The ATT National Point of Contact

Guidance Document
Contents

1. Aim of Guidance Document  03
2. What is the Arms Trade Treaty?  04
3. Background to the National Point of Contact Guidance Document  05
4. What is a National Point of Contact?  06
5. Who should be the National Point of Contact?  07
6. How is a National Point of Contact designated?  08
   6.1 Access to the restricted area of the ATT website  09
   6.2 Access to the online reporting tool  10
7. What is the role of the National Point(s) of Contact?  13
   7.1 Exchange information on matters related to the implementation of this Treaty (Article 5(6))  14
   7.2 First point of call for exchange of information regarding Articles 6, 7 and 11  14
   7.3 Provide information on the status of ATT implementation  15
   7.4 Assist in the provision of relevant information to a requesting exporting State Party (Article 8(1))  15
   7.5 Assist in the provision of cooperation and exchange of information in the prevention, detection and mitigation of diversion (Article 11)  15
   7.6 Serve as the liaison on matters related to the State Party’s reporting under the ATT
      7.6.1 What are the ATT reporting requirements?  17
      7.6.2 Initial Reports  17
      7.6.3 Annual Reports  17
      7.6.4 Report format  18
      7.6.5 Report submission  19
      7.6.6 Resources to assist with reporting  20
   7.7 Serve as the liaison on matters related to the State Party’s financial contributions to the ATT  20
   7.8 Participate in ATT meetings  20
   7.9 Share information relating to the Voluntary Trust Fund  21
   7.10 Record-keeping  22
8. Conclusion  22
ANNEX A - The Arms Trade Treaty  23
1. Aim of Guidance Document

This document has been developed by the Arms Trade Treaty Secretariat to provide guidance on the role and tasks of National Points of Contact (NPCs) to exchange information on matters related to implementation of the Arms Trade Treaty (ATT).

It sets out the role envisaged for the NPC under the Treaty and their areas of responsibility. The Guide is a voluntary, non-prescriptive and living document designed to help NPCs designated by States Parties to undertake their responsibilities in accordance with Article 5(6) of the ATT.
2. What is the Arms Trade Treaty?

The ATT is an international treaty that regulates the international trade in conventional arms and seeks to prevent and eradicate illicit trade and diversion of conventional arms by establishing international standards governing arms transfers. The Treaty came into force on 24 December 2014. At the time of publication, over 110 States have become States Parties to the Treaty and some 30 States have signed, but not yet ratified, the Treaty.

The object of the Treaty as outlined in Article 1 is to:

- Establish the highest possible common international standards for regulating or improving the regulation of the international trade in conventional arms;
- Prevent and eradicate the illicit trade in conventional arms and prevent their diversion;

for the purpose of:

- Contributing to international and regional peace, security and stability;
- Reducing human suffering;
- Promoting cooperation, transparency and responsible action by States Parties in the international trade in conventional arms, thereby building confidence among States Parties.

NPCs play a critical role in supporting national efforts by States Parties towards achieving the above.

1 As at 22 July 2022
3. Background to the National Point of Contact Guidance Document

Article 5(6) of the ATT requires each State Party to designate one or more National Points of Contact to exchange information on Treaty implementation and must also provide contact information of that point of contact to the ATT Secretariat. Article 18 (3) of the ATT mandates the ATT Secretariat to ‘maintain and make available to States Parties the list of national points of contact’.

In its report to the Third Conference of States Parties (CSP3) to the ATT held in Geneva from 11-15 September 2017, the Working Group on Transparency and Reporting (WGTR) emphasized the potential role of NPCs in exchanging information on Treaty-related topics and improving compliance with mandatory reporting obligations under the Treaty\(^2\). CSP3 mandated the ATT Secretariat to prepare a guidance document for NPCs describing the role and possible tasks for that function, including that of ensuring mandatory ATT reporting is prepared and submitted in a timely and complete fashion\(^3\), in accordance with the recommendation made by the WGTR.\(^4\)

The ATT Secretariat has prepared this document in response to the requirements of the Treaty and the directive of CSP3 to provide guidance to NPCs on their role and possible tasks. The information on the role and tasks of NPCs is drawn from the text of the Treaty and working practices which have developed since the entry into force of the Treaty. Furthermore, it draws on the common practices of other multilateral processes.

---

\(^4\) See paragraph 54(g) of the WGTR Co-chairs’ Draft Report to CSP3 (ATT/CSP3.WGTR/2017/CHAIR/159/Conf.Rep).
4. What is a National Point of Contact?

A NPC is a person or entity designated by a State Party to be the primary or main point of contact on information exchange regarding ATT implementation matters, in accordance with Article 5(6). A State Party may appoint more than one NPC. Where more than one individual or entity is designated as the NPC, it is advisable for a State Party concerned to make necessary internal coordination arrangements.

NPCs have a key role to play and this is discussed under the section 'What is the role of the National Point of Contact?'.

The designation of a NPC is a working arrangement to allow for the information exchange and flow between States Parties, as well as between the ATT Secretariat and States Parties, in accordance with Article 5(6) of the Treaty.
5. Who should be the National Point of Contact?\textsuperscript{5}

Each State Party is free to determine whether the NPC is an individual person or an institution, and in which Ministry or government agency the NPC is/are located. The NPC may be part of the national competent authority, but this is not a Treaty requirement.

The individual or institution designated to be a State Party’s NPC may have some direct role or engagement in (and therefore knowledge of) the ATT-related obligations and activities of the State. For example, the individual or institution may be part of the export control agency of the State (if the State has one), or the Ministry of Defence (which will be involved in the acquisition of defence-related equipment), or the Ministry of Foreign Affairs (which will be involved in representing the State at ATT meetings and related events).

Other international instruments, including the UN Programme of Action\textsuperscript{6} and the International Tracing Instrument\textsuperscript{7} also require States to establish or designate a NPC to exchange information and act as a liaison on matters relating to implementation\textsuperscript{8}. Some States have designated the same individual or institution as the NPC for more than one of the conventional arms related instruments. This practice is encouraged as it acknowledges and facilitates synergies between instruments.

