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**ANNEX B****DRAFT MULTI-YEAR WORK PLAN FOR THE WGETI SUB-WORKING GROUP ON EXCHANGE OF NATIONAL IMPLEMENTATION PRACTICES**

This multi-year workplan deals with the structured discussions on practical Treaty implementation in the Sub-Working Group on Exchange of National Implementation Practices of the Working Group on Effective Treaty Implementation (WGETI). It is an attachment of the ~~working document on initiating structured discussions and developing a multi-year workplan, discussed during the CSP10 inaugural meeting of the Sub-Working Group~~ WGETI Chair's Draft Report to CSP10, and gives effect to the proposal on the WGETI configuration and substance that was adopted at CSP9.<sup>1</sup> The workplan arranges the concrete topics that have been identified for the structured discussions in the order that they will be discussed in the different three-hour sessions of the Sub-working Group, noting that, in principle, every meeting of the Sub-working Group will consist of two three-hours sessions. The workplan is nevertheless intended to be flexible. It can be adjusted in light of progress made in each session, and that topics that have been discussed can be taken up in an additional session if needed. The Sub-working Group can also decide to prioritize certain topics for its next session.

In each session, the Facilitator will start the discussion with a short introduction about the topic in question. After this, the States Parties that agreed to do so will give their presentations about their practical implementation and national practices concerning the topic. In their presentations, States Parties will be guided by the non-exhaustive list of practical implementation questions that ~~have has~~ been prepared for each topic and that ~~are is~~ included in the Annex of this multi-year workplan. If applicable for the particular session, the stakeholders invited to contribute to the session will then provide their contribution, also taking into account the practical implementation questions. This will then be followed by the Q&A session and information exchanges as set out in the abovementioned documents.

<sup>1</sup> See Annex D of the WGETI Chair's Draft Report to CSP9 ([ATT/CSP9.WGETI/2023/CHAIR/767/Conf.Rep](#)) and paragraph 24 (f) of the Final Report of CSP9 ([ATT/CSP9/2023/SEC/773/Conf.FinRep.Rev2](#)).

WGETI Sub-Working Group on Exchange of National Implementation Practices: Structured discussions	
<b>Session 1</b> <b>(3 hours)</b>	<p><b>Topic 1: National control system — Import</b></p> <p><i>Under this topic, the Sub-working Group will address States Parties' measures undertaken to regulate arms transfers, focusing on their substance. The Sub-working Group will also look at their elaboration into legislation, administrative regulations and administrative measures and procedures (including the integration of the prohibitions and possible risk assessment criteria in those), as well as the competent authorities and inter-agency cooperation arrangements that States Parties have put in place. In this session, States will be requested to address these elements regarding their import controls. The Sub-working Group will thereby focus on Article 8 (2) and the obligation for States Parties to take measures allowing them to regulate imports under their jurisdiction, where necessary.</i></p> <p>The <span style="border: 1px solid black; padding: 2px;">practical implementation questions</span> which delegations are to take into account in their contributions/presentations on this topic are set out on <a href="#">pages 1-2 of the Annex</a> to this multi-year workplan.</p>
<b>Session 2</b> <b>(3 hours)</b>	<p><b>Topic 2: Scope / National control list</b></p> <p><i>Under this topic, the Sub-working Group will address States Parties' procedures to establish and maintain a national control list, the legal status of their national control list, its application to the different types of transfers, as well as its range in terms of conventional arms (including ammunition/munitions and parts and components).</i></p> <p>The <span style="border: 1px solid black; padding: 2px;">practical implementation questions</span> which delegations are to take into account in their contributions/presentations on this topic are set out on <a href="#">pages 2-3 of the Annex</a> to this multi-year workplan.</p>
<b>Session 3</b> <b>(3 hours)</b>	<p><b>Topic 3: National control system — Brokering</b></p> <p><i>Under this topic, the Sub-working Group will address States Parties' measures undertaken to regulate arms transfers, focusing on their substance. The Sub-working Group will also look at their elaboration into legislation, administrative regulations and administrative measures and procedures (including the integration of the prohibitions and possible risk assessment criteria in those), as well as the competent authorities and inter-agency cooperation arrangements that States Parties have put in place. In this session States will be requested to address these elements regarding their brokering controls.</i></p>

