
Romania	✓	✓	✓	✓
Saint Kitts and Nevis				
Saint Lucia				
Saint Vincent and the Grenadines				
Samoa	✓	✓	✓	✓

ATT State Party	2015 Annual Report	2016 Annual Report	2017 Annual Report	2018 Annual Report
San Marino	--			
Senegal	✓	🔒	✓	🔒
Serbia	✓	✓	✓	✓
Seychelles	--	--		
Sierra Leone	✓	✓	✓	✓
Slovakia	🔒	✓	✓	✓
Slovenia	✓	✓	✓	✓
South Africa	✓	✓	✓	✓
Spain	✓	✓	✓	✓
State of Palestine	--	--	--	--
Suriname	--	--	--	--
Sweden	✓	✓	✓	✓
Switzerland	✓*	✓	✓	✓
Togo	--	--		
Trinidad and Tobago				
Tuvalu	--		✓	
United Kingdom	✓	✓	✓	✓
Uruguay	✓	✓		✓
Zambia	--	--		
<b>Total Submitted Reports</b>	<b>52</b>	<b>54</b>	<b>58</b>	<b>58</b>

#### TABLE KEY

- ✓ Submitted a report
- \* Submitted a report but was not required to do so
- 🔒 Submitted a private report
- (blank) Report due but not submitted
- Report not due
  
- States Parties that are not yet required to submit an annual report
- States Parties that have never submitted an ATT annual report despite being required to do so



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## REPORTING PRACTICES AND TRENDS

### PUBLIC VS. PRIVATE REPORTS

Of the 58 reporting States Parties that submitted their 2018 ATT annual reports, 9 elected to keep their reports private, thereby making their reports available only to States Parties. The States Parties that submitted private reports were: Georgia, Greece, Honduras, Liberia, Lithuania, Madagascar, Mauritius, Nigeria, and Senegal. Many of these States Parties have previously provided publicly available reports (see Table 4). For example, Georgia's first annual report in 2017 was public, while its 2018 report has been kept private. And Greece has submitted private reports for the past two years, though it elected to keep its 2016 ATT annual report public. Similarly, when Liberia first began reporting to the ATT Secretariat on its annual arms exports and imports, it elected to keep its 2015 ATT annual report public. Since then, however, Liberia has either reported privately or not submitted an annual report. Lithuania and Mauritius submitted private reports for the first time this year, having previously submitted publicly available annual reports to the ATT Secretariat. Senegal also chose to keep its 2018 annual report private, although it previously chose to keep its 2015 and 2017 reports public. Two States Parties, Greece and Lithuania, kept their 2018 ATT annual reports private despite reporting publicly on annual arms transfers in their most recent (2018) UNROCA reports.

By comparison, only four States Parties elected to keep their 2017 ATT annual reports private, three States Parties elected to keep their 2016 annual reports private, and one State Party elected to keep its 2015 annual report private.

**Table 4: Public vs Private Reporting (2017-2018)**

State Party	Status of 2017 Annual Report	Status of 2018 Annual Report
Argentina	Private	Public
Cyprus	Private	Has not submitted
Georgia	Public	Private
Greece	Private	Private
Honduras	No report due	Private
Liberia	No report submitted	Private
Lithuania	Public	Private
Madagascar	Private	Private
Mauritius	Public	Private
Nigeria	No report submitted	Private
Senegal	Public	Private

The 2018 reports demonstrate a trend towards increased private reporting, which could foreshadow a negative trend in transparency. It is unclear as to why States Parties are electing to keep their reports private or are alternating their submissions of public and private reports. For some, it may indicate confusion with the reporting template. Alternatively, States Parties could experience fluctuating national security circumstances and/or decisions to withhold sensitive commercial information. The person completing the report for a given country may also change from year to year, which could also explain changes in reporting practices. Whatever the reason, the trend towards more restricted access to annual reporting undermines the treaty's goal of transparency.

## **USE OF THE REPORTING TEMPLATE**

For the first time, States Parties could submit their annual reports using the ATT Secretariat's online reporting tool. Of the 49 public reports for 2018, 10 States Parties submitted their reports using the online tool. Thirty-seven States Parties utilized the ATT reporting template and two States Parties, France and the United Kingdom, submitted alternative versions, using their UNROCA reports.

