

Arms Trade Treaty
Sixth Conference of States Parties
Geneva, 17 – 21 August 2020
(By written procedure)

**ATT WORKING GROUP ON TRANSPARENCY AND REPORTING
CO-CHAIRS¹ DRAFT REPORT TO CSP6**

INTRODUCTION

1. This report by the Co-Chairs of the Working Group on Transparency and Reporting (WGTR) to the Sixth Conference of States Parties (CSP6) to the Arms Trade Treaty (ATT) reflects the work in the period between CSP5 and CSP6, submissions by WGTR participants and discussions in the WGTR meeting of 6 February 2020 and the remote consultations following the [cancellation of the April ATT working group meetings](#) and the decision to conduct CSP6 through written procedure due to developments regarding COVID-19. It includes references to the documents that were discussed and an overview of the outcomes of the 6 February meeting and the remote consultations. Giving effect to these outcomes, the report subsequently provides the recommendations that the WGTR puts forward for adoption by CSP6.

2. Four documents are attached to this report:
- 1) [Annex A](#): a proposed mandate for the WGTR for the period September 2020-August 2021;
 - 2) [Annex B](#): Draft proposed amendments to the Initial Reporting template;
 - 3) [Annex C](#): Draft proposed amendments to the Annual Reporting template; and
 - 4) [Annex D](#): ATT Secretariat overview of the status of ATT reporting

6 FEBRUARY WGTR MEETING

3. On 6 February 2020, the WGTR held its first of two intended meetings of the preparatory process towards the ATT CSP6.

4. The WGTR adopted the [draft annotated agenda for the meeting](#), which was based on the standing agenda items and the recurring and specific tasks for the WGTR endorsed by States Parties at CSP5. The WGTR also considered the [introductory paper of the co-chairs](#), which provided the background of the given tasks, summarized past proposals and discussions, set out elements for discussion and put a number of proposals for consideration by WGTR participants.

5. Many of the outcomes of the 6 February meeting related to elements to be delivered or discussed at the second WGTR meeting originally scheduled for 16 April 2020. Due to the [cancellation](#)

¹ The meeting and remote consultations of the preparatory process towards CSP6 of the WGTR were conducted under the co-chairmanship of Tom Nijs (Belgium) and Alejandro Alba Fernández (Mexico).

of the [16 April meeting](#), those outcomes were adapted. In that regard, the following outcomes were included in the Co-chairs report of the 6 February meeting:

- 1) *The co-chairs will include a discussion on the issue of public availability of annual and initial reports in the draft mandate for the WGTR beyond CSP6.*
- 2) *The follow-up of the project of voluntary practical bilateral and regional assistance with reporting (peer-to-peer) remains in the hands of the ATT Secretariat.*
- 3) *During CSP6, there will be a briefing on the outcome of the efforts of the President to carry out consultations with non-reporting States in the intersessional period.*
- 4) *The co-chairs will include the implementation of the outreach strategy in the draft mandate for the WGTR beyond CSP6.*
- 5) *The co-chairs and the ATT Secretariat will prepare draft amended templates with a view to holding consultations on the draft remotely (via email or the information exchange platform).*
- 6) *The co-chairs will no longer specifically include the specific task to discuss the further development of the document 'National-level Measures to Facilitate Compliance with International Reporting Obligations & Commitments' in the agenda of WGTR meetings.*
- 7) *On the topic of classification of conventional arms according to the "Harmonized System" (HS) of the World Customs Organisation (WCO), the Belgian co-chair will further discuss a short concept note on the topic and, if available, will share this ahead of the CSP6 with those States Parties that have shown interest in the matter.*
- 8) *The co-chairs still invite participants to reflect on the issue of the comparability of data in annual reports and to submit via email to the ATT Secretariat or the information exchange platform by 21 May 2020 any concrete proposal for a recommendation that they want to discuss during the next WGTR meeting. The co-chairs will also include a discussion on the issue of aggregation of data in annual reports in the draft mandate for the WGTR beyond CSP6.*
- 9) *The co-chairs will discuss the use of the information exchange platform in the restricted area of the ATT website for the proposed substantive purposes with the ATT Secretariat, the Chair of the WGETI and the facilitators that he appointed.*
- 10) *The co-chairs will circulate revised Terms of Reference and a cost estimate and impact assessment to States Parties and signatory States, and invite them to submit their comments on these documents no later than 21 May 2020 (via email or the information exchange platform). Subsequently, informal face-to-face consultations may be held in July or August, or during CSP6, pending developments regarding COVID-19 and/or progress made during remote consultations.*
- 11) *The co-chairs will invite participants who disagree with merging agenda item 5 into agenda item 6 to share their views by e-mail to the ATT Secretariat, no later than 21 May 2020.*
- 12) *The co-chairs will encourage States Parties' and signatory States' representatives to: 1) [register online](#) for access to the restricted area of the ATT website; 2) consider using the online reporting tool for submitting their annual reports; and 3) engage in the discussions on the announcements that will be posted on the information exchange platform.*

REMOTE CONSULTATIONS 21 APRIL – 21 MAY

6. Following the [decision of the CSP6 President of 1 April 2020 to consult with ATT stakeholders remotely on the documents to be submitted to CSP6](#), the subsequent WGTR documents were distributed on 21 April 2020 for comments via email or the information exchange platform in the Restricted Area of the ATT website:

- 1) [Summary Report of the WGTR meeting of 6 February 2020](#);
- 2) [Draft proposed amendments to the Initial Reporting template](#);

- 3) [Draft proposed amendments to the Annual Reporting template](#); and
- 4) [Proposed mandate for the WGTR for the period September 2020-August 2021](#).

7. On these documents, the WGTR co-chairs received comments of nine (9) States Parties, one (1) regional organization and four (4) civil society organizations via email and of two (2) States Parties via the information exchange platform.

Draft proposed amendments to the reporting templates

8. Twelve (12) respondents provided comments on the draft proposed amendments to the Initial Reporting template and/or the draft proposed amendments to the Annual Reporting template. In this report, the co-chairs will paraphrase the main substantive comments that were made and offer a response. Comments related to specific wording were dealt with in the text of the templates themselves.

9. One general comment that the co-chairs received concerns was the **scope of the task concerning the reporting templates in the WGTR mandate** for the CSP6 cycle (and therefore the scope of the proposed amendments). It was noted that in their report of the 6 February 2020 WGTR Meeting, the co-chairs changed the wording of the task relating to the reporting templates in the WGTR mandate for the CSP6 cycle, as an attempt to have a discussion on changes to the templates, whilst the original language of the relevant task was drafted as a result of a few delegations declining to open the discussion on the templates and wanting to concentrate the discussion only on the user friendliness of the online reporting tool. It is correct that the co-chairs' report refers to the said task as follows: *"The WGTR, taking into account the inventory of comments and suggestions regarding the reporting templates and the online reporting tool (Annex A to the Co-Chairs' report to CSP5), and with respect for article 13 of the Treaty, will consider adjustments to the reporting templates deemed necessary to address uncertainties and inconsistencies, **OR** to ensure compatibility with the online reporting tool and the proposed public searchable database that allows for queries and extracting data"*, whilst in the [revised WGTR co-chairs' report to CSP5](#) the word "or" was not included. The co-chairs recall that they already added the word "or" in their aforementioned introductory paper for the 6 February 2020 WGTR meeting, not to expand the mandate, but merely to clarify the intended effect of the mention of "uncertainties and inconsistencies". This did not receive any objection. Although the relevant sentence in the revised WGTR co-chairs' report to CSP5 was not necessarily linguistically incorrect, already in their preparation for the 6 February meeting the co-chairs considered it potentially confusing in its mention of "uncertainties and inconsistencies" (as is now demonstrated). They therefore added the word "or" to make it clear that the mention of "uncertainties and inconsistencies" had its own purpose in the sentence, i.e. to address those more generally. Based on these considerations, the co-chairs propose to proceed on the basis of the intended purpose of the task and to put all proposed amendments to the substantive consideration of States Parties.

10. Concerning the annual reporting template, several respondents explicitly supported the new **section on page 2 where States Parties can allow UNODA to use the relevant information in the report as a basis for their UNROCA report** (which was added in light of paragraph 16 of Annex A to the WGTR Co-chairs' Report to CSP5, upon request of a number of States Parties). One State Party considered that the section did not address the quality, uncertainties or inconsistencies of the ATT templates. There was also a concern that this section might equate a legally binding treaty obligation to a political commitment and send a message that there is not much of a difference between the two reporting regimes. The co-chairs wish to recall that this proposal was introduced in 2019 in line with the longstanding call for synergies between the reporting regimes. They point out that indicating that the reported data can be used for the UNROCA does not mean that a State Party would not need to

comply with the reporting requirements of the ATT. At the same time, the co-chairs do recall that the Treaty indicates that *“the report submitted to the Secretariat may contain the same information submitted by the State Party to relevant UN frameworks, including the UNROCA”*. This proposal does not send a message that there is not much of a difference between the Treaty and UNROCA. It is clear that the purposes of the Treaty go beyond the transparency and confidence-building purposes that are the single purposes of the UNROCA. That will not be taken away by creating synergies on reporting, which is only one of many important aspects of the Treaty. The proposal to create this synergy between the reporting regimes will benefit UNROCA and in that regard allow for a more comprehensive overview of the global arms trade, not only involving ATT States Parties but, potentially, all UN Member States.