	<p>The <b>practical implementation questions</b> which delegations are to take into account in their contributions/presentations on this topic are set out on <a href="#">pages 3-5 of the Annex</a> to this multi-year workplan.</p>
<p><b>Session 4</b> <b>(3 hours)</b></p>	<p><b>Topic 4: Risk assessment (covering Articles 6&amp;7)</b></p> <p><i>Under this topic, the Sub-working Group will take into account the draft elements for Chapter 3 of the proposed Voluntary Guide to Implementing Articles 6 &amp; 7 and focus predominantly on States Parties' substantive approach to the risk assessment under Article 7 and pose relevant questions such as which specific factors States Parties look at for each element in Article 7 (1) when they are assessing an export in practice, how they weigh the findings of different information sources, and how they balance the potentially positive consequences of an arms export and the possible negative consequences. The Sub-Working Group will also seek to <b>establish-collect</b> national practices about: i) how States Parties apply the combination of prohibitions and export assessment criteria in Articles 6 &amp; 7 in practice;<sup>2</sup> ii) how States Parties monitor authorized exports and practically reassess authorizations in case of new relevant information; and iii) to what extent States Parties apply similar risk assessments to brokering and transit and trans-shipment as those applied to exports.</i></p> <p>The <b>practical implementation questions</b> which delegations are to take into account in their contributions/presentations on this topic are set out on <a href="#">pages 5-7 of the Annex</a> to this multi-year workplan.</p>
<p><b>Session 5</b> <b>(3 hours)</b></p>	<p><b>Topic 5: Information management</b></p> <p><i>Under this topic, the Sub-working Group will address record-keeping by State entities and non-State actors, including legislation, administrative procedures, competent authorities and inter-agency cooperation. The Sub-Group will also address information exchange between different State entities for reporting, assessment and enforcement purposes, as well as information sharing with other States.</i></p> <p>The <b>practical implementation questions</b> which delegations are to take into account in their contributions/presentations on this topic are set out on <a href="#">pages 7-8 of the Annex</a> to this multi-year workplan.</p>

<sup>2</sup> This will build further on the guidance about the relationship between both articles in Draft Chapter 2 of the Voluntary Guide to implement Articles 6 and 7. Also note that for the other types of transfers, in particular import and brokering, it is the intention to discuss the prohibitions in Article 6 as part of the practical measures which States Parties put in place to regulate these transfers in a manner that allows them to prevent such transfers in violation of Article 6).

<p><b>Session 6</b> <b>(3 hours)</b></p>	<p><b>Topic 6: General regulation of <del>role players</del>actors involved in arms transfers</b></p> <p><i>This topic links up with the CSP9 focus on the role of industry, and the specific recommendation of the CSP9 to share experiences and practices of existing processes, guidance and related materials, and written guidance materials relating to national efforts to ensure industry awareness and compliance with national transfer control systems. The Sub-working Group will address the “general regulation of <del>actors involved in arms transfers</del>role players” in at least two perspectives. The Sub-working Group will thereby first focus on identifying all the non-State actors which States Parties subject to national regulations concerning arms transfers and the general requirements they have to fulfill, including general registration or authorization procedures and the establishment of internal programs to comply with the State’s controls on concrete arms transfers. The Sub-working Group will also address efforts of States Parties to raise awareness among relevant non-State actors about their arms transfer controls and to facilitate compliance. For these discussions States Parties will be encouraged to consider all types of transfers. In that respect, States Parties are also reminded of the Voluntary Guide to Implementing Article 9 (transit and trans-shipment), endorsed at CSP9, and its section about the role of the private sector in the transit and trans-shipment of arms, which highlighted the role of transport service providers (carriers), customs service providers (customs brokers, customs agents, or clearing agents), freight forwarders and shipping agents.<sup>3</sup> In addition, States Parties will be encouraged to also consider actors that are indirectly involved in arms transfers, such as financial service providers and insurance providers (which were also mentioned in the CSP9 President’s working paper about the role of industry in responsible international arms transfers).<sup>4</sup> It is noted, finally, that this general exchange of national practices on <del>actors involved in arms transfers</del>role players will complement the in-depth discussions on specific issues concerning the role of industry, which are scheduled to take place in the Sub-working Group on Current and Emerging Issues.</i></p> <p>The <span style="border: 1px solid black; padding: 2px;">practical implementation questions</span> which delegations are to take into account in their contributions/presentations on this topic are set out on <a href="#">pages 9-10 of the Annex</a> to this multi-year workplan.</p>
<p><b>Session 7</b> <b>(3 hours)</b></p>	<p><b>Topic 7: Enforcement arrangements</b></p>

