



UNDERSTANDING ATT REPORTING CHALLENGES:

Guidance and Recommendations
to Strengthen ATT Reporting

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The Stimson Center's 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 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, Implementation Checklist and Assistance Assessment, the ATT-BAP Baseline Assessment Survey, guidance for completing initial and annual reports, and numerous analytical reports.

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The brief was authored by Rachel Stohl and Natalie Bramlett.



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INTRODUCTION

The Arms Trade Treaty (ATT) is the first global, legally-binding instrument to regulate the international trade in conventional arms. The treaty, which entered into force in 2014, aims to mitigate the harm caused by irresponsible and illicit arms transfers by establishing common standards for all international transfers of conventional arms.

Transparency is the cornerstone of the ATT. Article 1 of the treaty includes “promoting cooperation, transparency and responsible action by States Parties in the international trade in conventional arms, thereby building confidence among States Parties” as an element of the treaty’s object and purpose.¹ In support of its transparency aims, the treaty requires two mandatory reports. ATT States Parties are required to develop an initial report on measures undertaken to implement the treaty and to update that report as needed, and to report annually on arms exports and imports undertaken during the previous 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.

BENEFITS OF ATT REPORTING

Comprehensive and consistent reporting is a critical element of the ATT – essential not only for international oversight of potentially destabilizing arms transfers but also for the assessment of State national arms control systems, insight into regional and global arms flows, and the promotion of cooperation and confidence among States Parties. There are numerous benefits to ATT reporting, including:

- ▶ To indicate how States Parties interpret and implement the treaty’s obligations;
- ▶ To provide an opportunity for States Parties to assess their national control systems, identify gaps, and make adjustments to their national controls as needed;

¹ ATT Secretariat, “Treaty Text.” <https://thearmstradetreaty.org/treaty-text.html?templateId=209884>.

- ▶ To identify good practices and offer insights into common definitions and patterns in national control measures;
- ▶ To ascertain assistance needs and identify States Parties that may be in a position to provide such assistance;
- ▶ To evaluate treaty compliance and the extent to which the treaty is meeting its goal of strengthening arms transfer regulations, improving transparency, and ultimately mitigating harm;
- ▶ To facilitate national assessments of treaty compliance, particularly related to export and import decisions;
- ▶ To support efforts to monitor whether State transfers comply with international human rights and humanitarian law;
- ▶ To provide information to support bilateral or multilateral consultations on arms transfer decisions;
- ▶ To develop a better understanding of legally transferred arms that can be used to identify potential arms trafficking routes; and
- ▶ To contribute to the detection of early warning indicators of potential conflict (including weapons accumulations).

After ten years of treaty implementation, reporting trends and practices have emerged. Reporting compliance is not universal, with only 82% of ATT States Parties required to submit an initial report having done so.² Annual reporting compliance rates have steadily decreased since reporting began, and as of 1 August 2025, 48 States Parties (or 42 percent of the 113 States required to have submitted at least one annual report) had either never submitted an annual report or had at least one outstanding report.³

For more than a decade, Stimson's ATT Baseline Assessment Project (ATT-BAP) has sought to assist States Parties, the ATT Secretariat, and other relevant stakeholders in their efforts to enhance ATT reporting by contributing to a better understanding of States Parties' reporting obligations and experiences. This assistance provides insights into existing reporting processes and practices, the challenges States Parties face in fulfilling their reporting obligations, and the good practices they have developed to overcome recurring challenges. ATT-BAP research and analysis has identified three key insights into barriers to effective ATT reporting. First, States are usually well-equipped to identify and understand their own reporting challenges. Second, barriers to consistent and holistic reporting are often country-specific. Third, the fundamental issue behind many reporting challenges is a lack of resources and capacity.

This report outlines the types of interventions that implementing partners – the ATT Secretariat, the ATT Working Group on Transparency and Reporting (WGTR), States Parties, regional organizations, and civil society, among others – could undertake to improve ATT reporting. The report is organized around the four main types of obstacles to consistent, comprehensive, and transparent ATT reporting: (1) Awareness and Understanding of ATT Obligations, (2) Capacity and Resource Challenges, (3) Internal and Bureaucratic Challenges, and (4) Political and Security Challenges.

² ATT Secretariat, "Initial Reports," accessed 1 August 2025. <https://thearmstradetreaty.org/initial-reports.html?templateId=209839date>.

³ ATT Secretariat, "Annual Reports," accessed 1 August 2025. <https://thearmstradetreaty.org/annual-reports.html?templateId=209826>.