11. Another comment relating to the annual reporting template concerns the **consistent removal of the designation of information to be provided as mandatory or voluntary**. It was noted that this raises a broader issue of what is mandatory and voluntary information under the Treaty and thus affects national interpretation; therefore, this debate would go beyond the WGTR mandate. On this, the co-chairs indicate that designating certain information as voluntary or mandatory has been considered confusing, because the Treaty does not prescribe exactly which information needs to be provided. That is also clearly indicated in questions 1 and 2 of the FAQ-type guidance document on the annual reporting obligation. That document, in question 22, does make clear what “represents a common understanding – not a Treaty obligation – of what information States Parties should include as a minimum when they report their authorized or actual exports and imports”. In that regard this is just a question of aligning the language of the annual reporting template and the FAQ-type guidance document. For clarity, there is also a difference between the voluntary or mandatory nature of information on the one hand and the voluntary or mandatory nature of treaty provisions on the one the other hand. In this specific context, we are only talking about the voluntary or mandatory nature of information (to be reported), not about the voluntary or mandatory nature of treaty provisions. In that respect this does fall within the remit of the WGTR’s work.

12. The last main comment relating to the annual reporting template concerns the **specific references in the explanatory notes to questions in the FAQ-type guidance document**. The concern is raised that this would require agreement on every aspect of the FAQ-type guidance document and would require constant changes in the reporting template every time the FAQ-type guidance is amended. The references to specific questions in the FAQ-type guidance document were included to indicate that the document contains guidance on the specific element of the reporting template at hand, with a view to optimise the use of the ‘FAQ’. Amendments to the ‘FAQ’ – which would require consensus – could potentially require also amending the reporting template, but practice so far has shown this is unlikely. Since its adoption, the FAQ-type guidance document has only been amended to be in line with the newly developed online reporting tool; no substantive changes have been proposed. In any case, amendments to the ‘FAQ’ would at most require changing or adding a question number in the AR template. If the CSP would endorse an amendment that requires changing or adding a question number in the reporting template, the CSP could simply task the Secretariat to do so.

13. Concerning the initial reporting template, two States Parties provided very specific comments.

14. First, the same issue was raised concerning the designation of information to be provided as mandatory or voluntary (cf. point 11).

15. Other comments lead the co-chairs to the following clarifications:

- 1) Point 1 E: This question was added because it is not necessarily the case that States Parties' control list(s) covers all types of transfers.
- 2) Insertion of the various prohibitions under point 2 A: This question was added to make sure that States Parties would consider and cover all types of prohibitions. After all, the initial report and the template are there for States Parties to report on their full implementation, but also as a checklist for that purpose.
- 3) Additional explanatory information under certain points, e.g. 2 B: Such information is provided as a sort of checklist, but there might be other guidance available.
- 4) Exports – point J: This concerns guidelines that States Parties might have on how to conduct the export assessment.
- 5) Exports – point N; Imports – point C; Transit and Trans-shipment – point C, and Brokering – point C: “legal provisions” will be replaced by “regulations and/or procedures”.
- 6) National POC – point K: A box was added in which the reporting State Party can also record an institutional e-mail address.
- 7) International assistance – points B and C: These items were added with the broader aim of helping the State Party in question as well as other States Parties and the Secretariat to identify the State Party's assistance needs, with a view to seeking such, for example through the VTF.

Proposed WGTR mandate for the CP7 cycle

16. A few States Parties provided comments on the proposed mandate. The proposed mandate was mostly supported in general terms. One State Party proposed to remove the items concerning public availability of annual and initial reports and aggregation of data in annual reports, on the grounds that the discussion on both these issues was settled when templates were discussed before CSP2. On the issue of public availability, it was also said that re-opening the discussion could have the unintended consequence that states that previously provided reports only to States Parties would then make their reports publicly available but leave out information that they would have previously reported on.

17. As to the *public availability of reports*, the co-chairs point out that this topic is not included in the mandate to discuss whether or not making reports public available is a Treaty obligation; that was discussed when the templates were initially adopted. Both the reporting templates and the FAQ-style guidance document on the annual reporting obligation – in question 41 – make it clear that this is a decision for each State Party to make. On this point, many States Parties and other stakeholders expressed their concern about the increasing number of States Parties that only make their annual report available to other States Parties, which the co-chairs consider a legitimate concern in light of the Treaty's purpose in Article 1 of promoting transparency. The co-chairs therefore consider it their responsibility to schedule a discussion on this issue in the WGTR. Such discussion could allow us to understand the challenges, limitations and/or preferences of States Parties that choose to not to make their reports public and to potentially address their concerns, without questioning their right to do so. The co-chairs will clarify the intention in the mandate. The possible unintended consequence that was mentioned highlights the value of a discussion on this topic. In that discussion it could, for example, be mentioned that States Parties' public availability concerns do not necessarily need to lead to having their full report only available to other States Parties.

18. On *disaggregation of data*, the co-chairs highlight that also this topic is not included in the mandate to discuss whether or not disaggregation of data is a treaty obligation; this was discussed as well when the templates were initially adopted. In like manner the topic is included to have an exchange on States' challenges and concerns, as well as good practices, following questions in that

regard. On this particular topic the co-chairs do point out that the FAQ-style guidance document on the annual reporting obligation, in questions 22 & 23 to indicate expressly that States Parties should consider disaggregating their information by category of conventional arms on which they are reporting, as well as by country of origin or destination, and then strongly encourage SP to do so per country. In that respect a discussion about State practice will be useful.

19. Beyond these issues, the co-chairs also wish to clarify two other specific tasks in the proposed mandate. Firstly, the mandate still includes the task to *“monitor the implementation of the three-tier approach to sharing information on diversion”*, because the approach was instituted in the WGTR and the Group therefore has a role in monitoring the usefulness and value of the initiatives that are taken in the context of the three-tier approach. Secondly, it should be clear that in implementing the task to *“discuss the requirements for the development of a functionality that makes the information in annual reports available in a searchable database that allows for queries and extracting data”*, the cost of such database will be an important factor.

STATUS OF REPORTING

20. During the session on Transparency and Reporting of the CSP, the ATT Secretariat normally provides an overview of the status of ATT reporting. As an actual presentation is not possible with a CSP through written procedure, it was decided to provide this overview as Annex D of this WGTR Co-Chairs’ report. Unfortunately, this overview demonstrates the continuous downward trend in compliance with the annual reporting obligation, as only 46% of States Parties that were due to submit their annual report had actually done so by 3 July. A significant number of those States opted again not to make their report publicly available. The co-chairs also note that 24% of States Parties are still due to submit their initial report of measures undertaken in order to implement the Treaty. These observations are all worrying and stress the importance of the WGTR continuing to implement existing measures and develop new measures to address this situation. This is further addressed below.

RECOMMENDATIONS FOR CSP6

21. Following the remote consultations and the decision to conduct CSP6 through written procedure, and taking into account all comments received, the co-chairs concluded that the WGTR draft decisions for adoption by CSP6 should be limited to those that are necessary for the continued functioning of the WGTR after CSP6, as well as the informal meeting on diversion information exchange between States Parties and signatories. As indicated in the list of proposed draft decisions for CSP6 in Annex A of the proposal on the format of the Sixth Conference of States Parties, these decisions concern the proposed mandate for the WGTR for the period September 2020 – August 2021 and the Terms of Reference concerning the Diversion Information Exchange Forum.

22. This conclusion entails that there are no draft decisions on the draft proposed amendments to the Initial Reporting template and the draft proposed amendments to the Annual Reporting template for CSP6. Taking into account the aforementioned comments, the co-chairs consider that it would be difficult to achieve consensus on the proposed amendments through the written procedure and that a meaningful outcome would benefit from face-to-face discussions to facilitate live drafting and fine tuning of the adjustments under consideration. For that reason, the co-chairs have attached both documents to this report in their current form, including all relevant comments, and have added the following task to the proposed WGTR mandate for the CSP7 cycle:

“work towards finalizing discussions on the draft proposed amendments to both, the Initial and Annual Reporting templates included in annexes B and C to the Co-Chairs’ report to CSP6, taking into account

the comments of States Parties and other stakeholders that are inserted in the Co-Chairs' report and its annexes"

The co-chairs consider it important that the WGTR should aim to finalize these discussions during the CSP7 cycle, because there are two substantial documents available that are already the product of discussions during the CSP5 and CSP6 cycles.

23. On reporting, the co-chairs find it important that also CSP6 expresses itself on the too high number of States Parties that do not (fully) comply with the reporting obligations. This is all the more true in light of the worrying numbers that are provided in the overview of the status of ATT reporting included in Annex D. While on the submission of annual reports about imports and exports in 2019 developments regarding COVID-19 might have had an impact, the overview does confirm a continuous downward trend. The co-chairs have therefore included language on this in their recommendations below.

24. As indicated above, recommendations also need to include a draft decision on the Terms of Reference concerning the Diversion Information Exchange Forum. These Terms of Reference were discussed in the Second Informal Meeting on Diversion Information Exchange between States Parties and signatory States held on 5 February 2020 and are included in the WGTR Co-chairs' report to States Parties and signatory States on the progress during the CSP6 cycle.