<sup>3</sup> The Voluntary Guide also emphasized the importance to involve such private actors, as well as international organisations or bodies dealing with similar or related issues, in discussions about cross-cutting issues with relevance for transit and trans-shipment controls, such as the World Customs Organisation, Interpol, the UN Office on Drugs and Crime, the World Shipping Council and the International Air Transport Association.

<sup>4</sup> Working Paper submitted by the CSP9 President “The Role of Industry in Responsible International Transfers of Conventional Arms” ([ATT/CSP9/2023/PRES/766/Conf.WP.Ind](#)). Final Report of the Ninth Conference of States Parties ([ATT/CSP9/2023/SEC/773/Conf.FinRep.Rev2](#)), paragraph 22. The Conference also took note with appreciation of the joint working paper submitted by Austria, Ireland and Mexico “Responsible Business Conduct and the Arms Trade Treaty” ([ATT/CSP9/2023/AUT-IRL-MEX/774/Conf.WP](#)).

	<p><i>This topic will be addressed in the broadest sense. The Sub-working Group will look at: i) States' legal framework and the various sanctions which they provide for violations of national arms transfer laws and regulations; ii) the entities that are in charge of enforcement and their tools and capacity to prevent and address violations; iii) inter-agency cooperation arrangements, risk management procedures, domestic information exchange and international cooperation arrangements that have been put in place; and iv) training of officials. Whilst international cooperation will be addressed in relation to every topic under discussion in the Sub-working Group, the Group will address this in particular regarding enforcement, as both Article 11 on diversion and Article 15 on international cooperation include explicit requirements about international cooperation concerning enforcement. It is noted that this general exchange of national practices on enforcement arrangements will complement the work of the Diversion Information Exchange Forum (DIEF), which deals with enforcement-related matters on the operational level.</i></p> <p>The <span style="border: 1px solid black; padding: 2px;">practical implementation questions</span> which delegations are to take into account in their contributions/presentations on this topic are set out on <a href="#">page 10 of the Annex</a> to this multi-year workplan.</p>
<p><b>Session 8</b> <b>(3 hours)</b></p>	<p><b>Topic 8: Post-delivery measures</b></p> <p><i>[This topic is parked and will be dealt with after the topics of “national control system” and “risk assessment” have been sufficiently explored.]</i></p>

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**ANNEX**

**(MULTI-YEAR WORK PLAN FOR THE WGETI SUB-WORKING GROUP ON EXCHANGE OF NATIONAL IMPLEMENTATION PRACTICES)**

**LIST OF PRACTICAL IMPLEMENTATION QUESTIONS PER TOPIC TO BE DISCUSSED**

**Draft**

**Initial remark**

1. As indicated ~~in paragraphs 24 and 25 of the working document on initiating structured discussions and developing a multi-year workplan and~~ in the multi-year workplan itself above, ~~the this non-exhaustive list of~~ practical implementation questions ~~are-is~~ provided to guide delegations' contributions/presentations on the topic to be discussed.

**Topic 1: National control system — Import**

*Introduction*

~~1. Which measures has your State taken to allow regulation of arms transfers in your State in general?~~

*Substantive elements*

~~2.1.~~ Which measures has your State taken to allow regulation of imports which take place under your State's jurisdiction? Are these measures all laid down in your State's laws and/or regulations?

*Article 8 (2) provides that such measures may include import systems.*

~~3.2.~~ In case the State operates an import licensing system, what kind of assessment of proposed imports is conducted?

~~4.3.~~ How does your State ensure that no imports in violation of the Article 6 prohibitions take place?

~~5.4.~~ Do your State's measures apply to all categories of conventional arms in the same way?

~~6.5.~~ Are the measures the same for State actors and non-State actors? For example, do import measures also cover security actors (armed forces, police, etc.)?