## **NIL REPORTS**

Ten States Parties (Benin, Chile, Dominican Republic, Monaco, North Macedonia, Panama, Peru, Samoa, Sierra Leone, and Uruguay) submitted "nil" reports for arms exports, indicating that they did not export any weapons during the 2018 calendar year. Mexico indicated that it submitted a nil report for exports of conventional arms but reported on small arms and light weapons (SALW) exports. One State Party, Paraguay, did not indicate that it submitted a nil report, but did not report on any arms exports for 2018.

Two States Parties, Samoa and Sierra Leone, submitted "nil" reports for arms imports. Bosnia and Herzegovina and Uruguay both indicated that they submitted nil reports for imports of conventional arms but provided information on SALW imports.

Two States Parties, Samoa and Sierra Leone, submitted "nil" reports for both arms exports and imports.

As they have in previous years' reports, two States Parties, Austria and the United Kingdom, only reported on arms exports and did not submit information on imports, though neither indicated they were submitting a nil report for arms imports. Moreover, neither State Party provided an explanation as to why they did not report on arms imports, despite the obligation to do so.

## NATIONAL SECURITY AND COMMERCIAL SENSITIVE INFORMATION

Fourteen States Parties (Argentina, Australia, Bulgaria, Chile, Dominican Republic, Finland, Ireland, Italy, Mexico, Norway, Republic of Korea, South Africa, Sweden, and Uruguay) indicated that they withheld some commercially sensitive and/or national security-related data from their 2018 annual reports in accordance with Article 13.3 of the ATT. Seven of these fourteen States Parties similarly indicated that they withheld such information in their 2017 ATT annual reports (Bulgaria, Dominican Republic, Finland, Italy, Norway, South Africa, and Sweden). Seven of the fourteen States Parties withheld such information in their 2016 annual reports as well (Dominican Republic, Finland, Ireland, Italy, Norway, Sweden, and Uruguay) and four of those States Parties withheld such information in their 2015 annual reports (Australia, Bulgaria, Dominican Republic, and Sweden).

Sweden remains the only State Party that indicated in all four of its ATT annual reports that information had been withheld.

## NATIONAL DEFINITIONS

Seven States Parties (Albania, Bosnia and Herzegovina, Germany, New Zealand, South Africa, Sweden, and Switzerland) indicated that they provided information on national definitions of arms covered by the annual report. Additionally, though France did not use the ATT reporting form to indicate that its report provided information on national definitions, it did include a parliamentary report within its 2018 ATT annual report submission, which contains descriptions of different weapons categories.

By comparison, six States Parties indicated that they provided information on national definitions in their 2017 ATT annual reports, nine States Parties indicated as such in their 2016 annual reports, and eleven States Parties did so in their 2015 annual reports.



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## ANNUAL ARMS EXPORTS AND IMPORTS

### EXPORTS

#### ► Actual and/or Authorizations for Exports

Twenty-Four States Parties indicated that they had reported on exports of major conventional weapons.<sup>5</sup> Of these, 17 reported on actual exports and 6 reported on authorizations.<sup>6</sup> One State Party, Bosnia and Herzegovina, did not indicate whether its reported exports were authorizations or actual exports.

Thirty-Seven States Parties reported on exports of SALW. Of these States Parties, 21 reported on actual exports and 13 reported on authorizations.<sup>7</sup> One State Party (Bosnia and Herzegovina) did not indicate actual exports or export authorizations and two States Parties (Austria and Portugal) marked both actual and authorizations for their reported SALW exports.<sup>8</sup>

Two States Parties (Portugal, with the exception of one SALW transfer reported as actual, and Switzerland) reported actual exports for the first seven categories of weapons covered by the ATT and authorizations for SALW exports.

#### ► Number of Items Exported and/or Value of Exports

Twenty-Four States Parties reported the number of items exported and 13 States Parties reported on both the number and value of items exported, though to varying extents.<sup>9</sup> While there was some variation in how and when States Parties both reported number and value, no State Party only reported on the value of items exported. However, Belgium, which largely reported both number and value, had an exception with regard to SALW under the voluntary national category, where it only reported value.