Section 1 applies this framework to initial ATT reporting and Section 2 focuses on annual reporting. Each section presents the specific challenges as reported by States Parties and provides potential solutions and recommendations to the challenges States Parties face in fulfilling their reporting obligations. The report concludes with an analysis of the challenges faced by the ATT community in translating interventions from concept to practice and explores strategies for encouraging and facilitating the successful implementation of these interventions. Annex I provides a detailed, longer-form list of the recommendations contained in the body of the report. Annex II supplies a list of practical resources developed by the ATT community (including States Parties, the ATT Secretariat, the WGTR, and civil society) to aid States Parties in understanding ATT reporting requirements and in preparing reports. Annex III includes the questionnaire developed and sent to non-reporting ATT States Parties during the original research process.

METHODOLOGY

This report utilizes insights from Stimson’s previous research, analysis, and reports on ATT reporting experiences,⁴ ATT reporting data and information contained in publicly available initial and annual reports as provided on the ATT Secretariat’s website as of 1 August 2025,⁵ and outreach to non-reporting ATT States Parties. The report differentiates between challenges to initial and annual reports and provides recommendations for each type of report.

The report also draws from information gleaned from outreach to ATT States Parties that have never submitted an initial or annual report to the ATT Secretariat. Throughout 2024 and in the early months of 2025, States Parties that have had reporting challenges were provided a short questionnaire (see Annex III) that sought information on domestic practices to support ATT reporting, barriers to ATT reporting, and use of existing reporting resources. Only two States had returned a completed questionnaire to the Stimson team as of the completion of this report.



PHOTO: © MATT L / FLICKR

⁴ Arms Trade Treaty Baseline Assessment Project, “Taking Stock of ATT Reporting Trends and Challenges,” Stohl et al., (2022). <https://www.stimson.org/2022/taking-stock-of-att-reporting-trends-and-challenges/>; Arms Trade Treaty Baseline Assessment Project, “Lessons Learned From ATT Reporting,” Stohl, (2019). <https://www.stimson.org/2019/lessons-learned-from-att-reporting-2019/>; Arms Trade Treaty Baseline Assessment Project, “The Arms Trade Treaty and the Caribbean Community: Towards Comprehensive Implementation,” Stohl, (2018). <https://www.stimson.org/2018/arms-trade-treaty-and-caribbean-community-towards-comprehensive-implementation/>; Arms Trade Treaty Baseline Assessment Project, “Reporting in Review: Examining ATT Reporting Experiences,” Stohl, (2017). <https://www.stimson.org/2017/reporting-review-examining-att-reporting-experiences-august-2017/>; Arms Trade Treaty Baseline Assessment Project, “Assessing ATT Implementation in the Asia Pacific Region,” Stohl (2017). <https://www.stimson.org/2017/assessing-att-implementation-asia-pacific-region/>.

⁵ ATT Secretariat, “Initial Reports,” <https://thearmstradetreaty.org/initial-reports.html?templated=209839>; “Annual Reports,” <https://thearmstradetreaty.org/annual-reports.html?templated=209826>.

SECTION 1: INITIAL REPORTING

Comprehensive initial reporting has important and tangible benefits for States Parties. Initial reports provide an opportunity for States Parties to assess their national control systems, while the collection of initial reports can help identify good practices and provide insights into and examples of implementation gaps and assistance needs. Yet, States continue to experience challenges relating to understanding reporting obligations, a lack of resources and capacity, insufficient interagency coordination, and political or security concerns.

This section lists the common challenges States Parties face when preparing their initial reports. It also offers recommendations, interventions, and assistance that States, the ATT Secretariat, the ATT Working Group on Transparency and Reporting (WGTR), and other stakeholders can undertake to facilitate States' initial reporting processes.

Barriers to consistent and holistic reporting are often State- and region-specific. The sections below offer preliminary guidance in determining challenges and their solutions, but any action must be informed by and tailored to recipient States and their national and regional contexts.

1. AWARENESS AND UNDERSTANDING OF ATT OBLIGATIONS

ATT States Parties have expressed uncertainties surrounding what, how, and when to report. States have often indicated their confusion around the requirements and procedures for updating initial reports and the differences and mechanics of public versus private reporting.