*Procedural and institutional elements*

~~7.6.~~ Which ministry, department or agency is the competent national authority for import controls? Which ministries, departments or agencies are or may be involved in the assessment and decision-making process? Are there inter-agency cooperation arrangements in place?

~~8.7.~~ How do the procedures for import authorization, notification or any other type of control measure operate? What kind of documents are issued?

~~9.8.~~ What Information and documentation needs to be provided in the context of these procedures?

*International cooperation and international assistance*

~~10.9.~~ Are there specific contributions that international cooperation between States (Parties) and/or further discussions within the ATT process could make to facilitate or support import controls by States Parties?

Is your State in a position to provide assistance to other States Parties on import controls? Does your State need assistance on import controls or has your State already received assistance on this in the past, via the VTF or another international assistance provider? In case of the latter, could you elaborate on this?

**Topic 2: Scope / National control list**

*Introduction*

~~1. Which measures has your State taken to allow regulation of arms transfers in your State in general?~~

*Procedural and institutional elements*

~~2.1.~~ How was your State's national control list established? Which ministries, departments and/or agencies are involved in the process of establishing and maintaining a national control list?

~~3.2.~~ Is your State's national control list the product of national process or is it based on existing multilateral lists (e.g. UNROCA, Wassenaar Arrangement Munitions List, Common EU Military List, etc.) or both?

~~4.3.~~ What is the legal status of your State's national control list? Is it enshrined in national law or administrative regulations?

~~5.4.~~ Is your State's national control list subject to regular review? Can it be updated in a flexible manner?

*Substantive elements*

~~6.5.~~ Does your State's national control list apply to all types of transfers? Does the same control list apply to all these types of transfers (or do you maintain different lists for different types of transfers)?

~~7-6.~~ Which definitions does your State use for the conventional arms covered under Article 2 (1)?

*Note: Article 5 (3) of the Treaty provides that national definitions of the arms covered under Article 2 (1) (a) a)—(g) shall not cover less than the descriptions used in the UN Register of Conventional Arms at the time of entry into force of the Treaty (24 December 2014) and for the arms covered under Article 2 (1) (h) not less than the descriptions used in relevant UN instruments at the time of entry into force of the Treaty (notably the UNROCA and the International Tracing Instrument, as identified in Annex 3 of the FAQ-document on the annual reporting obligation).*

~~8-7.~~ Are ammunition/munitions and parts and components included in your State's national control list(s) for all types of transfers?

~~9-8.~~ The Treaty covers ammunition/munitions "fired, launched or delivered by the conventional arms covered under Article 2 (1)". Does your State's national control list include the same qualification?

~~10-9.~~ The Treaty covers parts and components "where the export is in a form that provides the capability to assemble the conventional arms covered under Article 2 (1)". Does your State's national control list include the same qualification?

~~11-10.~~ Article 5 (3) of the Treaty encourages each State Party to apply the provisions of the Treaty to the broadest range of conventional arms. Does your State's national control list include additional national categories of conventional arms? If so, does this apply to all types of transfers?

#### *International cooperation and international assistance*

~~12-11.~~ Are there specific contributions that international cooperation between States (Parties) and/or further discussions within the ATT process could make to facilitate or support establishing and maintaining a national control list?

~~13-12.~~ Is your State in a position to provide assistance to other States Parties on establishing and maintaining a national control list? Does your State need assistance on establishing and maintaining a national control list, or has your State already received assistance on this in the past, via the VTF or another international assistance provider? In case of the latter, could you elaborate on this?

### **Topic 3: National control system — Brokering**

#### *Introduction*

~~1.~~ Which measures has your State taken to allow regulation of arms transfers in your State in general?

*Substantive elements*

- ~~2-1.~~ Which activities does your State consider to constitute “brokering” within the scope of the Treaty? Is this defined in national law? Which types of actors carry out such activities in practice?
- ~~3-2.~~ Which measures has your State taken to regulate brokering that takes place under your State’s jurisdiction? Are these measures all laid down in your State’s laws and/or regulations?
- ~~4-3.~~ The Treaty mentions as possible measures requiring brokers to register or obtain written authorization before engaging in brokering. Does your State also apply measures to control brokering transactions case-by-case.
- ~~5-4.~~ How does your State ensure that no brokering transactions in violation of the Article 6 prohibitions take place?
- ~~6-5.~~ In case the State operates an authorization system for specific brokering transactions, what kind of assessment is conducted? Is this similar to an export assessment?
- ~~7-6.~~ Do your State’s measures cover brokering activities that take place *outside of* the territory of your State, for example if carried out by a person that is national or resident of your State or a company that is registered in your State?
- ~~8-7.~~ Do your State’s measures cover brokering activities that take place *inside* the territory of your State if they relate to a transaction that concerns an export from or an import to your State?