25. Based on the above, the co-chairs recommend that CSP6:

- 1) *reiterates that transparency is a key purpose of the Treaty and that submitting initial and annual reports indicates the commitment of a States Party to the Treaty;*
- 2) *calls out to States Parties that are not fully compliant with their reporting obligations to submit their reports or, in case of difficulty to do so, to make use of the available assistance mechanisms in order to achieve full compliance with the Treaty's reporting obligations;*
- 3) *encourages all relevant stakeholders to use all available means to actively engage with States Parties that are not fully compliant with the reporting obligations, and to provide assistance upon request;*
- 4) *endorses the standing agenda-items and the recurring and specific tasks for the WGTR in the period between CSP6 and CSP7, as included in Annex A of the Co-Chair's report;*
- 5) *establishes the Diversion Information Exchange Forum in accordance with the proposal included in ATT/CSP6.DIEF/2020/CHAIR/632/Conf.DIEFToR, as a sui generis body for informal voluntary exchanges between States Parties and signatory States concerning concrete cases of suspected or detected diversion and for sharing concrete, operational diversion-related information, and as a mechanism that facilitates States Parties in the implementation of article 11, paragraphs 3, 4 and 5 and article 15 of the Treaty, complementing bilateral exchanges;*
- 6) *adopts the Draft Terms of Reference for the Diversion Information Exchange Forum, which will govern the functioning of the Forum and the exchanges of information during its meetings, as well as any intersessional exchanges and sharing of diversion-related information;*
- 7) *mandates the CSP7 President to organize the first formal meeting of the Diversion Information Exchange Forum within the timeframe and budget allocated for ATT meetings in 2021, and in line with its Terms of Reference;*
- 8) *encourages all States Parties and signatory States to actively use the Diversion Information Exchange Forum as a means to facilitate international cooperation in order to prevent and eradicate diversion; and*

- 9) *decides that the usefulness of the Diversion Information Exchange Forum will be reviewed at CSP8.*

WAY FORWARD BEYOND CSP6

26. Beyond CSP6 the WGTR has three specific priorities: a) working towards finalising the discussions on the draft proposed amendments to the reporting templates; b) exchanging practices on the public availability of reports and the aggregation data in annual reports; and c) discussing the requirements of a searchable database. Next to those, the WGTR will again have to focus on enhancing compliance with the reporting requirements by insisting with States Parties that are not fully compliant, contribute to awareness-raising about the available assistance tools, and empower all ATT stakeholders that are in a position to do so to engage in awareness-raising and offer assistance .

ANNEX A TO WGTR CO-CHAIRS' REPORT TO CSP6
PROPOSED MANDATE FOR THE WGTR FOR THE PERIOD SEPTEMBER 2020-AUGUST 2021

In accordance with its Terms of Reference and Rule 42(2) of the ATT Rules of Procedure, the Working Group would like to propose for consideration by CSP6, the following tasks for further work in the period between CSP6 and CSP7:

1. The WGTR shall continue to conduct exchanges concerning the fulfilment of the reporting obligations in article 13 of the ATT and the broader issue of transparency in the international trade in conventional arms. In its meetings, the WGTR shall, as a minimum, deal with the following standing agenda items and the recurrent and specific tasks outlined below²:
 - a. State of play of compliance with reporting obligations;
 - b. Challenges concerning reporting;
 - c. Substantive reporting and transparency issues;
 - d. Organizational means for information exchange;
 - e. IT platform: reporting and transparency functionalities; and
 - f. WGTR mandate in the period between CSP7 and CSP8.

2. With regard to the **state of play of compliance with reporting obligations**, at every meeting the WGTR will review the status of reporting, thereby focusing on the progress that has been made in comparison to the previous status updates.

3. With regard to **challenges concerning reporting**, the WGTR will as a minimum:
 - a. encourage participants of States Parties that are in non-compliance with their ATT reporting obligations to share their challenges to submitting timely and accurate initial and annual reports;
 - b. monitor the implementation of the project of voluntary practical bilateral and regional assistance with reporting (peer-to-peer);
 - c. give participants the opportunity to propose and discuss other means to support States Parties in addressing their reporting challenges;
 - d. encourage participants to report on initiatives taken to implement the document entitled "Outreach strategy on reporting", adopted at CSP4;
 - e. give participants the opportunity to discuss submitted proposals for alterations or additional questions and answers for the 'FAQ'-type guidance document on the annual reporting obligation, adopted at CSP3; and
 - f. work towards finalizing discussions on the draft proposed amendments to both the Initial and Annual Reporting templates, included in annexes B and C to the Co-Chairs' report to CSP6, taking into account the comments of States Parties and other stakeholders that are inserted in the Co-Chairs' report and its annexes.

4. With regard to **substantive reporting and transparency issues**, the WGTR will as a minimum:
 - a. give participants the opportunity to raise and discuss substantive issues about the reporting obligations that could benefit from consideration by the WGTR;
 - b. monitor and coordinate further work on the project to facilitate the identification of the conventional arms in Article 2 (1) of the Treaty in the "Harmonized System" (HS) of the World Customs Organisation (WCO);
 - c. exchange practices, challenges and limitations concerning the public availability of annual and initial reports; and
 - d. exchange practices, challenges and limitations concerning the aggregation of data in annual reports.

5. With regard to **organizational means for information exchange**, the WGTR will as a minimum:

² Specific tasks are those that are specifically included in the mandate of the WGTR for discussion between CSP6 and CSP7, while recurrent tasks are those that have been systematically included in all or most of the previous mandates of the WGTR.

- a. give participants the opportunity to propose and discuss structured mechanisms, processes or formats facilitating the information exchanges that are required or encouraged by the Treaty, both on the policy level, as well as on the operational level;
 - b. monitor the implementation of the three-tier approach to sharing information on diversion, adopted at CSP4.
6. With regard to the **reporting and transparency functionalities of the IT platform**, the WGTR will as a minimum:
- a. give participants the opportunity to flag any problems or inconveniences concerning the IT platform;
 - b. give participants the opportunity to propose and discuss improvements to the IT platform to enhance transparency and facilitate the implementation of the reporting and information exchange obligations of the Treaty, including proposals to harness information from the initial and annual reports in a manner that allows follow-up on these reports;
 - c. monitor and assess the use of the online reporting functionality and the information exchange platform on the ATT website; and
 - d. discuss the requirements, including budgetary requirements, for the development of a functionality that makes the information in annual reports available in a searchable database that allows for queries and extracting data.
7. With regard to the **WGTR mandate in the period between CSP7 and CSP8**, the WGTR will review the relevance of the aforementioned standing agenda items and recurrent tasks in the light of the state of play of ATT transparency and reporting, with a view to preparing a proposal for consideration by CSP7.

**ANNEX B TO WGTR CO-CHAIRS' REPORT TO CSP6
DRAFT PROPOSED AMENDMENTS TO THE INITIAL REPORTING TEMPLATE**

THE ARMS TRADE TREATY

REPORTING TEMPLATE

INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS TRADE TREATY, IN ACCORDANCE WITH ARTICLE 13(1)

This template is intended for use by States Parties to the Arms Trade Treaty when preparing their initial report in accordance with the Treaty's Article 13(1).

Article 13(1) requires States Parties to “*report to the Secretariat on any new measures undertaken to implement the Treaty, where appropriate*” and thus does not limit information-giving only to measures related to binding obligations in the Treaty. However, in terms of national implementation, binding obligations have a special significance. To highlight this, the template distinguishes between two types of information: (A) information which relates to binding obligations under the Treaty, and (B) information which relates to provisions in the Treaty which are estimated to be binding to a lesser degree, or non-binding. Where the template touches upon information related to the (B) type of provisions in the Treaty, the rows are shaded to make this distinction clear.

The shading does not indicate that certain information is purely voluntary, its purpose is to facilitate the use of this template as a diagnostic tool for assessing at the national level the need for implementation work to fulfil requirements of the Treaty. The un-shaded items are necessary to implement, the shaded items represent desirable features of a national control system - which under certain circumstances may also be necessary to implement.

The division of obligations into binding and non-binding has been undertaken - solely for the purpose of this Template - on the basis of a strict observance of the qualifiers included in the text of the Treaty. Thus,

- if a provision in the text is prefaced with “shall” only, it is considered binding and information on that topic should be provided in the initial report.
- if a provision in the text has qualifiers, such as “shall...subject to its national laws”, or “shall...pursuant to national law”, or “shall...consistent with national law”, or “shall...where necessary/appropriate”, then a binding obligation is deemed to exist if certain pre-requisites are fulfilled. In this case, information on the topic should be provided in the initial report. If the pre-requisites are not fulfilled, the provision is deemed to be non-binding. In this case information need not be provided unless measures have in fact been taken in the national context to comply with such a provision.
- if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding. This category also includes qualifiers such as “may include...” or actions to be initiated “by mutual consent” with another State Party. Information should be provided if measures have been taken in the national context that fulfil this type of provision.

On a voluntary basis, more information may always be provided.

Please note that Article 13.1 also requires States Parties to “*report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate*”. This template may be used to supply such updates as well. Only changes need then be indicated either by highlighting, tracking or marking up changes made in each section OR providing a summary description of the updates made in Annex A.