CHALLENGES

- ▶ Lack of clarity/ understanding about updating reports.
 - Uncertainty about how to submit updates to the ATT Secretariat.
 - Uncertainty about when or how often updates should be submitted.
- ▶ Confusion between public and private reporting.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none">• Designate a National Point of Contact (NPC).	<ul style="list-style-type: none">• Establish good practice guidelines for data collection and reporting.	<ul style="list-style-type: none">• Periodically update initial reports.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none">• Distribute regular reminders and resources on reporting requirements.• Clearly document the submission of updated initial reports on the ATT website.	<ul style="list-style-type: none">• Create clear procedures, guidelines, and recommendations for updating initial reports.• Incorporate initial report trainings into working group meetings.• Regularly update and distribute reporting resources to States Parties.	<ul style="list-style-type: none">• Widen the scope of the EU reporting project.• Support States Parties in establishing national reporting processes.

2. CAPACITY AND RESOURCE CHALLENGES

Comprehensive and accurate ATT initial reporting requires dedicated time and resources. States often struggle with limited capacity, personnel, time, and underdeveloped national information management systems. States may understand their initial reporting requirements yet lack the personnel or resources to undertake the work.

CHALLENGES

- ▶ Collecting the information necessary to complete an initial report can be time-consuming and requires extensive interagency cooperation and coordination.
- ▶ Lack of, or limited, capacity and personnel.
 - Personnel have not been designated or appointed (NPCs and otherwise).
 - NPC/ ATT-relevant personnel are overburdened with competing deadlines and priorities.
 - Personnel turnover that jeopardizes institutional memory while creating new demands on States to acquaint replacements with ATT requirements, procedures, and deadlines.
- ▶ Underdeveloped/ lack of internal systems to collect, compile, and store initial report-relevant information.
 - Limited availability of relevant information.
 - Data collected does not align with ATT formats.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none"> • Adequately staff the ATT-relevant positions needed to fulfill obligations. 	<ul style="list-style-type: none"> • Develop national databases and mechanisms to support the collection and storage of initial report-relevant information. • Regularly update initial reports to identify gaps and assistance needs. 	<ul style="list-style-type: none"> • Develop systems and procedures to ensure retention of institutional memory.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none"> • Disseminate existing toolkits and guidance packages that outline ways to relieve reporting burdens. 	<ul style="list-style-type: none"> • Utilize initial reports to match State Party needs with assistance. 	<ul style="list-style-type: none"> • Provide funding and resources to help States Parties complete or update initial reports.

3. INTERNAL AND BUREAUCRATIC CHALLENGES

Even when States Parties both understand their initial reporting requirements and have the necessary capacity and resources to complete their reports, States may face obstacles related to poor coordination across government offices and agencies, as well as complications accessing, compiling, and assessing relevant information. The lack of a functioning interagency process can prevent States from undertaking comprehensive, accurate, and efficient initial reporting.

CHALLENGES

- ▶ Roles and responsibilities of the NPC (and other ATT-related personnel) are not clearly established.
- ▶ Difficulties conducting technical assessments of national transfer control systems – often due to poor coordination between government agencies or a lack of an interagency process to:
 - Access, compile, assess, and prepare relevant information.
 - Lack of established mechanisms for internal communication and processes to streamline data collection, storage, and sharing (for example, the database is not shared between agencies).
 - Issues obtaining data from industry.
 - Complete reports.
 - Update reports.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none"> • Empower the National Point of Contact (NPC) to facilitate interagency efforts. 	<ul style="list-style-type: none"> • Establish an interagency committee or working group for initial reporting. 	<ul style="list-style-type: none"> • Develop laws, policies, or written procedures identifying agency and individual reporting roles, responsibilities, and structures.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none"> • Develop and make available a list of current National Points of Contact (NPCs). 	<ul style="list-style-type: none"> • Provide examples of good practices of States' national reporting. 	<ul style="list-style-type: none"> • Provide model legislation for States to support national reporting.



4. POLITICAL AND SECURITY CHALLENGES

When States overcome challenges related to a lack of understanding of initial reporting obligations, capacity and resource deficiencies, and inadequate interagency coordination, they may still find it challenging to overcome political and security barriers to initial reporting. States may be concerned about what information is shared in initial reports (and with whom), as well as competing government priorities or lack of political will. These challenges may range from a lack of interest in reporting to a conscious decision not to report.

CHALLENGES

- ▶ Lack of interest.
 - Reporting fatigue/ lack of import placed on the ATT.
 - Cumbersome internal processes for clearing and approving information before reports are submitted.

