

PROPOSED DRAFT ELEMENTS FOR A FIVE-YEAR STRATEGY FOR THE ATT

BACKGROUND

1. Pursuant to the mandate of the Eleventh Conference of States Parties (CSP11) to develop draft elements for a five-year strategy for the Arms Trade Treaty (ATT), discussions have been undertaken among ATT stakeholders on how such a framework could support the effective implementation and universalization of the Treaty.
2. States Parties have an opportunity to reflect on lessons learned from their implementation and consider how future ATT work could be organized to promote greater strategic coherence, continuity, and impact.
3. The present document sets out possible draft elements of the Strategy to be submitted for consideration at CSP12. It builds on the proposals and input provided by States Parties and stakeholders throughout the process, the reports previously circulated and the discussions among delegations regarding the need to enhance coherence, predictability, and impact across efforts to support Treaty implementation and is intended to facilitate further refinement of the Strategy.
4. The Strategy is intended to provide strategic orientation for coordinated action across relevant thematic areas over a multi-year period and to complement, rather than replace, national implementation efforts and existing Treaty obligations. It will not create new legal obligations nor seek to amend the Treaty.

STRATEGIC VISION, OBJECTIVE AND GUIDING PRINCIPLES

5. Discussions to date have suggested that a future ATT Strategy could be guided by a shared vision of a universal and effectively implemented Arms Trade Treaty that contributes to international peace and security, reduces human suffering, and promotes transparency and responsibility in the international trade in conventional arms.
6. In this context, the overall objective of an ATT strategy could be to support States Parties in the effective implementation of the ATT through coordinated, practical, and progressively structured action across key thematic areas.

STRATEGIC STRUCTURE

7. The Strategy could be structured around seven thematic areas identified in the Call for Proposals: national implementation; application of Articles 6 & 7, transparency and reporting; universalization; international cooperation; international assistance, and infrastructure. These areas reflect core pillars of effective ATT implementation and are intended to provide a coherent framework for collective action.

8. For each thematic area, States Parties may wish to identify a limited number of priority topics to be addressed over the 5-year duration of the strategy. These could be complemented by strategic objectives to be pursued – and, where feasible, achieved – within that period, as well as priority actions to be undertaken during defined implementation periods (e.g. annually) in support of these objectives. Where appropriate, strategic objectives and actions could be accompanied with monitoring indicators and milestones. Each of these components could be informed by the inputs provided during the Call for Proposals, further consultations, lessons learned from previous ATT work programmes, and recommendations emerging from subsidiary bodies. They should also take into account ongoing discussions and work plans, as well as the existing body of ATT implementation tools and guidance documents (available [here](#)). Such an approach could help ensure that the Strategy remains focused, practical, and responsive while avoiding duplication of activities already undertaken within the ATT framework and minimizing disruption of ongoing work. At the same time, sufficient flexibility should be maintained, to allow adjustments in response to emerging needs and developments.

THEMATIC AREAS – SAMPLE OF POSSIBLE TOPICS AND OBJECTIVES

9. The sections below outline, for each thematic area, an illustrative and non-exhaustive sample of possible priority topics and strategic objectives drawn from the ATT Secretariat's operational matrix, which synthesizes the proposals received through submissions and consultations and translates these into possible actions, indicative timelines, potential lead actors, suggested indicators, and monitoring and evaluation (M&E) approaches. The examples below are paraphrased and are intended to capture the range of ideas and priorities that emerged during the consultation process. They are provided to facilitate further discussion on potential areas of focus, without prejudice to any future decisions regarding the content of the Strategy.

10. The matrix itself will be available on the ATT website as a Secretariat working document and does not constitute a definitive record, binding interpretation or endorsement of the proposals, positions, or priorities advanced by delegations.