**Figure 1: Australia reported on the exact number of items exported and aggregated the value of exports within a given category**

Category of arms <sup>4</sup> [I-VIII]	Authorised or actual exports <sup>5</sup>		Extent of exports <sup>6</sup> (choose one or both)		Final importing State <sup>9</sup>	State of origin (if not exporter) <sup>10</sup>	Remarks <sup>11</sup>	
	Auth.	Act.	Number of items <sup>7</sup>	Value <sup>8</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
II. Armoured combat vehicles	<input checked="" type="checkbox"/>	<input type="checkbox"/>	a) 4 b) 2 c) 5 d) 5	>\$6.1 m	a) Japan b) Malaysia c) New Zealand d) Tonga			

<sup>5</sup> "Major conventional weapons" refers to the first seven categories of weapons captured in Article 2.1 of the ATT: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft, attack helicopters, warships, and missiles and missile launchers.

<sup>6</sup> The following States Parties reported on actual exports of major conventional weapons: Austria, Bulgaria, Czech Republic, Finland, Germany, the Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, South Africa, Spain, Sweden, and Switzerland. The following six States Parties reported on authorizations of major conventional weapons exports: Australia, Belgium, France, Italy, Republic of Korea, and the United Kingdom.

<sup>7</sup> The following States Parties reported on actual exports of SALW: Argentina, Bulgaria, Costa Rica, Czech Republic, Finland, Germany, Hungary, Japan, Latvia, Liechtenstein, Montenegro, the Netherlands, Norway, Poland, Romania, Serbia, Slovakia, Slovenia, South Africa, Spain, and Sweden. The following States Parties reported on SALW export authorizations: Albania, Australia, Belgium, Estonia, France, Ireland, Italy, Jamaica, New Zealand, Republic of Korea, Republic of Moldova, Switzerland, and the United Kingdom.

<sup>8</sup> Portugal primarily reported on authorizations for SALW exports, but on one occasion it reported on the actual export of 159 sub-machine guns to Cabo Verde.

<sup>9</sup> The following States Parties reported on the number of items exported: Albania, Argentina, Bulgaria, Costa Rica, Czech Republic, Estonia, Finland, France, Germany, Hungary, Jamaica, Liechtenstein, the Netherlands, New Zealand, Poland, Republic of Korea, Romania, Serbia, Slovakia, South Africa, Spain, Sweden, Switzerland, and the United Kingdom. The following States Parties reported on both the number and value of items exported: Australia, Austria, Belgium, Bosnia and Herzegovina, Ireland, Italy, Japan, Latvia, Montenegro, Norway, Portugal, Republic of Moldova, and Slovenia.

### ► Information on Importing State

Nearly all 24 States Parties that reported on exports of major conventional weapons provided information on the importing State(s). Italy is the only State Party that recorded exports of major conventional weapons but did not indicate the importing State(s) for such transfers.

Thirty-Six of the 37 States Parties that reported on exports of SALW provided information on the importing State for each transfer. Italy is the only State Party that reported on SALW exports but did not indicate the importing State(s) for such transfers. One State Party (Jamaica) aggregated final importing States for three of the four exports reported, so it is not clear how many of a given item were authorized for export to a given State.

### ► Origin of Conventional Arms, If Not Exporting State

Four States Parties indicated a State of origin other than the exporting State for major conventional weapons exports that occurred in the 2018 calendar year.<sup>10</sup> By comparison, six States Parties provided such information in their 2017 ATT annual reports.

Eight States Parties<sup>11</sup> indicated a State of origin other than the exporting State for certain SALW exports in their 2018 ATT annual reports, compared to nine that did so in their 2017 ATT annual reports, five that did so in their reports on transfers conducted in 2016, and six that did so in their reports on transfers conducted in 2015.

### ► Description of Conventional Arms

Seventeen States Parties included a description of at least some of the major conventional weapons systems they exported during the 2018 calendar year. The number of States Parties providing descriptions is comparable to previous years: 19 States Parties provided such information in their 2017 ATT annual reports, 19 States Parties did so in their 2016 reports, and 17 States Parties provided such information in their 2015 reports.

Twenty States Parties included a description of at least some of their SALW exports for 2018. By comparison, 22 States Parties provided such information in their 2017 ATT annual reports, 18 States Parties did so for at least some of their reported transfers in 2016, and 15 did so for some of their SALW transfers in 2015. Often States Parties provided information on the type of system and detailed technical specifications for the system. Some States Parties also noted when the system was for sporting, hunting, and/or exhibition purposes.