GOVERNMENT OF _____

**INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS
 TRADE TREATY, IN ACCORDANCE WITH ITS ARTICLE 13(1)**

DATE OF **SUBMISSIONREPORT** _____

This Initial Report <u>may be made publicly available</u> is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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This Report contains only updates to a previously submitted initial report dated _____ (If you tick this box, please highlight or track the changes made to each section OR provide a brief summary of your updates in Annex A)	<input type="checkbox"/>
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1. NATIONAL CONTROL SYSTEM AND LIST

<u>1.1 GENERAL OVERVIEW</u>			
A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (Please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)			
B. The national control system includes the following:		Yes	No
i)	a national control list [Article 5(2)] competent national authorities (further specified below) [Article 5(5)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	a control list [Article 5(2)] competent national authorities [Article 5(5)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please provide background below explain in more detail.			
<u>1.C. Additional voluntary information about the national control system</u> (Please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			
<u>1.2 NATIONAL CONTROL LIST</u>			
D. The national control list covers the following <u>arms</u>:		Yes	No
i)	Battle tanks [Article 2(1)(a)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1)(b)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1)(c)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1)(d)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1)(e)]	<input type="checkbox"/>	<input type="checkbox"/>

vi)	Warships [Article 2(1)(f)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1)(g)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1)(h)]	<input type="checkbox"/>	<input type="checkbox"/>
The national control list also includes the following <u>items</u>, in order to enable the application of Articles 3 and 4:		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>
x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
<u>If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please explain in more detail provide background below</u>			
<u>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) & 5(2)]:</u>		<u>Yes</u>	<u>No</u>
i)	<u>Export</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Import</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Transit or trans-shipment</u>	<input type="checkbox"/>	<input type="checkbox"/>
iv)	<u>Brokering</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>F. Does the same control list apply to all these types of transfers (or do you maintain different lists for different types of transfers)?</u> (If 'No', please explain)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4]</u> (if 'No', please elaborate further below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>GF. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) & Preamble, 13th para]</u>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms			
<u>HG. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</u> (If 'Yes', please specify below <u>what the additional categories are</u>)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>HI. Control list definitions are supplemented by more detailed definitions not in the control list itself</u> <u>Are items on the national control list defined? [Article 5(3)]</u> (If 'Yes', please provide further information below) if yes, which definition(s) or descriptions do you use: (e.g. Wassenaar, United Nations Register of Conventional Arms, National definitions, etc.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
i)	<u>United Nations Register of Conventional Arms [Article 5(3)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Wassenaar Arrangement</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>EU Common Military List</u>	<input type="checkbox"/>	<input type="checkbox"/>

iv)	National definitions	<input type="checkbox"/>	<input type="checkbox"/>
v)	Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>
II. The national control list is publicly available [Article 5(4)] (If 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink. If 'No', please explain)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
J. Additional voluntary information about the national control system (please elaborate below— for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			
1.3 NATIONAL POINT(S) OF CONTACT			
C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)] (if 'No', please clarify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
K. The contact details of the national point(s) of contact are as follows [Article 5(6)]:			
Name:		Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>
Position/Job:			
Ministry:			
Agency/Department:			
Email address (individual and/or institutional) :			
Telephone no.:			
Address:			

2. PROHIBITIONS

A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, if: in the circumstances specified in Articles 6(1) to 6(3) (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
i)	the transfer would violate its obligations under measures adopted by the United Nations Security Council acting under Chapter VII of the Charter of the United Nations, in particular arms embargoes [Article 6(1)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	the transfer would violate its relevant international obligations under international agreements to which it is a Party, in particular those relating to the transfer of, or illicit trafficking in, conventional arms [Article 6(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	the State Party has knowledge at the time of authorization that the arms or items would be used in the commission of genocide, crimes against humanity,	<input type="checkbox"/>	<input type="checkbox"/>

<u>grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party [Article 6(3)]</u>			
<u>(If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)</u>			
D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Which international agreements that you are a Party to do you consider to which the country is a Party, and which are considered relevant for the application of Article 6(2)? (Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(2) in their Initial Reports. The list is available at [insert link##]. States Parties are welcome to consult the list when preparing their answer to this question.)			
C. Which international agreements to which the country is are you a Party to and do you consider, and which are considered relevant for defining 'war crimes' in the context the application of Article 6(3) (Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(3) in their Initial Reports. The list is available at [insert link##]. States Parties are welcome to consult the list when preparing their answer to this question.)			
D. Do you have guidelines on the application of the prohibitions to an individual case? (If 'Yes', please provide further information)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to prohibitions under Article 6 (Please elaborate below - for instance, if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4; <u>the national interpretation of key concepts in Article 6</u>)			

3. EXPORTS

A. The national control system includes the following:		Yes	No
i)	an authorization or licensing system for arms exports [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	export assessment criteria [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	a risk assessment procedure [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please <u>explain in more detail provide background</u> below			
B. National legislation includes a definition of export [Articles 6(1) to 6(3) and Article 7] (If 'Yes', please specify. If 'No', please explain.))		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>

<p>BC. National export controls apply to <u>all</u> the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (If 'No', please provide further information below)</p>		
<p>ED. The competent national authority(-ies) for the control of exports [Article 5(5)] (Please specify <u>the Ministry, Government Agency or Department</u> below)</p>		
<p>DE. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>GF. If a risk is identified, does the State ever considers whether there are The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)] (If 'Yes' please elaborate below, including an indication of give examples when mitigation measures are considered and of the types of risk mitigation measures that are most often used)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>EG. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (If 'Yes', please consider providing further information. If 'No', please provide further information below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>FH. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)] (If 'No' please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>IH. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners] (If 'Yes' please provide further information below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>J. Do you have guidelines on the application of the export assessment requirements to an individual case? (If 'Yes', please provide further information)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>KI. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.D above (If 'Yes' please specify below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>LJ. Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)] (If 'Yes', please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>MK. An export authorization can be reassessed if new relevant information becomes available [Article 7(7)]</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

(If 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)		
N. There are legal provisions for suspension or withdrawal of a license? [Article 7(7)] (If 'Yes', please elaborate under which circumstances. [For example, such a provision might exist with respect to arms embargoes but not otherwise] If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
OL. Information / documentation included in an application for an export authorization (Please specify below)		
MP. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)] (Please specify below)		
NQ. The national control system provides information requested of it by allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
OR. Additional voluntary information relevant to national export controls (Please specify below - for instance: on the control of re-exports, or further detail on national measures indicated in 3A-D and F; <u>the national interpretation of key concepts in Article 7</u>)		

4. IMPORTS

A. The national control system includes measures that allow the regulation to prevent, where necessary, of imports of conventional arms covered under Article 2(1) [ref Article 8(2)], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [ref Articles 6(1) to 6(3)] (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question		
B. The competent national authority(-ies) for the regulation of imports [Article 5(5)] (Please specify <u>the Ministry, Government Agency or Department</u> below)		
C. National legislation includes a definition of import [Articles 6(1) to 6(3) and Article 8] (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
CD. The national control system allows the State to provide for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist another State Party that is conducting an export assessment by a potential exporting State Party [Article 8(1)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

DE. Imports of conventional arms subject to control regulation are, under specific circumstances, permitted without regulation-specific authorization or under simplified procedure (If 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
FE. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (If 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
GF. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)] (Please specify below)		
HG. Information / documentation required for an import authorization (Please specify below)		
IH. Additional voluntary information relevant to national import controls (Please specify below)		

5. TRANSIT & TRANS-SHIPMENT

A. The national control system includes measures that allow the regulation to prevent, where necessary and feasible, of the transit of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [ref Articles 6(1) to 6(3)] (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. The national control system includes measures that allow the regulation to prevent, where necessary and feasible, of the trans-shipment of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [ref Articles 6(1) to 6(3)] (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. National legislation includes a definition of transit [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.))	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. National legislation includes a definition of trans-shipment [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.))	Yes <input type="checkbox"/>	No <input type="checkbox"/>

EC. Control measures for the regulation of transit and/or trans-shipment cover : (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)		Yes	No
i)	Transit / trans-shipment through land territory (including internal waters)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Transit / trans-shipment through territorial waters	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input type="checkbox"/>	<input type="checkbox"/>
F. Does your State only apply control measures to prevent transit and trans-shipment other than in violation of the prohibitions in Article 6? (If 'Yes', please specify the other control measures that your States applies to transit and trans-shipment.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
DG. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)] (Please specify below)			
EH. Transit / trans-shipment of controlled equipment is permitted without regulation a specific authorization or under simplified procedure under certain circumstances (for instance in a free trade area) (If 'Yes' please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
IG. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
JH. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required) [Article 5(5)] (Please specify below)			
KI. Information / documentation required in an application for a transit / trans-shipment authorization (Please specify below)			
LJ. Additional voluntary information relevant to national transit / trans-shipment controls (Please specify below)			