\textsuperscript{5} This section is taken from section 3(b)(ii)(l) of the Voluntary Basic Guide to Establishing a National Control System, which formed Annex A to the Working Group on Effective Treaty Implementation Chair’s Draft Report to CSP5 (ATT/CSP5.\textsuperscript{WGETI/2019/CHAIR/529/Conf.Rep}).

\textsuperscript{6} Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) of 20 July 2001 (UN Document A/CONF.192/15).

\textsuperscript{7} Report of the Open-ended Working Group to Negotiate an International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons of 27 June 2005 (A/60/88).

\textsuperscript{8} Other examples include: the Firearms Protocol; the UN Register of Conventional Arms; the UN Report on Military Expenditures.
6. How is a National Point of Contact designated?

As noted above, it is the responsibility of the State Party to inform the ATT Secretariat as to the identity of their NPC, in accordance with Article 5(6) of the ATT. A State can designate one or several NPCs, for example, from different departments or different levels of administration (state, federal). In designating a NPC, due regard should be given to the role and tasks, listed from page 15.

To designate a NPC, a formal communication such as a note verbale is required to be sent to the ATT Secretariat by the relevant Ministry or Head of Department via email to: info@thearmstradetreaty.org. To facilitate the administration of the NPC database, the details required to be communicated are:

- Name;
- Job title/Position;
- Government Ministry or Department;
- Email(s);
- Telephone number(s); and,
- Office address of the designated National Point of Contact.

Each State Party is encouraged to establish a dedicated email address for the NPC so that the contact email address for the NPC does not change, even if the individual person fulfilling the role does.

In case of a change of NPC, this information can be communicated by the previous NPC to the ATT Secretariat at: info@thearmstradetreaty.org. The ATT Secretariat maintains a list of current NPCs in the restricted area of the ATT website, which can only be accessed by representatives of States Parties that have requested and been granted access to the restricted area. Access to the restricted area of the ATT website is useful for National Points of Contact when fulfilling their role. Anyone wishing to have access to the restricted area must apply through the website9. It should be noted that whilst any number of representatives of a State

---

Party can have access to the restricted area, only one username and password can be used by each State Party to access the online reporting tool (see below).

6.1. Access to the restricted area of the ATT website

The restricted area of the ATT Website contains information and documentation available to States Parties only and, to a limited extent, Signatory States.

Representatives of States Parties and Signatory States requesting access to the restricted area must:

1. Fill in the online application form on the ATT website (see figures one, two and three overleaf); and,

2. Arrange for an official supporting document to be submitted, by the relevant government entity or mission, directly to the ATT Secretariat at info@thearmstradetreaty.org.

The official supporting document should be submitted in the form of a note verbale and should contain the: name; job title/position; government ministry or department; email(s); telephone number(s); and, office address of the individual designated to access the restricted area on behalf of their State.

The NPC is expected to know who has access to the restricted area of the ATT website and be in a position/be authorized to confirm whether someone with restricted access has left the Government and should no longer have access.
6.2. Access to the online reporting tool

To be able to submit ATT reports online through the reporting tool, representatives of States Parties must:

1. Fill in the online application form on the ATT website (see figures one, two and three); and,

2. Arrange for an official supporting document to be submitted, by the relevant government entity or mission, directly to the ATT Secretariat at info@thearmstradetreaty.org.

The official supporting document should be submitted in the form of a note verbale and should contain the: name; job title/position; government ministry or department; email(s); telephone number(s); and, office address of the individual designated to access the online reporting tool on behalf of their State.

Figure 1: Login Screen
Registration to Restricted Area

The Restricted Area of the ATT Website contains information and documentation available to States Parties only and, to a limited extent, Signatory States.

Representatives of States Parties and Signatory States requesting access to the Restricted Area must: (1) fill in the online application form on this page AND (2) arrange for an official document to be submitted by the relevant government entity or mission to the ATT Secretariat at: info@haarmemradetreaty.org (Information on the official document is available here).

- First name
- Last name
- Position
- Located in:
  - Select
- State:
  - Select
- ATT status:
  - State Party
  - Signatory State
- Ministry or Agency
- E-mail: example@domain.com
- Note: your e-mail address will be your login name to the Restricted Area.
- Telephone number

I declare that I will not share my username and password for the ATT Restricted Area with anyone.

Submit registration request

Figure 2: Registration
Registration to Restricted Area

The Restricted Area of the ATT Website contains information and documentation available to States Parties only and, to a limited extent, Signatory States.

Representatives of States Parties and Signatory States requesting access to the Restricted Area must 1) fill in the online application form on this page AND 2) arrange for an official document to be submitted by the relevant government entity or mission to the ATT Secretariat at: info@thearmstradetreaty.org

(information on the official document is available here).

Figure 3: Input data into the form

A State Party may request that a specific email address rather than a specific person be designated as the point of contact for reporting, so that the credentials to access the online reporting tool by the State can be used by, and shared among, several persons who may need to enter and upload data and information to the online report (rather than it being the responsibility of a single individual). In such cases, the note verbale should indicate that the State requests that its access to the online reporting tool be linked to an email address not a specific person, but should still include details of a person who can be contacted by the ATT Secretariat in the event that there are problems or questions associated with the State’s report.
7. What is the role of the National Point(s) of Contact?¹⁰

The ATT Secretariat keeps a record of States Parties’ implementation of, and compliance with, certain Treaty commitments, including: submission of information on national control lists (Article 5); competent national authorities (Article 5); National Points of Contact (Article 5); the submission of Initial and Annual Reports (Article 13); and payment of financial contributions.

The role of a State Party’s NPC is to facilitate the exchange of information on Treaty implementation. The NPC is expected to act as the primary liaison on all matters related to Treaty implementation and serve as a key source of knowledge and information on national implementation of the ATT.