*Procedural and institutional elements*

- ~~9-8.~~ Which ministry, department or agency is the competent national authority for brokering controls? Which ministries, departments or agencies are or may be involved in the assessment and decision-making process?
- ~~10-9.~~ How do the procedures for brokering authorization, registration or any other type of control measure operate? What kind of documents are issued?
- ~~11-10.~~ What Information and documentation needs to be provided in the context of these procedures?

*International cooperation and international assistance*

- ~~11-10.~~ Are there specific contributions that international cooperation between States (Parties) and/or further discussions within the ATT process could make to facilitate or support brokering controls by States Parties?
- ~~12-11.~~ Is your State in a position to provide assistance to other States Parties on brokering controls? Does your State need assistance on brokering controls or has your State already

received assistance on this in the past, via the VTF or another international assistance provider? In case of the latter, could you elaborate on this?

#### Topic 4: Risk assessment (covering Articles 6&7)

##### *Introduction*

~~1. Which measures has your State taken to allow regulation of arms transfers in your State in general?~~

##### *Substantive elements*

~~2.1.~~ How are the prohibitions in Article 6 and the export assessment in Article 7 implemented in your State's laws and regulations? How does your State apply the combination of prohibitions and export assessment criteria in Articles 6 and 7 in practice?

~~3.2.~~ How does your State assess each of the elements in Article 7 (1)(a) and (b) and Article 7 (4)? Does your State conduct an overall assessment of the proposed recipient/end-user country's attitude towards peace and security, IHL, international human rights law, terrorism, transnational organized crime and gender-based violence and violence against women and children? Does your State conduct a targeted analysis that takes into account the specific type of equipment that is exported, the specific consignee and end-user and the anticipated use of the equipment?

~~4.3.~~ What factors and questions does your State consider in order to determine the past and present record of the recipient/end-user regarding peace and security, IHL, international human rights law, terrorism, transnational organized crime and gender-based violence and violence against women and children?

~~5.4.~~ Does your State consider formal commitments of the proposed recipient/end-user country's regarding relevant norms and the capacity to of the proposed recipient/end-user country to comply with these norms?

~~6.5.~~ At what point do findings of violations of relevant norms lead to a conclusion that there is a potential that the conventional arms or items could be used to commit or facilitate a serious violation of these norms. To come to such conclusion, does your State require a determination that these violations are part of a pattern of violations or that there is an absence of any State action in the proposed recipient/end-user country to prevent and address such violations? Does there need to be similarity in the type of equipment that was used for the violations in question and the equipment that is to be exported?

~~7.6.~~ How does your State determine whether violations that were identified constitute isolated acts or form part of a pattern of violations?

~~8.7.~~ How does your State balance the potentially positive and negative consequences of an arms export?

~~9-8.~~ Does your assessment focus on the specific anticipated end-user or the relevant security actors more generally? Does your State also consider the other actors involved in the transfer chain, such as brokers, carriers, transport service provider?

~~10-9.~~ In case your State operates an authorization (licensing) system for transit and trans-shipment, does your State conduct a substantively similar risk assessment as for exports?

~~11-10.~~ In case your State operates an authorization (licensing) system for brokering, does your State conduct a substantively similar risk assessment as for exports?

*Procedural and institutional elements*

~~12-11.~~ How does your risk assessment process operate? Which ministries, departments and/or agencies are involved in the assessment? Who takes the final decision? Are there inter-agency cooperation arrangements in place?

~~13-12.~~ Which information sources does your State used and how are the findings of different information sources weighed against each other?

~~14-13.~~ What Information and documentation does an exporter need to be provide in order to obtain an export authorization?

~~15-14.~~ Beyond standard end use or end user documentation, what kind of other information is gathered from the importing State in order to conduct the risk assessment?