6. BROKERING

A. The national control system includes measures to prevent that allow the regulation, pursuant to national laws, of brokering of conventional arms	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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covered under Article 2(1) [ref Article 10], as well as items covered under Articles 3 and 4 <u>in violation of the prohibitions in Article 6.</u> [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)			
<u>If 'Yes', please also answer the following question</u>			
B. The measures to regulate brokering include:		<u>Yes</u>	<u>No</u>
i)	<u>Requiring brokers to register before engaging in brokering [Article 10]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Requiring brokers to obtain written authorization before engaging in brokering [Article 10]</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Other (please specify)</u>	<input type="checkbox"/>	<input type="checkbox"/>
C. National legislation includes a definition of brokering [Articles 6(1) to 6(3) and Article 10] (If 'Yes', please specify. If 'No', please explain.)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10] (please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)			
D. Does your State <u>only</u> apply control measures to prevent brokering other than in violation of the prohibitions in Article 6? (If ' Yes <u>No</u> ', please specify the other control measures that your States applies to brokering)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
CE. The competent national authority(-ies) for the regulation of brokering [Article 5(5)] (pl Please specify below)			
DE. National brokering controls contain exemptions (for instance for -national armed forces or defence industry) [Articles 6 & 10] (if 'Yes', please provide further information below)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations) (if 'Yes', please specify the additional scope of control)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
FG. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
GH. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)] (pl Please specify below)			
HI. Information / documentation required in an application related to brokering (pl Please elaborate below)			

I.J. Additional voluntary information relevant to national brokering controls (Please specify below)	

7. DIVERSION

A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	cooperation and information exchange, where appropriate and feasible and pursuant to national law, with other States Parties [Article 11(3)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>
B. The national control system includes appropriate measures to be taken, pursuant to national law and in accordance with international law, when a diversion of transferred conventional arms under Article 2(1) has been detected [Article 11(4)] (If 'No', please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :		Yes	No
iii)	establishment of mitigation measures [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
vi)	examination, where appropriate, of parties involved in a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	exchange of relevant information with other States Parties on effective measures to address diversion, as well as on illicit activities and actors [Articles 11(5) & 15(4)]	<input type="checkbox"/>	<input type="checkbox"/>
ix)	reporting through the Secretariat to other States Parties on measures taken to address diversion of transferred conventional arms covered under Article 2(1) [Articles 11(6) & 13(2)]	<input type="checkbox"/>	<input type="checkbox"/>
x)	other measures [Article 11(1)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]		Yes	No
i)	alerting potentially affected States Parties	<input type="checkbox"/>	<input type="checkbox"/>

ii)	investigative and law enforcement measures at the national level	<input type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Additional voluntary information relevant to the prevention of diversion of conventional arms (Please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			

8. RECORD KEEPING

A. The national control system includes provisions for maintaining records regarding: [Article 12(1)] (it is mandatory to retain records for one of the two options below)		Yes	No
i)	issued authorizations for the export of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	actual exports of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input type="checkbox"/>	<input type="checkbox"/>
B. Records are kept for a minimum of 10 years [Article 12(4)] (if 'Yes', please elaborate for how many years records are kept. If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. The national control system includes provisions for maintaining records regarding :		Yes	No
i)	imports of conventional arms covered under Article 2(1) of the Treaty into national territory as final destination [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	authorizations for the transit and/or trans-shipment through national territory of conventional arms covered under Article 2(1) of the Treaty [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	authorizations related to the conduct of brokering activities included in the scope of the national control system (for instance relating to a register of brokers) [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
D. Records cover other categories of conventional arms than those specified in Article 2(1) (if 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to national record keeping (Please specify below - for instance types of information preserved in national records for exports and imports respectively)			

9. REPORTING

A. The national control system allows for the provision of information for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under article 2 (1) as required by Article 13(3) (If 'No' or only partially, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Additional voluntary information relevant to national reporting (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)		

10. ENFORCEMENT

A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)] (Please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Additional voluntary information relevant to national enforcement (Please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		

11. INTERNATIONAL COOPERATION

A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests [Article 15(1)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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B. Additional voluntary information relevant to participation in international cooperation (Please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)

12. INTERNATIONAL ASSISTANCE

A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1) (If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>B. The State is in a position to provide assistance with the following:</u>		<u>Yes</u>	<u>No</u>
i)	<u>Establishing and/or maintaining a national control system [Article 5(2)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Establishing and/or maintaining a national control list [Articles 5(2)-(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Designating competent national authority (-ies) [Article 5(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv)	<u>Designating a national point of contact(s) [Article 5(6)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
v)	<u>Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vi)	<u>Establishing measures to regulate the import of arms [Article 8]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii)	<u>Establishing measures to regulate the transit and trans-shipment of arms [Article 9]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii)	<u>Establishing measures to regulate the brokering of arms [Article 10]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix)	<u>Establishing measures to prevent and address diversion [Article 11]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x)	<u>Record-keeping [Article 12]</u>	<input type="checkbox"/>	<input type="checkbox"/>

	<u>(if 'Yes', please specify below)</u>		
<u>xi)</u>	<u>Reporting [Article 13]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>xii)</u>	<u>Other</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>C. The State would like to receive assistance with the following:</u>		<u>Yes</u>	<u>No</u>
<u>i)</u>	<u>Establishing and/or maintaining a national control system [Article 5(2)]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>ii)</u>	<u>Establishing and/or maintaining a national control list [Articles 5(2)-(4)]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>iii)</u>	<u>Designating competent national authority (-ies) [Article 5(4)]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>iv)</u>	<u>Designating a national point of contact(s) [Article 5(6)]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>v)</u>	<u>Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>vi)</u>	<u>Establishing measures to regulate the import of arms [Article 8]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>vii)</u>	<u>Establishing measures to regulate the transit and trans-shipment of arms [Article 9]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>viii)</u>	<u>Establishing measures to regulate the brokering of arms [Article 10]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>ix)</u>	<u>Establishing measures to prevent and address diversion [Article 11]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>x)</u>	<u>Record-keeping [Article 12]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>xi)</u>	<u>Reporting [Article 13]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>

<u>xii</u>)	<u>Other</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<u>BD</u> . National regulations and policy allow the provision for contribution of financial resources to the Voluntary Trust Fund established under Article 16(3) of the Treaty (if 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>CE</u> . Additional voluntary information relevant to the provision- or receipt of implementation assistance (Please specify below - for instance regarding assistance provision capacities or assistance needs,)			

13. DISPUTE SETTLEMENT

A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1) (if 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2) (if 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty (Please specify below)			

ANNEX A. Summary of updates to the previous Initial Report

Please include a description of the parts of the State's previous Initial Report that have been updated:

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**ANNEX C TO WGTR CO-CHAIRS' REPORT TO CSP6
DRAFT PROPOSED AMENDMENTS TO THE ANNUAL REPORTING TEMPLATE**

THE ARMS TRADE TREATY

REPORTING TEMPLATE

ANNUAL REPORT IN ACCORDANCE WITH ARTICLE 13(3) - EXPORTS AND IMPORTS OF CONVENTIONAL ARMS COVERED UNDER ARTICLE 2 (1)

This provisional template is intended for use by States Parties to the Arms Trade Treaty when preparing their annual report in accordance with the Treaty's Article 13(3).

The template has two main tables, one for exports and the other for imports. The tables are similar in construction, making it possible to have a common set of explanatory notes for both.

Article 5(3) of the Treaty states that "National definitions of any of the categories covered under Article 2 (1) (a)-(g) shall not cover less than the descriptions used in the United Nations Register of Conventional Arms at the time of entry into force of this Treaty". Against this background, Annex 1 reproduces the UN Register Definitions of Categories I-VII at the time of the ATT's entry into force. For category VIII (small arms and light weapons), the UN Register template for voluntary reporting of this category at the time of the ATT's entry into force has been employed as an approximation.

Annex 2 allows reporting States Parties to, if they so wish, include more specific information on national definitions of reported categories.

Annex 3 comprises two templates for nil reports, one for exports and one for imports. They may be used in place of a report in table format if a States Party has no transactions to report.

The title page of the template contains information on the submitting country and authority, but also a 'table of contents' in tick-box form, to indicate which of the different available forms have been included in the national submission. There is also a ~~(voluntary)~~ section where the reporting Government may indicate whether any commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty

On the title page of each of the four reporting forms (exports, imports, nil exports, nil imports) a State ~~Party has the option of indicating that the form is for distribution only to other States Parties to the Treaty~~ must indicate whether the form may be made publicly available. This makes it possible to restrict access to some forms but not others, which provides an additional measure of flexibility to the reporting States Party.

Guidance to facilitate the preparation of the annual report can be found in the document "Reporting Authorized or Actual Exports and Imports of Conventional Arms under the ATT" (hereinafter: 'FAQ'-type guidance document on the annual reporting obligation), which is available in the Tools and Guidelines section of the ATT website. This document was endorsed by States Parties at CSP3 as an informative and open-ended reference document for States Parties when preparing their annual report. At CSP5 States Parties endorsed a number of amendments that were necessary to reflect the introduction of the online reporting tool.