This includes being a source of information on the ATT for persons within the State Party itself, as well as a source of information for the ATT Secretariat.

Some of the specific activities the NPC could engage in with respect to the ATT include:

- exchange information on matters related to the implementation of this Treaty (Article 5(6));
- first point of call for exchange of information regarding Articles 6, 7 and 11;
- provide information on the status of ATT implementation;
- assist in the provision of relevant information to a requesting exporting State Party (Article 8(1));
- assist in the provision of cooperation and exchange of information in the prevention, detection and mitigation of diversion (Article 11);
- serve as the liaison on matters related to the State Party’s reporting under the ATT;
- serve as the liaison on matters related to the State Party’s financial contributions to the ATT; and
- participate in ATT meetings.

The following section explores and unpacks the specific activities listed above in more detail.

7.1. Exchange information on matters related to the implementation of this Treaty (Article 5(6))

At the national level: The NPC is expected to facilitate the distribution of information on the ATT at the national level, supporting the Treaty’s implementation and/or awareness-raising efforts, in cooperation with other national counterparts.

The NPC should coordinate, participate in or at least be informed of activities related to the ATT at the national level involving the different authorities dealing with ATT implementation. In addition, the National Point of Contact is expected to facilitate information sharing amongst national authorities and institutions involved in or affected by ATT implementation and share relevant information (e.g., the outcomes of ATT meetings and Conferences of States Parties) with them.

With the ATT Secretariat: The NPC is expected to facilitate communication between the ATT Secretariat and the competent authority(ies), including with regard to the status of ATT implementation, the need for assistance including from the Voluntary Trust Fund (VTF) and the ATT Sponsorship Programme.

The NPC is expected to notify the ATT Secretariat about the name and contact details of a successor to the current NPC as soon as changes are known, by writing to: info@thearmstradetreaty.org.

7.2. First point of call for exchange of information regarding Articles 6, 7 and 11

There are many ways in which States Parties can engage in information exchange, regarding Articles 6, 7 and 11. For example through correspondence between the national transfer control authorities of different States Parties or by circulating information through appropriate channels within the framework of existing or new bilateral, regional or multilateral mechanisms for information-sharing and exchange. In that respect, regarding Article 11, the Sixth Conference of States Parties (CSP6) established its own Diversion Information Exchange Forum (DIEF). In most cases, direct communication regarding Articles 6, 7 and 11 is through direct dialogue between NPCs or via a NPC engaging with the national transfer control authorities of another State.
While the NPC may not be responsible for transfer authorization, they should be aware of the national arms transfer process, matters under consideration, and persons and agencies responsible for arms transfer decisions.

Consistency, objectivity and non-discrimination in decision-making on export authorizations is important. The NPC should be cognisant of this and could provide advice accordingly should it be required. Records on previous authorizations (over the preceding ten years at least) should be maintained and accessible so that various pertinent previous assessments and decisions can be taken into account when assessing a new case.

7.3. Provide information on the status of ATT implementation

The NPC should be familiar with the status of ATT implementation and strengths or challenges of national controls to enable bilateral, regional and international assistance. Generally, information on Treaty implementation for a State Party can be found in the initial reports and previous annual reports submitted by that State. Should few or even no reports have been submitted, the NPC could review national legislation, domestic policy and current export and import control practices to understand the status of implementation.

7.4. Assist in the provision of relevant information to a requesting exporting State Party (Article 8(1))

Depending on practices of a State Party, the NPC, should, to the extent possible, provide relevant information to an exporting State Party to assist with the conduct of a national export assessment. This information may include end use or end user documentation or on the delivery verification certification process.

7.5. Assist in the provision of cooperation and exchange of information in the prevention, detection and mitigation of diversion (Article 11)

States Parties to the ATT involved in the transfer of conventional arms have a legal obligation to take measures to prevent their diversion (Article 11(1)). The risk of diversion can be mitigated by close cooperation and information-sharing with other States Parties involved in the arms transfer chain.
On the bilateral level, this is often done through the NPC. Mitigation measures may be time-sensitive which is why it is important that States Parties provide up to date contact details for their NPCs to facilitate rapid and efficient information-sharing. To facilitate information-sharing on the multilateral level, the Sixth Conference of States Parties (CSP6) established the Diversion Information Exchange Forum (DIEF). In order for a States Parties to effectively bring diversion cases to the DIEF, the NPC can also have an important role, for example in awareness-raising intra-agency coordination.

7.6. Serve as the liaison on matters related to the State Party’s reporting under the ATT

Under Article 13, States Parties are required to submit reports to the ATT Secretariat. The NPC may be responsible for completing and submitting a State Party’s Initial Report and Annual Reports. Even if the NPC does not have responsibility for completing a State Party’s ATT reports, the NPC could help coordinate the preparation and submission of a State Party’s ATT reports to the ATT Secretariat, including ensuring that the deadlines for submission are met.
The NPC is expected to have knowledge of which State agencies and departments are responsible for preparing a State Party’s ATT reports, and what the status of the preparation of reports is. If the ATT Secretariat has questions regarding the status of ATT reports or requires clarification regarding information included in reports that have been submitted by a State, the NPC is expected to be in a position to respond to the ATT Secretariat’s queries or direct the ATT Secretariat to the appropriate person or agency to address the matter.

7.6.1. What are the ATT reporting requirements?

As stated above, under Article 13, States Parties are required to submit reports to the ATT Secretariat. An initial step in familiarising yourself with the reporting status of a State Party is to review previous reports submitted to the ATT Secretariat. Reports submitted are published on the ATT website. If the NPC does not hold the responsibility for completing or signing off on the ATT reports they should be working with the person or team that holds such responsibility. It is advisable that the NPC knows and coordinates the use of the email address that serves as the ‘username’ for the State Party to access the online reporting tool.

7.6.2. Initial Reports

Under Article 13(1) of the ATT, States Parties are required to provide an Initial Report to the ATT Secretariat that describes the measures the state has taken to implement the Treaty, ‘including national laws, national control lists and other regulations and administrative measures’.