**Figure 2: Albania provided specifications about the type of small arms exported to China using the description column in the ATT reporting template**

B. VIII. Small Arms and Light Weapons <sup>14, 15</sup>								
Small Arms (aggregated) <sup>16</sup>		<input type="checkbox"/>	<input type="checkbox"/>					
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>					
2.	Rifles and carbines	<input checked="" type="checkbox"/>	<input type="checkbox"/>	53.100		Austria	China	SKS Carbines 7.62 x 39mm For sale in the EU civilian market

<sup>10</sup> The following States Parties indicated a State of origin other than the exporting State for their 2018 major conventional weapons exports: Belgium, the Netherlands, Serbia, and Slovenia.

<sup>11</sup> The following States Parties indicated a State of origin other than the exporting State for their 2018 SALW exports: Albania, Hungary, Latvia, Montenegro, Republic of Moldova, Romania, Serbia, and Slovenia.

## ► Comments on Transfer

Nine States Parties provided “comments on transfer” for at least some of their exports of major conventional systems in 2018. Fifteen States Parties provided “comments on transfer” for at least some of their SALW exports.

The number of States Parties providing comments on SALW exports continued to increase slightly from previous years. Thirteen States Parties provided “comments on transfer” for some of their SALW exports in their 2017 ATT annual reports, 10 States Parties did so in their 2016 annual reports, and 11 States Parties did so in their 2015 ATT annual reports. However, the number of States providing comments on transfer of major conventional weapons does not appear to have an upward trend.

**Figure 3: Hungary provided insights on intended end use for SALW exports**

B. VIII. Small Arms and Light Weapons <sup>14, 15</sup>									
Small Arms (aggregated) <sup>16</sup>		<input type="checkbox"/>	<input checked="" type="checkbox"/>						
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input checked="" type="checkbox"/>	12		Germany		semiautomatic pistols	
		<input type="checkbox"/>	<input checked="" type="checkbox"/>	1		Slovenia		semiautomatic pistols	for civilian purposes
2.	Rifles and carbines	<input type="checkbox"/>	<input checked="" type="checkbox"/>	107		Romania		hunting & sporting rifles	for civilian purposes (sports&hunting)
				6		Romania		shotguns (pump action, semiautomatic)	for civilian purposes (sports&hunting)
				5		Canada		GM6 Lynx Antimateriel rifle	for civilian use
				2		Egypt		GM6 Lynx Antimateriel rifle	for testing by the Egyptian MoD
				8		USA		GM6 Lynx Antimateriel rifle	for civilian use
				138		Croatia		hunting & sporting rifles	for civilian purposes (sports&hunting)
				1		Slovenia		hunting & sporting rifles	for civilian purposes (sports&hunting)
				150		Slovakia		SA85 semiautomatic rifles	for civilian purposes (sports&hunting)
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"/>						



## IMPORTS

### ▶ Actual and/or Authorizations for Imports

Twenty-Two States Parties reported on imports of major conventional weapons. Of these, 16 reported on actual imports and four reported on authorizations.<sup>12</sup> Two States Parties, Chile and Finland, did not indicate whether it reported on authorizations or actual imports.

Forty-Three States Parties reported on imports of SALW. Of these States Parties, 24 reported on actual imports of SALW and 13 reported on import authorizations.<sup>13</sup> One State Party (Portugal) reported on both actual imports and authorizations, and two States Parties (Australia and Bosnia and Herzegovina) did not indicate whether their reported imports were authorizations or actual imports. Furthermore, it is unclear if three States Parties (Dominican Republic, North Macedonia, and Uruguay) reported on actual imports or authorizations, as they marked both boxes for corresponding transfers in their reporting forms.

Two States Parties, Austria and the United Kingdom, did not provide any information on their conventional weapons or SALW imports. Neither State Party indicated that they submitted a “nil” report for imports.

### ▶ Number of Items Imported and/or Value of Imports

Thirty-Two States Parties reported the number of items imported and 10 States Parties reported both the number and value of items imported in their 2018 ATT annual reports. Sweden indicated that the number of major conventional systems imported was classified, thereby signaling the type of information withheld for reasons of national security or commercial sensitivity.

### ▶ Information on Exporting State

All 22 States Parties that provided information on imports of major conventional weapons included information on the exporting State(s).