- ▶ Conscious decision not to report due to security concerns.
 - Confidentiality concerns/ concerns related to the release of information regarded as sensitive.
 - Political interference.
 - Domestic legislation preventing the public release of information.

- ▶ Conscious decision not to report due to concerns about a lack of, or unsophisticated, domestic arms control systems.

- ▶ Internal barriers such as armed conflict or dire political/ security/ economic issues.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none"> • Prioritize attendance at ATT CSP process meetings. 	<ul style="list-style-type: none"> • Socialize the importance and benefits of the ATT at the national level. 	<ul style="list-style-type: none"> • Develop legislation requiring reporting under the ATT.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none"> • Support participation of States Parties that do not regularly attend CSP meetings. 	<ul style="list-style-type: none"> • Socialize the importance and benefits of the ATT at the regional and bilateral levels. • Socialize the importance of ATT reporting transparency. 	<ul style="list-style-type: none"> • Provide funding and resources to support domestic legislation requiring ATT reporting.

SECTION 2: ANNUAL REPORTING

ATT annual reporting can support monitoring and assessment of treaty compliance, promote transparency and confidence-building among States, and contribute towards the detection of early warning signs of potential conflict. Although annual reporting is a key element of the ATT, States Parties continue to face challenges in completing annual reports based on a lack of understanding of their obligations, insufficient resources and capacity, bureaucratic or internal challenges, and political and security concerns.

This section lists the common challenges States Parties face when preparing their annual reports. It also offers recommendations, interventions, and assistance that States, the ATT Secretariat, the ATT Working Group on Transparency and Reporting (WGTR), and other stakeholders can undertake to facilitate States' annual reporting processes.

Barriers to consistent and holistic reporting are often State- and region-specific. The sections below offer preliminary guidance in determining challenges and their solutions, but any action must be informed by and tailored to recipient States and their national and regional contexts.

1. AWARENESS AND UNDERSTANDING OF ATT OBLIGATIONS

States Parties often do not understand their annual reporting requirements, including what and how to report and when and how to submit their reports.

CHALLENGES

- ▶ Uncertainty/ confusion regarding reporting requirements and deadlines.
- ▶ Uncertainty in how to collect relevant information in ways that align with reporting deadlines.
- ▶ Confusion arising from reporting templates or the online reporting tool.
- ▶ Lack of clarity/ understanding about updating reports.
 - Uncertainty about how to submit updates to the ATT Secretariat.
- ▶ Confusion around:
 - Public & private reporting.
 - Actual & authorized data.
 - Nil reporting.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none"> • Designate a National Point of Contact (NPC). 	<ul style="list-style-type: none"> • Establish good practice guidelines for data collection and reporting. 	<ul style="list-style-type: none"> • Regularly review previous annual reports for updates.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none"> • Distribute regular reminders and resources on reporting requirements. • Clearly document the submission of updated annual reports on the ATT website. 	<ul style="list-style-type: none"> • Create clear procedures, guidelines, and recommendations for updating annual reports. • Incorporate annual reporting trainings into working group meetings. • Regularly update and distribute reporting resources to States Parties. 	<ul style="list-style-type: none"> • Widen the scope of the EU reporting project. • Support States Parties in establishing national reporting processes.

2. CAPACITY AND RESOURCE CHALLENGES

Even when States understand their annual reporting requirements, their systems to collect, compile, and store information may be underdeveloped. In addition, States may face limited personnel or personnel turnover, which can inhibit report completion and submission.

CHALLENGES

- ▶ Lack of, or limited, capacity and personnel.
 - Personnel have not been designated or appointed (NPCs and otherwise).
 - NPC/ ATT-relevant personnel are overburdened with competing deadlines and priorities.
 - Personnel turnover that jeopardizes institutional memory while creating new demands on States to acquaint replacements with ATT requirements, procedures, and deadlines.

- ▶ Lack of time to complete reports.

- ▶ Underdeveloped/ lack of internal systems to collect, compile, and store annual report-relevant information.
 - Limited availability of relevant information.
 - Data collected does not align with ATT formats.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none"> Adequately staff ATT-relevant positions needed to fulfill obligations. 	<ul style="list-style-type: none"> Develop national databases and mechanisms to support the collection and storage of annual report-relevant information. Streamline ATT-relevant data collection with the requirements of other reporting frameworks. 	<ul style="list-style-type: none"> Institute systems and procedures to ensure retention of institutional memory.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none"> Provide a calendar of due dates for ATT and other relevant reporting instruments. Disseminate existing toolkits and guidance packages that outline ways to relieve reporting burdens. 	<ul style="list-style-type: none"> Work with the Secretariats of fellow reporting instruments and United Nations, regional, and civil society organizations to identify synergies between related instruments. 	<ul style="list-style-type: none"> Support States Parties in establishing national reporting processes.