Each State Party is required to submit its Initial Report ‘within the first year after entry into force of this Treaty for that State Party’. If an initial report has not yet been submitted for the State, the NPC would be well placed to commence the process for the preparation and submission of such a report. This could be done by alerting the responsible person or agency that the report is outstanding or by initiating the input of information into the report.

7.6.3. Annual Reports

Under Article 13(3) of the ATT, States Parties are required to submit a report on an annual basis that includes information ‘concerning authorized or actual exports and imports of conventional arms covered under Article 2(1)’ that were made during the preceding calendar year (01 January to 31 December). The deadline for the submission of Annual Reports to the ATT Secretariat is 31 May each year.
States Parties that do not have any authorized or actual exports and/or imports to report should submit a “nil report” to the ATT Secretariat, clearly stating that no exports and/or imports have taken place in any of the categories during the reporting period. Nil reporting is important, because it enables States Parties to demonstrate their compliance with the Treaty’s annual reporting obligation even if they have no transfers to report in a given year.

If States Parties do not have any exports and/or imports to report in only certain categories of conventional arms, they should indicate this by entering the word “nil” in the appropriate columns of their report.

In a survey conducted by the ATT Secretariat, several NPCs noted that timely internal coordination can be a challenge to delivering the annual report by the May deadline. Taking this into account, it is advisable to develop an internal timeline, in collaboration with all appropriate persons responsible for ensuring that an accurate and comprehensive annual report is submitted on time.

7.6.4. Report format

The ATT does not prescribe a format that States Parties must use in submitting their Initial and Annual Reports. However, during the Second Conference of States Parties (CSP2), States Parties endorsed and recommended reporting templates that States Parties can use to prepare and submit their initial and annual reports. These reporting templates, which were revised by the Seventh Conference of States Parties (CSP7), are available on the ATT website in Arabic, English, French, Russian and Spanish. The templates have also been integrated into the online reporting tool, in English, French or Spanish.

For the annual report, States Parties can also use their submission to the UNROCA to comply with the annual reporting obligation, as the Treaty itself provides that the ATT annual report may contain the same information submitted by the State Party to the UNROCA. States Parties using their UNROCA report should make sure, however, that its content complies with the annual reporting obligation of the Treaty. This concerns in particular the reporting on exports and imports of small arms and light weapons, as the Treaty places a legal obligation on States Parties to report on these. Under the 2014 UNROCA, States were only invited to include additional voluntary information about exports and imports of small arms and light weapons in their report.

The ATT allows States Parties to exclude commercially sensitive or national security information from their annual reports. The Treaty does not provide guidance regarding what constitutes ‘commercially sensitive’ or ‘national security’
information. It is at the discretion of States Parties to determine whether certain information is commercially sensitive or may affect national security. However, in exercising their discretion, States Parties should take into account the Treaty’s purpose in Article 1 of promoting transparency (and indeed the Conference of States Parties has consistently emphasised that transparency is a key purpose of the Treaty and central to the work of the WGTR (see paragraph 26 of the CSP7 Final Report)). States Parties therefore are expected to assess on a case-by-case basis whether or not an omission is in the public interest, rather than applying blanket omissions. In addition, States Parties may face limitations at the national level on their ability not to disclose certain commercially sensitive information, in the context of freedom of information principles and regulations.

7.6.5. Report submission

States Parties are encouraged to submit their reports through the ATT website. However, should there be a problem with the online reporting tool, States can submit their reports to the ATT Secretariat via email to: info@thearmstradetreaty.org (or post, courier or hand delivery).

Upon receipt of the report, the ATT Secretariat will publish the report on the public part of the ATT website, unless the State Party indicates explicitly that the report should not be made publicly available. In the latter case, the report will be published in the restricted area of the website and will only be available to States Parties. Making the report available to other States Parties is in itself a clear treaty obligation.

Figure 4: Online Reporting Tool
7.6.6. Resources to assist with reporting

The Initial and Annual reporting templates, as endorsed by CSP7, contain the elements that a State Party is obliged to report on.

At CSP3, States Parties also endorsed a Questions and Answers document relating to reporting on authorized or actual exports and imports of conventional arms under the ATT. This document provides, in the form of questions and answers, information to facilitate the preparation of the mandatory annual report. This document is regularly updated and is available on the ATT website in Arabic, English, French, Russian and Spanish.

An additional resource is the *'Working Paper on National-level Measures to Facilitate Compliance with International Reporting Obligations and Commitments'*'. This document offers guidance on the organization of reporting duties and is also available on the ATT website in Arabic, English, French, Russian and Spanish.13

7.7. Serve as the liaison on matters related to the State Party’s financial contributions to the ATT

The NPC could act as the point of contact /liaison person with respect to queries regarding a State Party’s financial contributions (or, at a minimum, know the identity and contact details of the person responsible for such matters).

The ATT Secretariat will include NPCs on all communication regarding States Parties’ financial contributions to the ATT. NPCs should ensure that correspondence received regarding financial contributions is forwarded to the relevant entity responsible for paying for and addressing queries related to financial contributions.

7.8. Participate in ATT meetings

Ideally each State Party’s NPC will participate in ATT meetings. This helps ensure the NPC is informed of developments within the ATT process and can support the State’s participation in the meeting since they should have knowledge of the status of national implementation efforts, as well as the ATT process in general. The participation of NPCs in ATT meetings also provides an opportunity for NPCs to liaise directly with each other and the ATT Secretariat to exchange information on implementation efforts, challenges and successes. It should be noted that the

---

ATT process encourages a gender balance in all delegations. The NPC could also help coordinate the list of representatives from the State Party that will attend meetings and should be in a position to confirm the final list of delegates to the ATT Secretariat.