GOVERNMENT OF _____

ANNUAL REPORT ON EXPORTS AND IMPORTS OF CONVENTIONAL ARMS, IN ACCORDANCE WITH ARTICLE 13(3) OF THE ARMS TRADE TREATY

REPORT FOR THE CALENDAR YEAR _____

National Point of Contact for this Report:

Name :		<u>Mr.</u> <input type="checkbox"/>	<u>Mrs.</u> <input type="checkbox"/>
<u>Position/Job title :</u>			
Organisation :			
Fixed Phone :			
Mobile Phone :			
<u>Fax :</u>			
E-mail :			

Date of <u>Submission</u> <u>Report :</u>	
--	--

The United Nations Office for Disarmament Affairs (UNODA) may use the relevant information in this Annual Report as a basis for the reporting State's report to the United Register on Conventional Arms (UNROCA)	<input type="checkbox"/>
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Contents of report (check as appropriate)		Yes	No
i)	Nil report on exports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Nil report on imports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Annual report on exports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Annual report on imports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
v)	National definitions of categories of conventional arms reported	<input type="checkbox"/>	<input type="checkbox"/>

Scope of report (<u>voluntary information</u>)	Yes	No
In the submitted report, some commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty ¹ (If 'Yes' please consider explaining why and what kind of information was withheld)	<input type="checkbox"/>	<input type="checkbox"/>

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016 2020

EXPORTS OF CONVENTIONAL ARMS¹²

- SHADED COLUMNS AND ROWS REPRESENT **VOLUNTARY INFORMATION THAT GOES BEYOND THE COMMON UNDERSTANDING OF WHAT INFORMATION STATES PARTIES SHOULD INCLUDE AS A MINIMUM WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS**-

Reporting country :		Calendar Year :	Cutoff date²³ :
----------------------------	--	------------------------	-----------------------------------

In this report, the following definition of the term exports was used³⁴ (check as appropriate) :		
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

This Annual Report on exports <u>may be made publicly available⁵</u> is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
--	------------------------------	-----------------------------

Category of <u>arms⁴arms⁶</u> [I-VIII]	Authorized or actual <u>exports⁵export^{S7}</u>		Extent of <u>exports⁶exports⁸</u> (choose one or both)		Final importing State ⁹¹¹	State of origin (if not exporter) ¹⁰¹²	<u>Remarks¹¹Remarks¹³</u>	
	Auth.	Act.	Number of items ⁷⁹	Value ⁸¹⁰			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9

A. I-VII UN Registry Categories¹⁴² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³⁵)

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016 2020

Category of arms ⁴ arms ⁶ [I-VIII]		Authorized or actual exports ⁵ export ⁷		Extent of exports ⁶ exports ⁸ (choose one or both)		Final importing State ⁹¹¹	State of origin (if not exporter) ¹⁰¹²	Remarks ¹¹ Remarks ¹³	
		Auth.	Act.	Number of items ⁷⁹	Value ⁸¹⁰			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat Aircraft	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>	<input type="checkbox"/>					
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					
B. VIII. Small Arms and Light Weapons ^{164, 157}									
Small Arms (aggregated) ¹⁶⁸		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>						
2.	Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>						
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"/>						

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016 2020

Category of arms ⁴ arms ⁶ [I-VIII]		Authorised or actual exports ⁵ export ⁷		Extent of exports ⁶ exports ⁸ (choose one or both)		Final importing State ⁹¹¹	State of origin (if not exporter) ¹⁰¹²	Remarks ¹¹ Remarks ¹³	
		Auth.	Act.	Number of items ⁷⁹	Value ⁸¹⁰			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
6.	Others	<input type="checkbox"/>	<input type="checkbox"/>						
Light Weapons (aggregated)¹⁹⁷		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
2.	Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3.	Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4.	Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5.	Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6.	Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7.	Others	<input type="checkbox"/>	<input type="checkbox"/>						
C. Voluntary National Categories¹⁸²⁰ (please define in Annex 2)									
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016 2020

Category of arms ⁴ <u>arms</u> ⁶ [I-VIII]	Authorised or actual exports ⁵ <u>export</u> ⁷		Extent of exports ⁶ <u>exports</u> ⁸ (choose one or both)		Final importing State ^{9,11}	State of origin (if not exporter) ^{10,12}	Remarks ¹¹ <u>Remarks</u> ¹³	
	Auth.	Act.	Number of items ^{7,9}	Value ^{8,10}			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
	<input type="checkbox"/>	<input type="checkbox"/>						

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016 2020

IMPORTS OF CONVENTIONAL ARMS¹²

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION THAT GOES BEYOND THE COMMON UNDERSTANDING OF WHAT INFORMATION STATES PARTIES SHOULD INCLUDE AS A MINIMUM WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS. -

Reporting country :		Calendar Year :	Cutoff date³³ :
----------------------------	--	------------------------	-----------------------------------

In this report, the following definition of the term imports was used³⁴ (check as appropriate) :		
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

This Annual Report on imports <u>may be made publicly available⁵ is available only to States Parties</u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Category of arms ⁴⁶ [I-VIII]	Authorised or actual imports ⁵⁷		Extent of imports ⁶⁸ (choose one or both)		Exporting State ⁹¹¹	State of origin (if not exporter) ⁴⁰¹²	Remarks ¹³⁴⁴	
	Auth.	Act.	Number of items ⁷ items ⁹	Value ⁸¹⁰			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Register Categories¹⁴² (national definitions shall not cover less than the definitions provided in Annex 1).¹⁵³								
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>					

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016/2020

Category of arms ⁴⁶ [I-VIII]		Authorised or actual imports ⁵⁷		Extent of imports ⁶⁸ (choose one or both)		Exporting State ⁹¹¹	State of origin (if not exporter) ¹⁰¹²	Remarks ¹³⁴⁴	
		Auth.	Act.	Number of items ⁷ items ⁹	Value ⁸¹⁰			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat aircraft	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>	<input type="checkbox"/>					
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					
B. VIII. Small Arms and Light Weapons^{164, 157}									
Small Arms (aggregated)¹⁸⁶		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>						
2.	Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>						
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"/>						

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016 2020

Category of arms ⁴⁶ [I-VIII]		Authorized or actual imports ⁵⁷		Extent of imports ⁶⁸ (choose one or both)		Exporting State ⁹¹¹	State of origin (if not exporter) ¹⁰¹²	Remarks ¹³¹¹	
		Auth.	Act.	Number of items ⁷ items ⁹	Value ⁸¹⁰			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
Light Weapons (aggregated)¹⁹⁷		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
2.	Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3.	Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4.	Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5.	Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6.	Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7.	Others	<input type="checkbox"/>	<input type="checkbox"/>						
C. Voluntary National Categories¹⁸²⁰ (please define in Annex 2)									
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						

ANNEX 2 ANNUAL REPORTING TEMPLATE

~~17 #~~ July ~~2016~~2020

EXPLANATORY NOTES

- 1) [See questions 29 to 31 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 1)2) [States Parties that do not have any exports and/or imports to report should file a "nil report" clearly stating that no exports/imports have taken place in any of the categories during the reporting period. Templates for such nil reports are included in Annex 3. **See also question 33 in the 'FAQ'-type guidance document on the annual reporting obligation.**](#)
- 2)3) [Date for collected statistics \(for instance 30 June or 31 December\). **See also question 3 in the 'FAQ'-type guidance document on the annual reporting obligation.**](#)
- 3)4) [Based on UN Registry practice. An international arms transfer could mean, in addition to the physical movement of equipment to or from national territory, the transfer of title to- and control over the equipment. Other criteria are also possible. States Parties should here provide a description of the national criteria used to determine, for control purposes, exactly when an arms transfer takes place. **See also question 5 in the 'FAQ'-type guidance document on the annual reporting obligation.**](#)
- 5) [If you wish this Annual Report to be publicly available and posted on the public area of the ATT website, tick 'Yes'. If you tick 'No', this Annual Report will be posted on the restricted area of the website and will not be publicly available. See question 41 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 4)6) [As outlined in Articles 2 \(1\) \(a\)-\(h\) and 5\(3\). **For more precise definitions of the categories, see Annex 1. See also section B.ii. in the 'FAQ'-type guidance document on the annual reporting obligation.**](#)
- 5)7) [Article 13\(3\) allows reporting of either authorised or actual exports / imports. The choice can be made at the national level for a report as a whole or category by category. Please indicate by ticking the appropriate box for each category reported whether the value represents authorisations \(Auth.\) or actual exports \(Act.\). **It is highly desirable that national choices in this respect, once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both authorised and actual exports / imports~~quantity and value~~ may of course do so, but then needs to submit two tables, one for authorised exports / imports and the other for actual exports / imports. **See also questions 9 to 11 in the 'FAQ'-type guidance document on the annual reporting obligation.**](#)
- 6)8) [The size of exports / imports may be indicated either as quantity or as value. The choice can be made at the national level for each category of arms, but, **once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both quantity and value may of course do so. **See also question 24 in the 'FAQ'-type guidance document on the annual reporting obligation.**](#)
- 7)9) [Standard UN Registry reporting variable. Please indicate unit, if not 'pieces'.](#)
- 8)10) [Optional alternative. Please indicate unit \(for example national currency\).](#)