3. INTERNAL AND BUREAUCRATIC CHALLENGES

For many States Parties, annual report completion may rely on multiple government authorities and agencies and, in some cases, private companies. Even if States have the requisite knowledge, resources, and capacity, coordinating these actors can be challenging and may impede the completion and submission of annual reports.

CHALLENGES

- ▶ Roles and responsibilities of the NPC (and other ATT-related personnel) are not clearly established.
- ▶ Poor coordination between government agencies or a lack of an interagency process to:
 - Access, compile, assess, and prepare annual report-relevant information.
 - Lack of established mechanisms for internal communication and processes to streamline data collection, storage, and sharing (for example, the database is not shared between agencies).
 - Issues obtaining data from industry.
 - Complete annual reports.
 - Update annual reports (when necessary).
 - Synergize ATT reporting with United Nations Register of Conventional Arms (UNROCA) annual reporting obligations.
- ▶ Lack of integration of the private sector into the State's annual reporting responsibilities.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none"> Empower the National Point of Contact (NPC) to facilitate interagency efforts. Develop a reporting calendar for the ATT and other synergistic reporting instruments. Develop processes to synergize ATT and UNROCA reporting. 	<ul style="list-style-type: none"> Establish an interagency committee or working group for annual reporting. Establish recurring interagency meetings to review and consider improvements to reporting processes. Establish a process for involving industry efficiently in data compilation. 	<ul style="list-style-type: none"> Develop laws, policies, or written procedures identifying agency and individual reporting roles, responsibilities, and structures. Create an interagency process for updating reports. Legislate industry reporting to the State on all transfers.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none"> Develop and make available a list of current National Points of Contact (NPCs). 	<ul style="list-style-type: none"> Provide examples of good practices of States' national reporting. 	<ul style="list-style-type: none"> Establish forums for inter-State NPC information/ resource sharing and mutual assistance. Provide model legislation for States to support national reporting.

4. POLITICAL AND SECURITY CHALLENGES

States Parties may have the requisite knowledge, resources, and coordination mechanisms to complete their annual reports. Yet, annual reporting may be deterred by political and security concerns related to the information shared in reports, lack of interest in ATT reporting, or competing government priorities.

CHALLENGES

- ▶ Lack of interest.
 - Reporting fatigue/ lack of import placed on the ATT.
 - Cumbersome internal processes for clearing and approving information before reports are submitted.

- ▶ Conscious decision not to report due to security concerns.
 - Confidentiality concerns/ concerns related to the release of information regarded as sensitive.
 - Political interference.
 - Domestic legislation preventing the public release of information.

- ▶ Internal barriers such as armed conflict or dire political/ security/ economic issues.

RECOMMENDATIONS

	Short-term	Medium-term	Long-term
ATT States Parties	<ul style="list-style-type: none"> Prioritize attendance at ATT CSP process meetings. 	<ul style="list-style-type: none"> Socialize the importance and benefits of the ATT at the national level. Within the reporting process, regularly review previous reports to see whether: (1) private reports can be made public or (2) withheld information can be added. 	<ul style="list-style-type: none"> Develop legislation requiring reporting under the ATT.
ATT Secretariat, WGTR, and other relevant actors	<ul style="list-style-type: none"> Support participation of States Parties that do not regularly attend CSP meetings. 	<ul style="list-style-type: none"> Socialize the importance and benefits of the ATT at the regional and bilateral levels. Socialize the importance of ATT reporting transparency. 	<ul style="list-style-type: none"> Provide funding and resources to support domestic legislation requiring ATT reporting.



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CONCLUSION AND CLOSING RECOMMENDATIONS

Although States Parties have now had a decade to develop and tighten their reporting practices, there are still numerous challenges and obstacles to universalization of ATT reporting obligations. If reporting is not prioritized by States Parties then any recommendations for improvement will fall short of expectations and needs. Furthermore, if any reporting analysis, recommendations, and processes are undertaken by the formal treaty process, the requisite human, financial, and technical resources and capacity must also be provided on a regular basis to the Secretariat and others responsible for those efforts.