The ATT Sponsorship Programme was established to facilitate the participation of State representatives in ATT meetings through financial assistance. The Fourth Conference of States Parties (CSP4) entrusted the administration of the ATT sponsorship programme to the ATT Secretariat, which is done in accordance with the Administrative Guidelines adopted by the Fifth Conference of States Parties (CSP5) in August 2019. Please consult the ATT website for details on how to apply.

7.9. Share information relating to the Voluntary Trust Fund

Article 16(3) of the ATT provides for the establishment of a Voluntary Trust Fund (VTF) to support national implementation of the Treaty. The VTF was formally established in August 2016 by the Second Conference of States Parties (CSP2) to operate under its Terms of Reference. The VTF aims to assist requesting States requiring international assistance to implement their Treaty obligations, including with respect to legal or legislative assistance, institutional capacity building, and technical, material and financial assistance.

The NPC should be aware of any VTF-funded project the State is involved in/implementing, and should be in a position to help the ATT Secretariat locate and reach out to project contact persons, if needed. The NPC should share information regarding the availability of VTF funds amongst relevant agencies so that the potential needs of projects can be assessed.

Should a State decide to apply for VTF assistance, the ATT website contains many useful videos (in Arabic, Chinese, English, French, Russian, and Spanish) on how to complete the VTF Grant Application Form and a Detailed Budget Form. The VTF has a budget cap of USD 100,000 unless the project involves more than one beneficiary state. The VTF calls for proposals are normally issued in October of each year with a deadline in mid-January.

---

7.10. Record-keeping

In accordance with Article 12, each State Party is obliged to keep records relating to the granting of export licences or actual exports. Records must be maintained for at least ten years, however, best practice would allow for longer-term maintenance of such records.

Should a request be made for information relating to transfers conducted, it would be useful for the NPC to be aware of where transfer records are located, who provides access to them and the protocols for accessing the records.

8. Conclusion

This document has been developed to assist NPCs designated by States Parties in fulfilling their role and undertaking possible tasks associated with this role. This is a living document that will be updated as appropriate.
ANNEX A -
The Arms Trade Treaty
United Nations

The Arms Trade Treaty

Preamble

The States Parties to this Treaty,

Guided by the purposes and principles of the Charter of the United Nations,

Recalling Article 26 of the Charter of the United Nations which seeks to promote the establishment and maintenance of international peace and security with the least diversion for armaments of the world’s human and economic resources,

Underlining the need to prevent and eradicate the illicit trade in conventional arms and to prevent their diversion to the illicit market, or for unauthorized end use and end users, including in the commission of terrorist acts,

Recognizing the legitimate political, security, economic and commercial interests of States in the international trade in conventional arms,

Reaffirming the sovereign right of any State to regulate and control conventional arms exclusively within its territory, pursuant to its own legal or constitutional system,

Acknowledging that peace and security, development and human rights are pillars of the United Nations system and foundations for collective security and recognizing that development, peace and security and human rights are interlinked and mutually reinforcing,

Recalling the United Nations Disarmament Commission Guidelines for international arms transfers in the context of General Assembly resolution 46/36H of 6 December 1991,

Noting the contribution made by the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, as well as the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime, and the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons,

Recognizing the security, social, economic and humanitarian consequences of the illicit and unregulated trade in conventional arms,

Bearing in mind that civilians, particularly women and children, account for the vast majority of those adversely affected by armed conflict and armed violence, Recognizing also the challenges faced by victims of armed conflict and their need for adequate care, rehabilitation and social and economic inclusion,

Emphasizing that nothing in this Treaty prevents States from maintaining and adopting additional effective measures to further the object and purpose of this Treaty,
Mindful of the legitimate trade and lawful ownership, and use of certain conventional arms for recreational, cultural, historical, and sporting activities, where such trade, ownership and use are permitted or protected by law,

Mindful also of the role regional organizations can play in assisting States Parties, upon request, in implementing this Treaty,

Recognizing the voluntary and active role that civil society, including nongovernmental organizations, and industry, can play in raising awareness of the object and purpose of this Treaty, and in supporting its implementation,

Acknowledging that regulation of the international trade in conventional arms and preventing their diversion should not hamper international cooperation and legitimate trade in materiel, equipment and technology for peaceful purposes,

Emphasizing the desirability of achieving universal adherence to this Treaty,

Determined to act in accordance with the following principles;

Principles

– The inherent right of all States to individual or collective self-defence as recognized in Article 51 of the Charter of the United Nations;

– The settlement of international disputes by peaceful means in such a manner that international peace and security, and justice, are not endangered in accordance with Article 2 (3) of the Charter of the United Nations;

– Refraining in their international relations from the threat or use of force against the territorial integrity or political independence of any State, or in any other manner inconsistent with the purposes of the United Nations in accordance with Article 2 (4) of the Charter of the United Nations;

– Non-intervention in matters which are essentially within the domestic jurisdiction of any State in accordance with Article 2 (7) of the Charter of the United Nations;

– Respecting and ensuring respect for international humanitarian law in accordance with, inter alia, the Geneva Conventions of 1949, and respecting and ensuring respect for human rights in accordance with, inter alia, the Charter of the United Nations and the Universal Declaration of Human Rights;

– The responsibility of all States, in accordance with their respective international obligations, to effectively regulate the international trade in conventional arms, and to prevent their diversion, as well as the primary responsibility of all States in establishing and implementing their respective national control systems;

– The respect for the legitimate interests of States to acquire conventional arms to exercise their right to self-defence and for peacekeeping operations; and to produce, export, import and transfer conventional arms;

– Implementing this Treaty in a consistent, objective and non-discriminatory manner,
Article 1
Object and Purpose

The object of this Treaty is to:

- Establish the highest possible common international standards for regulating or improving the regulation of the international trade in conventional arms;
- Prevent and eradicate the illicit trade in conventional arms and prevent their diversion; for the purpose of:
  - Contributing to international and regional peace, security and stability;
  - Reducing human suffering;
  - Promoting cooperation, transparency and responsible action by States Parties in the international trade in conventional arms, thereby building confidence among States Parties.