Thirty-Nine of the 43 States Parties that reported on SALW imports provided information on the exporting State(s) for each transfer, representing approximately 90 percent of reporting States Parties. The four States Parties that did not provide information on exporting State(s) are: Australia, Dominican Republic, Italy, and Monaco.

Some States Parties continued to aggregate information on the exporting State(s) for their 2018 SALW imports, either in part or in full. Such practices hinder assessments of compliance with ATT Articles 6 and 7 as a result of limited information on which countries transferred what items. For example, Australia identified the exporting State for imports of major conventional systems, but simply wrote “various” under the exporting State column for SALW. Jamaica identified a group of exporting States for imports of a particular system but did not attribute specific transfers to specific exporting States (see figure 4). Thus, we are unable to tell how many items came from a given exporter.

<sup>12</sup> The following States Parties reported on actual imports of major conventional weapons: Argentina, Australia, Belgium, Bulgaria, Czech Republic, Germany, Hungary, Japan, Latvia, the Netherlands, Norway, Poland, Serbia, Slovakia, South Africa, and Sweden. The following States Parties reported on authorizations for imports of major conventional weapons: Estonia, Republic of Korea, Republic of Moldova, and Switzerland.

<sup>13</sup> The following States Parties reported on actual imports of SALW: Albania, Argentina, Belgium, Benin, Bulgaria, Costa Rica, Czech Republic, France, Hungary, Japan, Latvia, Mexico, Montenegro, the Netherlands, Norway, Panama, Peru, Poland, Romania, Serbia, Slovakia, Slovenia, South Africa, and Spain. The following States Parties reported on authorizations for imports of SALW: Estonia, Finland, Germany, Ireland, Italy, Jamaica, Liechtenstein, Monaco, New Zealand, Paraguay, Republic of Korea, Republic of Moldova, and Switzerland.

**Figure 4: Jamaica aggregated information on exporting States for its 2018 arms imports**

B. VIII. Small Arms and Light Weapons <sup>14, 15</sup>									
Small Arms (aggregated) <sup>16</sup>		<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

**► Origin of Conventional Arms, If Not Exporting State**

Three States Parties (Hungary, Latvia, and Serbia) provided information on the origin of major conventional weapons imported during the 2018 calendar year, if not from the exporting State.

Eleven States Parties (Albania, Argentina, Hungary, Latvia, Mexico, Montenegro, North Macedonia, Paraguay, Romania, Serbia, and Slovenia) provided information on the origin of SALW imported in 2018, if not the exporting State.

**► Description of Conventional Arms**

Fourteen States Parties provided a description of at least some of the major conventional systems imported during the 2018 calendar year. By comparison, 18 States Parties provided a description of at least some imported conventional arms in their 2017 ATT annual reports.

Twenty-Seven States Parties provided a description of at least some of their SALW imports during the 2018 calendar year, compared to twenty-five that did so in their 2017 ATT annual reports.

**► Comments on Transfer**

Eight States Parties provided “comments on transfer” for imports of major conventional weapons in their 2018 ATT annual reports. By comparison, six States Parties included comments on at least some of the items imported during the 2017 calendar year.

Sixteen States Parties provided “comments on transfer” for at least some of their 2018 SALW imports. Twelve States Parties provided such information on SALW imports in their 2017 ATT annual reports.

## REPORTING TO THE UN REGISTER OF CONVENTIONAL ARMS<sup>14</sup>

Under Article 13.3 of the ATT, States Parties are permitted to submit their UNROCA report as their ATT annual report. Two States Parties, France and the United Kingdom, appear to have done so for their 2018 ATT annual reports, providing information as captured in their 2018 UNROCA submissions. Reporting trends to UNROCA suggest a varied relationship with the ATT reporting requirement, as some ATT States Parties appear to have revitalized their UNROCA reporting habits in recent years since the ATT took effect, while others appear to be reporting to UNROCA less often. Therefore, the relationship between ATT and UNROCA reporting, and the mechanisms for transparency surrounding annual arms transfers more broadly, deserve further examination in the coming years.<sup>15</sup>

It is worth noting that the number of reports submitted to UNROCA appears to have decreased for 2018 arms exports and imports compared to previous years. Whereas 46 States submitted their 2017 UNROCA reports, 31 did so for their 2018 UNROCA reports. Twenty-Five of the States Parties required to submit a 2018 ATT annual report submitted a 2018 UNROCA report. Cyprus submitted to UNROCA but has not yet submitted a 2018 ATT annual report to the ATT Secretariat. The lack of ATT States reporting to UNROCA raises the question as to whether ATT reporting may be replacing UNROCA participation for some governments.