- 11) In line with UN Registry practice. See also questions 22 and 23 in the 'FAQ'-type guidance document on the annual reporting obligation on breaking down information.
- 12) In line with UN Registry practice. NB: This is a shaded column because this information goes beyond the common understanding of what information States Parties should include as a minimum when they report their authorized or actual exports and imports, voluntary in terms of the obligations of the ATT. See also question 24 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 13) In line with UN Registry practice. In the first "Remarks" column, States Parties may, if they so wish, describe the item transferred by entering the designation, type, model or any other information considered relevant. The second column may be used to explain or clarify the nature of the transfer - for instance if it is temporary (e.g. for exhibitions or repairs), or if it is industrial in nature (perhaps intended for integration into a larger system). NB: In line with UN Register practice, States Parties may choose between reporting respectively small arms and light weapons as an aggregate, or by sub-type. These are shaded columns, voluntary in terms of the obligations of the ATT. See also questions 25 to 28 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 9)14) As outlined in Article 2 (1) (a)-(g), See Annex 1 for the UN Registry's more precise definitions of the categories I-VII, including subcategories. See also question 12 and Annexes 1 and 2 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 10)15) See Article 5(3). See also question 12 and Annexes 1 and 2 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 11)16) As outlined in Article 2 (1) (h), with sub-categories taken from the UN Registry template for voluntary reporting of Small Arms and Light Weapons in alignment with the provision in Article 5(3), which stipulates that: 'For the category covered under Article 2 (1) (h), national definitions shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force of this Treaty'. This choice has been made provisionally, pending later agreement between States Parties on the desirability of using this or another UN description or definition of SALW sub-categories (for instance from the UN Firearms Protocol or the International Tracing Instrument - ITI). NB: The SALW sub-categories in this report are shaded, in line with the UN Register practice that allows States to choose between reporting small arms by sub-type or as an aggregate representing voluntary information in terms of the obligations of the ATT. See also questions 13 and 14 and Annex 3 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 12)17) "national definitions shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force of this Treaty" (Article 5(3)) See also question 12 and Annexes 1 and 2 in the 'FAQ'-type guidance document on the annual reporting obligation.

ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 20162020

- ~~13~~18) In line with UN Registry practice, States Parties may choose between reporting small arms by sub-type or as an aggregate. See also question 13 and Annex 3 in the 'FAQ'-type guidance document on the annual reporting obligation.
- ~~14~~19) In line with UN Registry practice, States Parties may choose between reporting light weapons by sub-type or as an aggregate. See also question 13 and Annex 3 in the 'FAQ'-type guidance document on the annual reporting obligation.
- ~~15~~20) Article 5(3) encourages States Parties to apply the provisions of the Treaty to the broadest range of conventional weapons. Any such additional categories are voluntary and categories used may vary between States Parties. If provided at all, extra categories should be more precisely defined in Annex 2. See also questions 15 and 16 in the 'FAQ'-type guidance document on the annual reporting obligation.

ANNEX 1

UN Registry Definitions of Categories I-VII¹

I. Battle tanks

Tracked or wheeled self-propelled armoured fighting vehicles with high cross-country mobility and a high-level of self-protection, weighing at least 16.5 metric tons unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre.

II. Armoured combat vehicles

Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and cross-country capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 millimetres calibre or a missile launcher.

III. Large-calibre artillery systems

Guns, howitzers, artillery pieces, combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 75 millimetres and above.

IV. Combat aircraft

- a) Manned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these aircraft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions;
- b) Unmanned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction.

The term “combat aircraft” does not include primary trainer aircraft, unless designed, equipped or modified as described above.

V. Attack helicopters

- a) Manned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions;
- b) Unmanned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons.

¹ Excerpted from the 2014 UN Registry reporting template

VI. Warships

Vessels or submarines armed and equipped for military use with a standard displacement of 500 metric tons or above, and those with a standard displacement of less than 500 metric tons, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.

VII. Missiles and missile launchers²

- a) Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this sub-category includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.
- b) Man-Portable Air-Defence Systems (MANPADS)³.

² Multiple-launch rocket systems are covered by the definition of category III.

³ MANPADS should be reported if the MANPAD system is supplied as a complete unit, i.e. the missile and launcher/Grip Stock form an integral unit. In addition, individual launching mechanisms or grip-stocks should also be reported. Individual missiles, not supplied with a launching mechanism or grip stock need not be reported.

ANNEX 3 A

NIL REPORT
Exports of Conventional Arms¹

Reporting country :		Calendar Year :	
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The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for exports from territory under our jurisdiction. This report serves to confirm that

<input type="checkbox"/>	no actual exports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place from territory under our jurisdiction during the reporting period indicated above.
<input type="checkbox"/>	no export authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.

This nil report on exports <u>may be made publicly available</u> ⁵ is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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ANNEX 3 B

NIL REPORT
Imports of Conventional Arms¹

Reporting country :		Calendar Year :	
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The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for imports from territory under our jurisdiction. This report serves to confirm that

<input type="checkbox"/>	no actual imports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place to territory under our jurisdiction during the reporting period indicated above.
<input type="checkbox"/>	no import authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.

This nil report on imports <u>may be made publicly available</u>⁵is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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ANNEX D

STATUS OF REPORTING AS AT 03 JULY 2020

1. Initial reports

Table 1. Initial Reports - Global statistics

	No.	%
States Parties	106	
Initial Reports due	100	94 % of States Parties
Initial Reports submitted	76	76 % of States Parties due to report
Initial Reports due but <u>not</u> submitted	24	24% of States Parties due to report
Initial Reports not made public	14	18% of Initial Reports submitted
Initial Reports submitted on time	41	54% of Initial Reports submitted
Format of reports	64	84% use CSP2 endorsed reporting template
No. of updated Initial Reports	4	

Chart 1. Overview of the status of Initial Reports

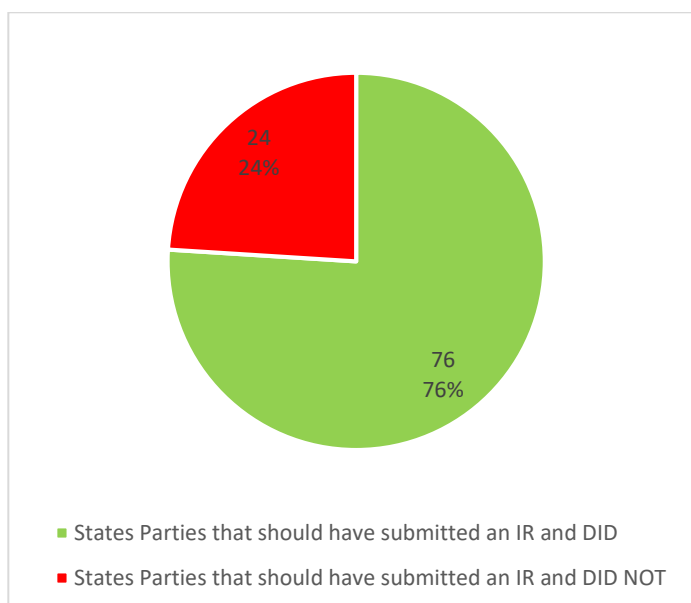
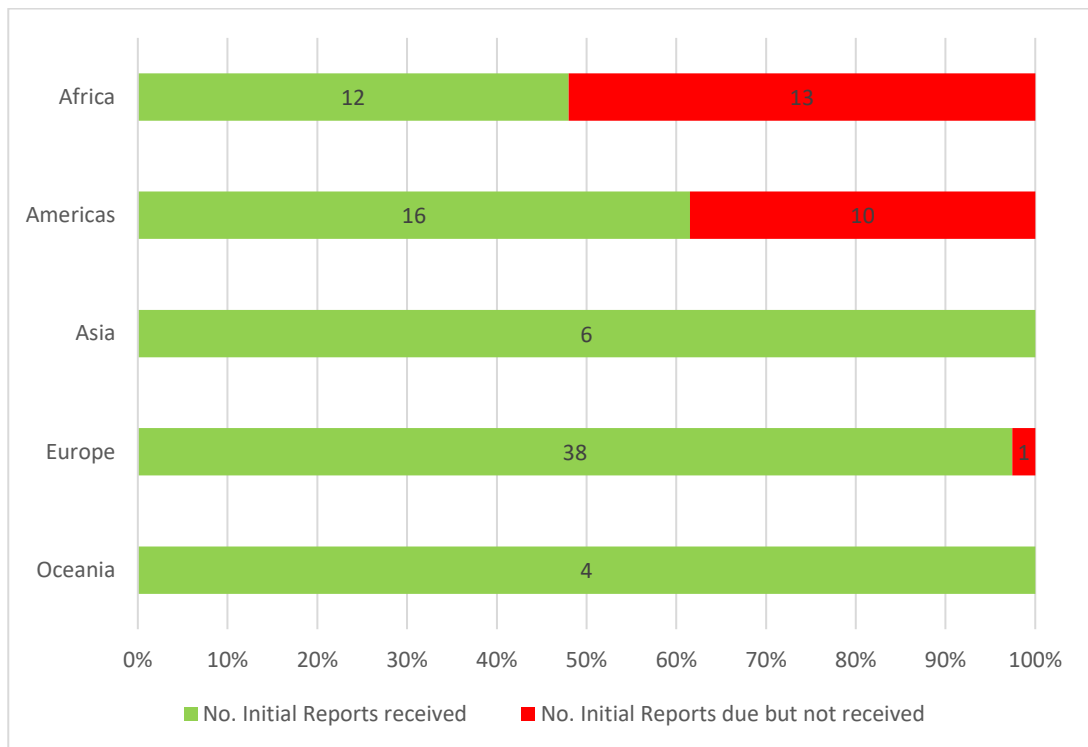