In the end, however, States are best equipped to identify and understand their own reporting challenges and barriers to consistent and holistic reporting. Therefore, any assistance provided to States must be targeted to each specific context and with the buy-in of State entities. State stakeholders must be actively involved in identifying the challenges faced in fulfilling reporting requirements and in developing solutions to those challenges.

Finally, ATT reporting is not an end in and of itself. ATT reporting is intended to provide a better understanding of State practice and actual arms transfers and facilitate conversations between States on arms transfer processes and specific issues. Reporting is not simply a checklist item that creates documents that sit in files and are never utilized. States should be encouraged to complete their reports in order to better achieve the aims of the ATT.

ANNEX I

Initial Reporting



RECOMMENDATIONS: AWARENESS AND UNDERSTANDING OF ATT OBLIGATION

States Parties

- ▶ Designate a National Point of Contact (NPC) responsible for understanding the ATT and providing a connection between diplomatic and domestic national staff (to address ATT information breakdown from the UN diplomatic level to the domestic level).
- ▶ Establish good practice guidelines for personnel involved in data collection and reporting.
- ▶ Periodically (at a designated time) update initial reports. Establish timelines, processes, and procedures for doing so.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ Distribute regular reminders and resources on reporting requirements (including updating reports).
 - These communications should occur on an individual level for all States, and should be sent to a variety of contacts at capitals and UN Missions, as well as NPCs.
- ▶ Create clear procedures, guidelines, and recommendations for updating initial reports (for example, how often to update). Create clear procedures for posting or sharing those updated reports.
- ▶ Institute accountability measures for States that do not update initial reports by clearly marking who has fulfilled this obligation on the public website.
- ▶ Include reporting trainings as part of working group meetings - that include how to complete, submit, and update initial reports.
- ▶ Update ATT reporting resources regularly and distribute to States Parties.
- ▶ Widen the scope of the EU reporting project.
- ▶ Provide targeted assistance to States to support improving reporting practices.

RECOMMENDATIONS: CAPACITY AND RESOURCE CHALLENGES

States Parties

- ▶ Designate an NPC. Adequately staff ATT-relevant personnel such that they are not overburdened with competing deadlines and priorities.
- ▶ Institute systems and procedures for institutional memory retention, such as handover protocols and trainings for new employees.
- ▶ Develop a database and mechanisms to support the collection and storage of initial report-relevant information.

- ▶ Regularly update initial reports as a pathway to gaining bilateral/ UN/ civil society assistance to aid in capacity and resource challenges.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ Disseminate toolkits and guidance packages to all States Parties that outline reporting synergies and ways to relieve reporting burdens.
- ▶ Utilize Voluntary Trust Fund (VTF) funding and other resources to help States complete or update initial reports.
- ▶ Undertake analysis of initial reports (and their updates) to match State needs and assistance.

RECOMMENDATIONS: INTERNAL AND BUREAUCRATIC CHALLENGES

States Parties

- ▶ Develop laws, policies, or written procedures clearly identifying agency and individual reporting roles, responsibilities, and structures for initial reporting.
- ▶ Empower the NPC (or other entity) to organize, facilitate, and galvanize interagency efforts.
- ▶ Establish an interagency committee or working group for initial reporting with relevant ministries.
 - Create an interagency process for data collection and storage that ensures agencies are regularly collecting and updating data in ways compatible with ATT initial reporting.
 - Create an interagency process for regularly updating reports.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ The Secretariat should keep a current list of National Points of Contact (NPCs) and make it available to all ATT stakeholders so that queries on reporting and offered assistance can be targeted at the correct individuals.
- ▶ Establish forums for inter-State NPC information and resource sharing and mutual assistance.
- ▶ Provide targeted assistance to States to support improving reporting practices.

RECOMMENDATIONS: POLITICAL AND SECURITY CHALLENGES

States Parties

- ▶ Socialize the importance or benefits of the ATT and the ATT's object and purpose.
- ▶ Develop domestic legislation requiring ATT reporting.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ Socialize the importance or benefits of the ATT and the ATT's object and purpose via regional-level activity and promotion and direct government outreach.
- ▶ Socialize the importance of ATT reporting transparency, but also of the options to withhold information or report using different metrics, rather than by submitting an entirely private report.

- Encourage States to review information on a case-by-case basis to determine whether information is commercially sensitive or has implications for national security, rather than submitting a private report or withholding all information.
- ▶ Utilize VTF funding and other resources to support the development of domestic legislation requiring ATT reporting.
- ▶ Provide targeted assistance to States to support the improvement of reporting practices.