Article 2
Scope

1. This Treaty shall apply to all conventional arms within the following categories:
   (a) Battle tanks;
   (b) Armoured combat vehicles;
   (c) Large-calibre artillery systems;
   (d) Combat aircraft;
   (e) Attack helicopters;
   (f) Warships;
   (g) Missiles and missile launchers; and
   (h) Small arms and light weapons.

2. For the purposes of this Treaty, the activities of the international trade comprise export, import, transit, trans-shipment and brokering, hereafter referred to as "transfer".

3. This Treaty shall not apply to the international movement of conventional arms by, or on behalf of, a State Party for its use provided that the conventional arms remain under that State Party's ownership.
Article 3
Ammunition/Munitions

Each State Party shall establish and maintain a national control system to regulate the export of ammunition/munitions fired, launched or delivered by the conventional arms covered under Article 2 (1), and shall apply the provisions of Article 6 and Article 7 prior to authorizing the export of such ammunition/munitions.

Article 4
Parts and Components

Each State Party shall establish and maintain a national control system to regulate the export of parts and components where the export is in a form that provides the capability to assemble the conventional arms covered under Article 2 (1) and shall apply the provisions of Article 6 and Article 7 prior to authorizing the export of such parts and components.

Article 5
General Implementation

1. Each State Party shall implement this Treaty in a consistent, objective and non-discriminatory manner, bearing in mind the principles referred to in this Treaty.

2. Each State Party shall establish and maintain a national control system, including a national control list, in order to implement the provisions of this Treaty.

3. Each State Party is encouraged to apply the provisions of this Treaty to the broadest range of conventional arms. 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. 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.

4. Each State Party, pursuant to its national laws, shall provide its national control list to the Secretariat, which shall make it available to other States Parties. States Parties are encouraged to make their control lists publicly available.

5. Each State Party shall take measures necessary to implement the provisions of this Treaty and shall designate competent national authorities in order to have an effective and transparent national control system regulating the transfer of conventional arms covered under Article 2 (1) and of items covered under Article 3 and Article 4.

6. Each State Party shall designate one or more national points of contact to exchange information on matters related to the implementation of this Treaty. Each State Party shall notify the Secretariat, established under Article 18, of its national point(s) of contact and keep the information updated.
Article 6
Prohibitions

1. A State Party shall not authorize any transfer of conventional arms covered under Article 2 (1) or of items covered under Article 3 or Article 4, if 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.

2. A State Party shall not authorize any transfer of conventional arms covered under Article 2 (1) or of items covered under Article 3 or Article 4, if 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.

3. A State Party shall not authorize any transfer of conventional arms covered under Article 2 (1) or of items covered under Article 3 or Article 4, if it has knowledge at the time of authorization that the arms or items would be used in the commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party.

Article 7
Export and Export Assessment

1. If the export is not prohibited under Article 6, each exporting State Party, prior to authorization of the export of conventional arms covered under Article 2 (1) or of items covered under Article 3 or Article 4, under its jurisdiction and pursuant to its national control system, shall, in an objective and non-discriminatory manner, taking into account relevant factors, including information provided by the importing State in accordance with Article 8 (1), assess the potential that the conventional arms or items:
   (a) would contribute to or undermine peace and security;
   (b) could be used to:
      (i) commit or facilitate a serious violation of international humanitarian law;
      (ii) commit or facilitate a serious violation of international human rights law;
           commit or facilitate an act constituting an offence under international conventions or protocols relating to terrorism to which the exporting State is a Party; or
      (iii) commit or facilitate an act constituting an offence under international conventions or protocols relating to transnational organized crime to which the exporting State is a Party.

2. The exporting State Party shall also consider whether there are measures that could be undertaken to mitigate risks identified in (a) or (b) in paragraph 1, such as confidence-building measures or jointly developed and agreed programmes by the exporting and importing States.
3. If, after conducting this assessment and considering available mitigating measures, the exporting State Party determines that there is an overriding risk of any of the negative consequences in paragraph 1, the exporting State Party shall not authorize the export.

4. The exporting State Party, in making this assessment, shall take into account the risk of the conventional arms covered under Article 2 (1) or of the items covered under Article 3 or Article 4 being used to commit or facilitate serious acts of gender-based violence or serious acts of violence against women and children.

5. Each exporting State Party shall take measures to ensure that all authorizations for the export of conventional arms covered under Article 2 (1) or of items covered under Article 3 or Article 4 are detailed and issued prior to the export.

6. Each exporting State Party shall make available appropriate information about the authorization in question, upon request, to the importing State Party and to the transit or trans-shipment States Parties, subject to its national laws, practices or policies.

7. If, after an authorization has been granted, an exporting State Party becomes aware of new relevant information, it is encouraged to reassess the authorization after consultations, if appropriate, with the importing State.

Article 8
Import

1. Each importing State Party shall take measures to ensure that appropriate and relevant information is provided, upon request, pursuant to its national laws, to the exporting State Party, to assist the exporting State Party in conducting its national export assessment under Article 7. Such measures may include end use or end user documentation.

2. Each importing State Party shall take measures that will allow it to regulate, where necessary, imports under its jurisdiction of conventional arms covered under Article 2 (1). Such measures may include import systems.

3. Each importing State Party may request information from the exporting State Party concerning any pending or actual export authorizations where the importing State Party is the country of final destination.

Article 9
Transit or trans-shipment

Each State Party shall take appropriate measures to regulate, where necessary and feasible, the transit or trans-shipment under its jurisdiction of conventional arms covered under Article 2 (1) through its territory in accordance with relevant international law.
Article 10
Brokering

Each State Party shall take measures, pursuant to its national laws, to regulate brokering taking place under its jurisdiction for conventional arms covered under Article 2 (1). Such measures may include requiring brokers to register or obtain written authorization before engaging in brokering.

Article 11
Diversion

1. Each State Party involved in the transfer of conventional arms covered under Article 2 (1) shall take measures to prevent their diversion.