Chart 2. Initial Reports - Regional statistics

2. Annual Reports

Table 2. Annual Reports – Global statistics

	2015		2016		2017		2018		2019	
	No.	%	No.	%	No.	%	No.	%	No.	%
States Parties due to submit Annual Report	61		75		89		92		97	
States Parties that have submitted Annual Report (due + not due)	49 + 3	80% of SPs due to report	53 + 1	71% of SPs due to report	59	66% of SPs due to report	61 + 1	66% of SPs due to report	46 + 1	47% of SPs due to report
States Parties due to submit Annual Report that have <u>not</u> done so	12	20% of SPs due to report	22	29% of SPs due to report	30	34% of SPs due to report	31	34% of SPs due to report	51	53% of SPs due to report
Annual Reports not made public	1	2% of ARs	3	6% of ARs	4	7% of ARs	10	16% of ARs	9	19% of ARs
Annual Reports submitted on time (< 7 days of 31 May deadline)	28	57% of ARs due & submitted	31	58% of ARs due & submitted	37	64% of ARs due & submitted	46	75% of ARs due & submitted	37	80% of ARs due & submitted

Chart 3. Overview of Annual Report submissions 2015-2019 (by %)

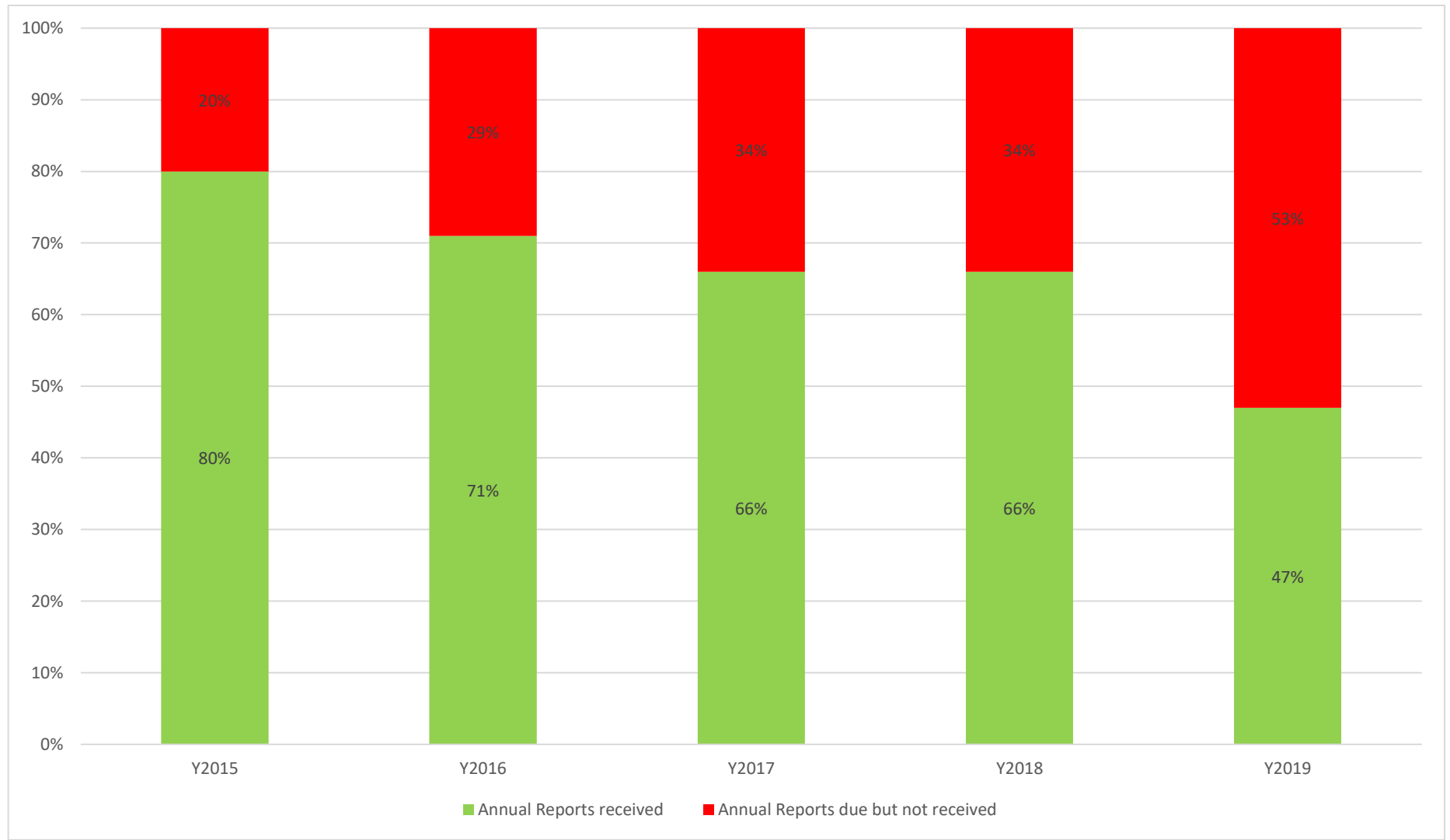


Chart 4. Overview of Annual Report submissions 2015-2019 (by no.)

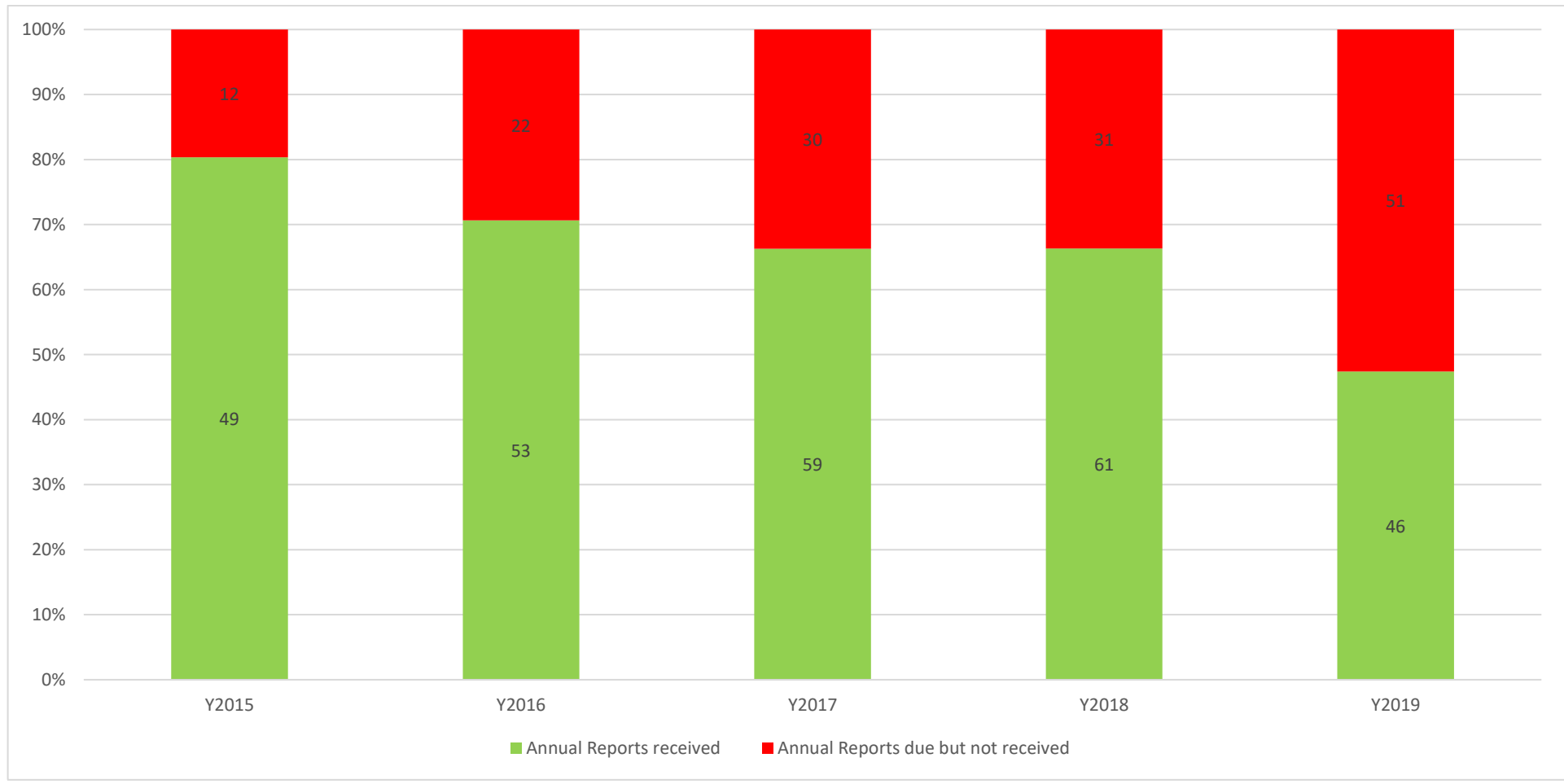


Chart 5. Overview of Annual Report submissions 2015-2019 (by region)