However, there are potentially positive trends regarding the synergies between UNROCA and ATT reporting. Several ATT States Parties appear to have renewed their UNROCA reporting habits after the ATT entered into force and the treaty's reporting requirements took effect, which may indicate that the ATT is having a positive impact on transparency in arms trade reporting. The UNROCA 2019 Group of Governmental Experts addressed closer cooperation between the UN and ATT Secretariats in order to facilitate greater reporting in both instruments.<sup>16</sup> Ten ATT States Parties submitted reports to UNROCA after multi-year hiatus.<sup>17</sup> For example, Senegal and Suriname submitted reports to UNROCA in 2017 following extended gaps in reporting, with Senegal last submitting a UNROCA report in 2006 and Suriname last providing one in 2010. Similarly, the Dominican Republic reported to UNROCA in 2018, the first time the country had done so since 2010.

Interestingly, Greece and Lithuania submitted publicly available reports to UNROCA but made their 2018 ATT annual reports private. This indicates that some States Parties could, and do in fact, report additional information to the ATT that they do not report under UNROCA. For example, Switzerland reports civilian firearms to the ATT but not to UNROCA.

It is also worth noting that three additional ATT States Parties – Brazil, Canada, and Suriname – submitted UNROCA reports, capturing information on 2018 arms exports and imports. None of these States Parties were required to submit a 2018 ATT annual report. This potentially portends a positive annual reporting effort for these new States Parties.

<sup>14</sup> The data on 2018 UNROCA reports included in this section are based on information provided in the UNROCA database, accessed 14 September 2019, available at [www.unroca.org](http://www.unroca.org). The authors recognize that some UNROCA reports are missing from the database.

<sup>15</sup> On this point, it is worth noting that the 2019 Group of Governmental Experts (GGE) on the UNROCA reflected the connection between ATT and UNROCA reporting in a more positive light than previous GGEs in 2013 and 2016. For reference, see: United Nations General Assembly, *Report on the Continuing Operations of the United Nations Register of Conventional Arms and Its Further Development*, 22 July 2019, UN Document A/74/211, <https://undocs.org/A/74/211>.

<sup>16</sup> United Nations General Assembly, *Report on the Continuing Operations of the United Nations Register of Conventional Arms and Its Further Development*, 22 July 2019, UN Document A/74/211, paras. 45, 100.

<sup>17</sup> For purposes of this comparison, these ten States Parties are: Australia, Argentina, Dominican Republic, Ireland, Romania, Republic of Moldova, Senegal, Serbia, South Africa, and Suriname. For more information on UNROCA reporting patterns of these States Parties, see their original reports at [www.unroca.org](http://www.unroca.org).



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## CONCLUSION

Nearly five years after the ATT entered into force, trends and patterns are starting to develop around ATT reporting obligations:

- ▶ Although we've seen an increase in on-time reporting, less than half of States Parties meet the reporting deadline.
- ▶ The number of reports received is likely to increase, but more reports are due each year, with far less than universal adherence to this mandatory obligation.
- ▶ More States Parties are opting to keep their reports private than ever before.
- ▶ We are also seeing an increase in the number of States Parties that indicate that they are withholding national security or commercially sensitive information from their reports.
- ▶ Moreover, repeatedly we've seen that certain States Parties do not report on imports but provide no indication of their rationale for withholding required information.

In 2020, the ATT will have accumulated five years of reporting data on annual arms exports and imports. The milestone marks an appropriate time to review ATT reporting and identify changes to reporting templates, methods, guidance, and expectations. ATT reporting is essential to ensuring the ATT meets its potential and has an impact in identifying patterns in the global arms trade. Is the ATT fulfilling its promise? Do we have increased transparency of the global arms trade? The questions raised in the annual reports can shed light on what we know and do not know about implementation of the ATT. The Working Group on Transparency and Reporting has developed an ambitious agenda to support States in meeting their ATT reporting obligations. And, civil society has developed significant expertise, tools, and capacity to support States in their reporting endeavors. If States commit the political will, reporting may indeed serve the purpose for which it was intended—to build confidence and increase transparency.



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