~~16-15.~~ Does your State also obtain information from other States than the importing State, through international cooperation? If so, in which cases and what kind?

~~17-16.~~ How is the reliability of the abovementioned types of information, including end use or end user documentation, reviewed?

~~18-17.~~ How is consistency in assessment and decision-making ensured, including concerning the national interpretation and application of each element in Articles 6 and 7 and their related concepts? Does your State have a manual for officials on how to conduct risk assessments?

~~19-18.~~ Does your State monitor authorized exports and reassess authorizations in case of new relevant information?

~~20-19.~~ Can arms transfer decisions be the challenged in your State? If so, are the options administrative or judicial in nature? Which persons have standing to introduce such challenges? What are the possible outcomes of challenges.

~~21-20.~~ In case exports are authorized under certain conditions or assurances by the proposed recipient / end-user, how is compliance with these conditions or assurances followed up?

~~22-21.~~ Substantial guidance on the practical implementation and application of Articles 6 and 7 was developed within the ATT process, notably in the WGETI. Has your State used this guidance when conducting risk assessments in practice?

*International cooperation and international assistance*

~~23-22.~~ Are there specific contributions that international cooperation between States (Parties) and/or further discussions within the ATT process could make to facilitate or support risk assessments by States Parties? How can States help each other to get access to relevant information?

~~24-23.~~ Is your State in a position to provide assistance to other States Parties on establishing a process for conducting risk assessments? Does your State need assistance on establishing a process for conducting risk assessments or has your State already received assistance on this in the past, via the VTF or another international assistance provider? In case of the latter, could you elaborate on this?

**Topic 5: Information management**

*Introduction*

~~1.~~ Which measures has your State taken to allow regulation of arms transfers in your State in general?

*Substantive elements*

~~2-1.~~ Does your State have specific laws and regulations that regulate record-keeping on arms transfers for the ministries, departments and/or agencies involved in arms transfer controls?

~~3-2.~~ Does your State keep records on all types of transfers (export, import, transit, trans-shipment and brokering) and all categories of conventional arms?

~~4-3.~~ Which ministries, departments and/or agencies are responsible for record-keeping for each type of transfer? In case information is collected by different ministries, departments and/or agencies, are there inter-agency cooperation arrangements in place to consolidate the information?

~~5-4.~~ Which information is recorded for each type of transfer? Which sources are used?

~~6-5.~~ How is this information stored? Does your State operate a central database to store this information? How long is information kept?

~~7-6.~~ Does your State collect certain information for the purpose of complying with your State's international reporting requirements, such as the initial and annual reporting requirements in Article 13 of the Treaty?

~~8-7.~~ Do certain ministries, departments and/or agencies in your State exchange information with one another to facilitate the assessment of proposed arms transfers and/or the enforcement of your State's arms transfer laws and regulations? Are there inter-agency cooperation arrangements in place?

~~9-8.~~ The Treaty includes several requirements and encouragements for States Parties to share information, notably in the context of export and export assessment, import and transit and trans-shipment controls, preventing and addressing diversion and enforcement? Does your State have specific laws and regulations that regulate such information sharing? Does your State have a specific ministry, department or agency that is responsible for dealing with this?

~~10-9.~~ Has your State established formal processes and/or adopted guidelines for all ministries, departments and/or agencies involved in the record-keeping and information exchange mentioned above? Does your State organize trainings for the officials that are involved?

~~11-10.~~ Does your State have specific laws and regulations that regulate record-keeping on arms transfers for the non-State actors involved in arms transfers?

~~12-11.~~ Do your State's requirements on record-keeping for non-State actors apply to all types of transfers (export, import, transit, trans-shipment and brokering) and all categories of conventional arms?

~~13-12.~~ Which information do non-State actors need to record for each type of transfer?

~~14-13.~~ How long do non-State actors need to keep their records?

~~15-14.~~ Do non-State actors need to transmit any of the information they are required to record to any of your State's ministries, departments and/or agencies?

~~16-15.~~ Does your State provide sanctions for non-State actors which do not comply with your State's record-keeping requirements?

~~17-16.~~ What kind of awareness-raising and support (outreach) does your State provide to the non-State actors about their record-keeping requirements?

~~18-17.~~ Does your State have a process for non-State actors to request access to the records that are kept about the arms transfers they were involved in?