Annual Reporting



RECOMMENDATIONS: AWARENESS AND UNDERSTANDING OF ATT OBLIGATIONS

States Parties

- ▶ Designate a National Point of Contact (NPC) responsible for understanding the ATT and providing a connection between diplomatic and domestic national staff (to address ATT information breakdown from the UN diplomatic level to the domestic level).
- ▶ Establish good practice guidelines for personnel involved in export and import data collection and reporting.
- ▶ Within the reporting process, regularly review previous reports for mistakes and to see whether new information on previous transfers should trigger a process for updating a prior report.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ Distribute regular reminders and resources on reporting requirements (including updating reports) and due dates.
 - These communications should occur on an individual level for all States, and should be sent to a variety of contacts at capitals and UN Missions, as well as NPCs.
 - Disseminate to all States Parties a list of the tools and guidance developed by civil society experts and ATT Working Groups on how to prepare both ATT reports.
- ▶ Create clear procedures for updating annual reports and for posting or sharing those updated reports (designate which reports are updates, what information has been updated, etc.).
- ▶ Institute accountability measures for not updating reports by clearly marking who has fulfilled this obligation on the public website.
- ▶ Include reporting trainings as part of working group meetings - that include how to complete, submit, and update annual reports.
- ▶ Update ATT reporting resources regularly and distribute to States Parties.
- ▶ Widen the scope of the EU reporting project.
- ▶ Provide targeted assistance to States to support improving reporting practices.

RECOMMENDATIONS: CAPACITY AND RESOURCE CHALLENGES

States Parties

- ▶ Designate an NPC. Adequately staff ATT-relevant personnel such that they are not overburdened with competing deadlines and priorities.
- ▶ Institute systems and procedures for institutional memory retention, such as handover protocols and trainings for new employees.
- ▶ Develop a database and mechanisms to support the collection and storage of annual report-relevant information.
 - These mechanisms should be designed to be used to fulfill ATT and other reporting obligations to streamline processes and avoid duplicating efforts.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ Work with Secretariats of other instruments, the United Nations, regional organizations, and civil society to build upon efforts to identify synergies between related instruments in order to reduce the reporting burden.
- ▶ Disseminate toolkits and guidance packages to all States Parties that outline reporting synergies and ways to relieve reporting burdens.
- ▶ Provide a calendar of due dates for other relevant reporting instruments.
- ▶ Provide targeted assistance to States to support improving reporting practices.

RECOMMENDATIONS: INTERNAL AND BUREAUCRATIC CHALLENGES

States Parties

- ▶ Develop laws, policies, or written procedures clearly identifying agency and individual reporting roles, responsibilities, and structures for annual reporting.
- ▶ Empower the NPC (or other entity) to organize, facilitate, and galvanize interagency efforts.
- ▶ Establish an interagency committee or working group for annual reporting with relevant ministries.
 - Instate recurring interagency meetings to review and consider improvements to reporting processes that include all relevant staff (i.e., NPCs, diplomatic staff, ministries responsible for data collection, etc.).
 - Develop a reporting calendar for the ATT and other synergistic reporting requirements, with roles and responsibilities for those involved in collecting, reporting, and submitting data. Share this across all relevant government stakeholders.
 - Create an interagency process for data collection and storage that ensures agencies are collecting arms transfer data in ways compatible with ATT and synergistic reporting.
 - Create an interagency process for updating reports.
- ▶ Establish a process for involving industry efficiently in data compilation.
 - This might necessitate national legislation and regulatory frameworks for: (1) record keeping and reporting, and (2) record keeping and reporting from industry in ways compatible with the State's internal system.

- Begin regular outreach with industry to foster private-public partnerships in data gathering and information.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ The Secretariat should keep a current list of National Points of Contact (NPCs) and make it available to all ATT stakeholders so that queries on reporting and offered assistance can be targeted at the correct individuals.
- ▶ Establish forums for inter-State NPC information and resource sharing and mutual assistance.

RECOMMENDATIONS: POLITICAL AND SECURITY CHALLENGES

States Parties



- ▶ Socialize the importance or benefits of the ATT and the ATT's object and purpose.
- ▶ Demonstrate how security increases with ATT reporting.
- ▶ Develop domestic legislation requiring ATT reporting.
- ▶ Within the reporting process, regularly review previous reports to see whether private reports can be made public or withheld information can be added.