2. The exporting State Party shall seek to prevent the diversion of the transfer of conventional arms covered under Article 2 (1) through its national control system, established in accordance with Article 5 (2), by assessing the risk of diversion of the export and considering the establishment of mitigation measures such as confidence-building measures or jointly developed and agreed programmes by the exporting and importing States. Other prevention measures may include, where appropriate: examining parties involved in the export, requiring additional documentation, certificates, assurances, not authorizing the export or other appropriate measures.

3. Importing, transit, trans-shipment and exporting States Parties shall cooperate and exchange information, pursuant to their national laws, where appropriate and feasible, in order to mitigate the risk of diversion of the transfer of conventional arms covered under Article 2 (1).

4. If a State Party detects a diversion of transferred conventional arms covered under Article 2 (1), the State Party shall take appropriate measures, pursuant to its national laws and in accordance with international law, to address such diversion. Such measures may include alerting potentially affected States Parties, examining diverted shipments of such conventional arms covered under Article 2 (1), and taking follow-up measures through investigation and law enforcement.

5. In order to better comprehend and prevent the diversion of transferred conventional arms covered under Article 2 (1), States Parties are encouraged to share relevant information with one another on effective measures to address diversion. Such information may include information on illicit activities including corruption, international trafficking routes, illicit brokers, sources of illicit supply, methods of concealment, common points of dispatch, or destinations used by organized groups engaged in diversion.

6. States Parties are encouraged to report to other States Parties, through the Secretariat, on measures taken in addressing the diversion of transferred conventional arms covered under Article 2 (1).
Article 12
Record keeping

1. Each State Party shall maintain national records, pursuant to its national laws and regulations, of its issuance of export authorizations or its actual exports of the conventional arms covered under Article 2 (1).

2. Each State Party is encouraged to maintain records of conventional arms covered under Article 2 (1) that are transferred to its territory as the final destination or that are authorized to transit or trans-ship territory under its jurisdiction.

3. Each State Party is encouraged to include in those records: the quantity, value, model/type, authorized international transfers of conventional arms covered under Article 2 (1), conventional arms actually transferred, details of exporting State(s), importing State(s), transit and trans-shipment State(s), and end users, as appropriate.

4. Records shall be kept for a minimum of ten years.

Article 13
Reporting

1. Each State Party shall, within the first year after entry into force of this Treaty for that State Party, in accordance with Article 22, provide an initial report to the Secretariat of measures undertaken in order to implement this Treaty, including national laws, national control lists and other regulations and administrative measures. Each State Party shall report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate. Reports shall be made available, and distributed to States Parties by the Secretariat.

2. States Parties are encouraged to report to other States Parties, through the Secretariat, information on measures taken that have been proven effective in addressing the diversion of transferred conventional arms covered under Article 2 (1).

3. Each State Party shall submit annually to the Secretariat by 31 May a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2 (1). Reports shall be made available, and distributed to States Parties by the Secretariat. The report submitted to the Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the United Nations Register of Conventional Arms. Reports may exclude commercially sensitive or national security information.

Article 14
Enforcement

Each State Party shall take appropriate measures to enforce national laws and regulations that implement the provisions of this Treaty.
**Article 15**

**International Cooperation**

1. States Parties shall cooperate with each other, consistent with their respective security interests and national laws, to effectively implement this Treaty.

2. States Parties are encouraged to facilitate international cooperation, including exchanging information on matters of mutual interest regarding the implementation and application of this Treaty pursuant to their respective security interests and national laws.

3. States Parties are encouraged to consult on matters of mutual interest and to share information, as appropriate, to support the implementation of this Treaty.

4. States Parties are encouraged to cooperate, pursuant to their national laws, in order to assist national implementation of the provisions of this Treaty, including through sharing information regarding illicit activities and actors and in order to prevent and eradicate diversion of conventional arms covered under Article 2 (1).

5. States Parties shall, where jointly agreed and consistent with their national laws, afford one another the widest measure of assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty.

6. States Parties are encouraged to take national measures and to cooperate with each other to prevent the transfer of conventional arms covered under Article 2 (1) becoming subject to corrupt practices.

7. States Parties are encouraged to exchange experience and information on lessons learned in relation to any aspect of this Treaty.

**Article 16**

**International Assistance**

1. In implementing this Treaty, each State Party may seek assistance including legal or legislative assistance, institutional capacity-building, and technical, material or financial assistance. Such assistance may include stockpile management, disarmament, demobilization and reintegration programmes, model legislation, and effective practices for implementation. Each State Party in a position to do so shall provide such assistance, upon request.

2. Each State Party may request, offer or receive assistance through, inter alia, the United Nations, international, regional, subregional or national organizations, non-governmental organizations, or on a bilateral basis.

3. A voluntary trust fund shall be established by States Parties to assist requesting States Parties requiring international assistance to implement this Treaty. Each State Party is encouraged to contribute resources to the fund.
Article 17
Conference of States Parties

1. A Conference of States Parties shall be convened by the provisional Secretariat, established under Article 18, no later than one year following the entry into force of this Treaty and thereafter at such other times as may be decided by the Conference of States Parties.

2. The Conference of States Parties shall adopt by consensus its rules of procedure at its first session.

3. The Conference of States Parties shall adopt financial rules for itself as well as governing the funding of any subsidiary bodies it may establish as well as financial provisions governing the functioning of the Secretariat. At each ordinary session, it shall adopt a budget for the financial period until the next ordinary session.

4. The Conference of States Parties shall:

   (a) Review the implementation of this Treaty, including developments in the field of conventional arms;
   (i) Consider and adopt recommendations regarding the implementation and operation of this Treaty, in particular the promotion of its universality;
   (b) Consider amendments to this Treaty in accordance with Article 20;
   (c) Consider issues arising from the interpretation of this Treaty;
   (d) Consider and decide the tasks and budget of the Secretariat;
   (e) Consider the establishment of any subsidiary bodies as may be necessary to improve the functioning of this Treaty; and
   (f) Perform any other function consistent with this Treaty.