*International cooperation and international assistance*

~~19-18.~~ Are there specific contributions that international cooperation between States (Parties) and/or further discussions within the ATT process could make to facilitate record-keeping and information-exchange by States Parties?

~~20-19.~~ Is your State in a position to provide assistance to other States Parties on record-keeping and information-exchange? Does your State need assistance on record-keeping and information-exchange or has your State already received assistance on this in the past, via the

VTF or another international assistance provider? In case of the latter, could you elaborate on this?

**Topic 6: General regulation of ~~role players~~actors involved in arms transfers**

1. Which of the following actors are or can be subject to some form of arms transfer control in your State (i.e. any requirement that involves registration, notification or authorization to be able to conduct an activity related to arms transfers):
  - a. Exporters;
  - b. Importers;
  - c. Transit and trans-shipment service providers;
  - d. Brokers;
  - e. Transport service providers (carriers);
  - f. Freight forwarders;
  - g. Shipping agents;
  - h. Customs service providers (customs brokers, customs agents, clearing agents);
  - i. Financial service providers;
  - j. Insurance providers;
  - k. Others?
2. What kind of measures does your State apply to each of these actors and which conditions are attached to those measures?
3. Does your State oblige any of these actors to adopt internal compliance programs (ICP)? If so, a) does your State require certain elements to be covered in an ICP? and b) What is the legal status of the ICP implemented by your State? Does your State monitor the ICP of involved actors?
4. What kind of awareness-raising and support (outreach) does your State provide to the actors that are involved in the transfer chain in order to ensure compliance with your State's national arms transfer laws and regulations? Does your State provide support to adopt international compliance programs, such as guidelines or a manual?
5. Which ministries, departments or agencies are involved in such awareness-raising and support (outreach)? Are there inter-agency cooperation arrangements in place? Does your State cooperate with the industry for this purpose, for example with the representative organisations of the mentioned actors?
6. Does your State operate a system to detect and identify actors which might be involved arms transfer activities which are or can be subject to some form of arms transfer control?

*International cooperation and international assistance*

7. Are there specific contributions that international cooperation between States (Parties) and/or further discussions within the ATT process could make to facilitate or support regulating or providing outreach to the mentioned actors?

8. Is your State in a position to provide assistance to other States Parties on regulating or providing outreach to the mentioned actors? Does your State need assistance on regulating or providing outreach to the mentioned actors or has your State already received assistance on this in the past, via the VTF or another international assistance provider? In case of the latter, could you elaborate on this?

**Topic 7: Enforcement arrangements**

1. Which measures has your State put in place to enforce your State's national arms transfer laws and regulations?
2. Does your State provide criminal, civil or administrative sanctions? Does your State apply targeted sanctions, such as ban to carry out any arms transfer activity?
3. Can legal persons incur criminal liability for violations of your national arms transfer laws and regulations?
4. Which entities are charged with the enforcement of your State's arms transfer laws and regulations (e.g. customs authorities, border police, stand-alone inspection body)?
5. Do these entities have legal tools and capacity to be able to suspend transfers and, if necessary and permissible, inspect and (temporarily) seize shipments?
6. In case of pending investigations or ongoing sanctions, do these entities or other competent authorities have the legal authority to take precautionary measures to prevent further violations, such as a suspension of licences or a temporary ban to carry out arms transfer activities?
7. Does your State have inter-agency cooperation arrangements in place to facilitate cooperation and information exchange between all the authorities that have a (potential) role in the arms transfer control system such as the enforcement entities, licensing authorities and intelligence services? If so, which information is shared between these bodies?
8. Do your State's enforcement entities conduct risk management procedures, to ensure that its inspection resources are effectively targeting possibly illicit transfers of conventional arms without unnecessarily obstructing the free flow of goods?

*International cooperation and international assistance*

9. Is your State involved in international cooperation agreements in order to receive or provide assistance in investigations, prosecutions and judicial proceedings in relation to violations of your State's arms transfer laws and regulations or those of an affected State?
10. Does your State provide specific training to enforcement officials about arms transfer control, including on practical matters such as acceptable documentation?

**Topic 8: Post-delivery measures**

*[This topic is parked and will be dealt with after the topics of “national control system” and “risk assessment” have been sufficiently explored.]*

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