ATT Secretariat/ WGTR/ Other relevant actors

- ▶ Socialize the importance or benefits of the ATT and the ATT's object and purpose via regional-level activity and promotion and direct government outreach.
- ▶ Socialize the importance of ATT reporting transparency, but also of the options to withhold information or report using different metrics, rather than by submitting entirely private annual reports.
 - Encourage States to review information on a case-by-case basis to determine whether information is commercially sensitive or has implications for national security, rather than submitting a private report or withholding all information.
- ▶ Utilize VTF funding and other resources to develop domestic legislation requiring ATT reporting.

ANNEX II

Reporting Resources

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- ▶ Arms Trade Treaty Baseline Assessment Project, “Guidance for Completing the Initial Report on Implementation Measures,” Stohl, (2016). <https://www.stimson.org/2016/guidance-for-completing-the-initial-report-on-implementation-measures/>.
 - ▶ Arms Trade Treaty Baseline Assessment Project, “Annual Report Guidance Booklet,” Stohl, (2015). <https://www.stimson.org/2015/annual-report-guidance-booklet/>.
 - ▶ Working Group on Transparency and Reporting, “Reporting Authorized or Actual Exports and Imports of Conventional Arms Under the ATT,” (2019).
 - Arabic: <https://bit.ly/4cpHN8V>
 - Chinese: <https://bit.ly/4iZYtGr>
 - English: <https://bit.ly/4hpyl11>
 - French: <https://bit.ly/4i7ssec>
 - Russian: <https://bit.ly/42F6bQs>
 - Spanish: <https://bit.ly/42pnHa2>
 - ▶ Working Group on Transparency and Reporting, “Working Paper on National-Level Measures to Facilitate Compliance with International Reporting Obligations and Commitments,” (2017).
 - Arabic: <https://bit.ly/3UJNXIW>
 - English: <https://bit.ly/4ar8toS>
 - French: <https://bit.ly/3XOlnZ2>
 - Russian: <https://bit.ly/3UbeGOq>
 - Spanish: <https://bit.ly/4mbs2qo>
 - ▶ Working Group on Transparency and Reporting, “Guidance on the Use of the ATT Information Exchange Platform (English),” (2020). <https://bit.ly/43IBUS1>.
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- ▶ ATT Secretariat, “Voluntary Guidance On The Practice Of Annual Reporting,” (2025).
 - Arabic: <https://bit.ly/4ORsT6O>
 - Chinese: <https://bit.ly/4m3JgG5>
 - English: <https://bit.ly/4m5zinz>
 - French: <https://bit.ly/3UeUUBy>
 - Russian: <https://bit.ly/4mvn7Ai>
 - Spanish: <https://bit.ly/4531y47>
- ▶ ATT Secretariat, “National Points of Contact.” <https://thearmstradetreaty.org/national-points-of-contact.html>.
- ▶ ATT Secretariat, “Reporting Requirements.” <https://www.thearmstradetreaty.org/reporting.html>.
- ▶ ATT Secretariat, “How to submit a report.” <https://www.thearmstradetreaty.org/reporting.html#anchorhowto>.

ANNEX III

Survey: Questions for States not reporting under the ATT

RESPONSIBILITY

- ▶ Has a government ministry or agency been designated as responsible for preparing your State's [initial/annual] report? If yes, which ministry or agency is responsible?
- ▶ Has your State developed an inter-agency process or coordination mechanism specifically to prepare your ATT [initial/annual] report?
- ▶ Which government ministries or agencies are expected to provide reporting information?

REASONS FOR NOT REPORTING

- ▶ Why has your State not submitted an [initial/annual] report?
- ▶ Has your State developed a process or mechanism to help overcome these challenges? If yes, please specify.
- ▶ When do you expect your State will submit an [initial/annual] report?

REPORTING ON ARMS TRANSFERS AND TRANSFER CONTROLS

- ▶ How would your State prefer to submit reports on [national transfer control system/arms transfers] (e.g., hard copy via post, electronic copy via email, via an online portal)?

USE OF REPORTING RESOURCES

- ▶ Has your State ever utilized guidance, tools, or assistance (e.g., from civil society, the Secretariat, other States) to assist in ATT reporting? If yes, what have you used?
- ▶ Is there particular technical, administrative, or financial support that would help facilitate the preparation of ATT reports? If yes, what support would be most helpful?



STIMSON

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For more information, visit the Arms Trade Treaty Baseline Assessment Project at <https://www.stimson.org/project/att-bap/>.

Rachel Stohl: rstohl@stimson.org

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