5. Extraordinary meetings of the Conference of States Parties shall be held at such other times as may be deemed necessary by the Conference of States Parties, or at the written request of any State Party provided that this request is supported by at least two-thirds of the States Parties.

Article 18
Secretariat

1. This Treaty hereby establishes a Secretariat to assist States Parties in the effective implementation of this Treaty. Pending the first meeting of the Conference of States Parties, a provisional Secretariat will be responsible for the administrative functions covered under this Treaty.

2. The Secretariat shall be adequately staffed. Staff shall have the necessary expertise to ensure that the Secretariat can effectively undertake the responsibilities described in paragraph 3.

3. The Secretariat shall be responsible to States Parties. Within a minimized structure, the Secretariat shall undertake the following responsibilities:
(a) Receive, make available and distribute the reports as mandated by this Treaty;
(b) Maintain and make available to States Parties the list of national points of contact;
(c) Facilitate the matching of offers of and requests for assistance for Treaty implementation and promote international cooperation as requested;
(d) Facilitate the work of the Conference of States Parties including making arrangements and providing the necessary services for meetings under this Treaty; and
(e) Perform other duties as decided by the Conferences of States Parties.

Article 19
Dispute Settlement

1. States Parties shall consult and, by mutual consent, cooperate to pursue settlement of any dispute that may arise between them with regard to the interpretation or application of this Treaty including through negotiations, mediation, conciliation, judicial settlement or other peaceful means.

2. States Parties may pursue, by mutual consent, arbitration to settle any dispute between them, regarding issues concerning the interpretation or application of this Treaty.

Article 20
Amendments

1. Six years after the entry into force of this Treaty, any State Party may propose an amendment to this Treaty. Thereafter, proposed amendments may only be considered by the Conference of States Parties every three years.

2. Any proposal to amend this Treaty shall be submitted in writing to the Secretariat, which shall circulate the proposal to all States Parties, not less than 180 days before the next meeting of the Conference of States Parties at which amendments may be considered pursuant to paragraph 1. The amendment shall be considered at the next Conference of States Parties at which amendments may be considered pursuant to paragraph 1 if, no later than 120 days after its circulation by the Secretariat, a majority of States Parties notify the Secretariat that they support consideration of the proposal.

3. The States Parties shall make every effort to achieve consensus on each amendment. If all efforts at consensus have been exhausted, and no agreement reached, the amendment shall, as a last resort, be adopted by a three-quarters majority vote of the States Parties present and voting at the meeting of the Conference of States Parties. For the purposes of this Article, States Parties present and voting means States Parties present and casting an affirmative or negative vote. The Depositary shall communicate any adopted amendment to all States Parties.
4. An amendment adopted in accordance with paragraph 3 shall enter into force for each State Party that has deposited its instrument of acceptance for that amendment, ninety days following the date of deposit with the Depositary of the instruments of acceptance by a majority of the number of States Parties at the time of the adoption of the amendment. Thereafter, it shall enter into force for any remaining State Party ninety days following the date of deposit of its instrument of acceptance for that amendment.

Article 21
Signature, Ratification, Acceptance, Approval or Accession

1. This Treaty shall be open for signature at the United Nations Headquarters in New York by all States from 3 June 2013 until its entry into force.
2. This Treaty is subject to ratification, acceptance or approval by each signatory State.
3. Following its entry into force, this Treaty shall be open for accession by any State that has not signed the Treaty.
4. The instruments of ratification, acceptance, approval or accession shall be deposited with the Depositary.

Article 22
Entry into Force

1. This Treaty shall enter into force ninety days following the date of the deposit of the fiftieth instrument of ratification, acceptance or approval with the Depositary.
2. For any State that deposits its instrument of ratification, acceptance, approval or accession subsequent to the entry into force of this Treaty, this Treaty shall enter into force for that State ninety days following the date of deposit of its instrument of ratification, acceptance, approval or accession.

Article 23
Provisional Application

Any State may at the time of signature or the deposit of instrument of its of ratification, acceptance, approval or accession, declare that it will apply provisionally Article 6 and Article 7 pending the entry into force of this Treaty for that State.

Article 24
Duration and Withdrawal

1. This Treaty shall be of unlimited duration.
2. Each State Party shall, in exercising its national sovereignty, have the right to withdraw from this Treaty. It shall give notification of such withdrawal to the Depositary, which shall notify all other States Parties. The notification of withdrawal may include an explanation of the reasons for its withdrawal. The notice of withdrawal shall take effect ninety days after the receipt of the notification of withdrawal by the Depositary, unless the notification of withdrawal specifies a later date.
3. A State shall not be discharged, by reason of its withdrawal, from the obligations arising from this Treaty while it was a Party to this Treaty, including any financial obligations that it may have accrued.

Article 25

Reservations

1. At the time of signature, ratification, acceptance, approval or accession, each State may formulate reservations, unless the reservations are incompatible with the object and purpose of this Treaty.

2. A State Party may withdraw its reservation at any time by notification to this effect addressed to the Depositary.

Article 26

Relationship with other international agreements

1. The implementation of this Treaty shall not prejudice obligations undertaken by States Parties with regard to existing or future international agreements, to which they are parties, where those obligations are consistent with this Treaty.

2. This Treaty shall not be cited as grounds for voiding defence cooperation agreements concluded between States Parties to this Treaty.

Article 27

Depositary

The Secretary-General of the United Nations shall be the Depositary of this Treaty.

Article 28

Authentic Texts

The original text of this Treaty, of which the Arabic, Chinese, English, French, Russian and Spanish texts are equally authentic, shall be deposited with the Secretary-General of the United Nations.
Contact us

ATT Secretariat
Avenue de France 23, 1202 Geneva, Switzerland

Phone: +41 (0)22 715 04 20
Email: info@thearmstradetreaty.org
Web: www.thearmstradetreaty.org