National Implementation

11. The thematic area on national implementation could focus on priority topics such as implementation of comprehensive national control systems; national legislation and regulatory frameworks; national control lists; and licensing and authorization procedures. Specific focus areas within these topics could include regulation of brokering, transit and trans-shipment; record-keeping; diversion prevention and response measures; designation and operation of National Points of Contact; inter-agency coordination among licensing, customs, border control, defence, law enforcement and foreign affairs authorities; and other key implementation topics identified by the Conference.

12. Strategic objectives could include strengthening national legal and regulatory frameworks; establishing or enhancing effective licensing and transfer control systems;

improving inter-agency coordination and information-sharing; supporting the designation and operational effectiveness of National Points of Contact; strengthening capacities for diversion prevention, detection and response; improving record-keeping systems; strengthening practical implementation guidance, toolkits and peer-learning mechanisms; and identifying and addressing persistent implementation challenges.

Application of Articles 6 and 7

13. The thematic area on the application of Articles 6 and 7 could focus on priority topics such as national risk-assessment methodologies; integration of international humanitarian law (IHL), international human rights law (IHRL), risk monitoring and reassessment procedures; denial notifications and information exchange; transparency and accountability in national decision-making; and capacity-building for licensing and assessment authorities.

14. Strategic objectives could include establishing and strengthening national risk-assessment frameworks; enhancing post-delivery controls and risk-monitoring mechanisms; improving consistency and transparency through peer learning, case studies and reporting; strengthening technical expertise among licensing officers; and developing or optimizing assessment tools, guidance materials and risk-mitigation practices to support coherent implementation of Articles 6 and 7.

Transparency and Reporting

15. The thematic area on transparency and reporting could focus on priority topics such as compliance with initial and annual reporting obligations; improving quality, completeness and timeliness of reports; synergies and interoperability with relevant international and regional reporting mechanisms; enhanced information-sharing; and capacity-building to support the effective implementation of Articles 13 and 15.

16. Strategic objectives could include increasing reporting compliance rates; improving the quality, completeness and usefulness of submitted reports; promoting public and detailed reporting where appropriate; streamlining reporting; strengthening national institutional capacities and reporting procedures; enhancing information exchange and peer support; and improving the use of reporting data to identify implementation gaps and assistance needs.

Universalization

17. The thematic area on universalization could focus on priority topics such as targeted engagement with non-States Parties; tailored pre-accession assistance; regional and sub-regional outreach strategies; engagement with relevant stakeholders; dissemination of outreach materials; promotion of ATT norms and standards among non-States Parties; and coordination of universalization resources and efforts.

18. Strategic objectives could include conducting targeted outreach and diplomatic engagement in priority regions and States; promoting regional champions and peer-to-peer exchanges; strengthening normative adoption of ATT principles within national and regional frameworks; enhancing cooperation with regional organizations; mobilizing resources; and establishing effective coordination mechanisms to support universalization efforts.

International Cooperation

19. The thematic area on international cooperation and diversion information exchange could focus on priority topics such as cooperation among exporting, importing and transit States; diversion information exchange through mechanisms such as the Diversion Information Exchange Forum (DIEF); operational cooperation in addressing diversion cases; regional and cross-border cooperation frameworks; and supporting technical exchanges among customs, law-enforcement, licensing and judicial authorities.

20. Strategic objectives could include strengthening practical cooperation among States Parties across the transfer chain; enhancing the exchange of diversion-related information, trends and lessons learned through DIEF and other mechanisms; promoting rapid responses to diversion and peer-to-peer partnerships; strengthening technical and operational capacities of relevant authorities; and reinforcing regional cooperation to prevent, detect and address diversion.

International Assistance

21. The thematic area on international assistance could focus on priority topics such as demand-driven and coordinated assistance; matching assistance requests with available expertise and resources; sustainable institutional capacity-building; regional cooperation; prioritizing support for implementation of key Treaty obligations; and strengthening the effectiveness and accessibility of the Voluntary Trust Fund (VTF) and its coordination with other assistance mechanisms.

22. Strategic objectives could include strengthening data-driven coordination mechanisms to better match assistance with identified needs; delivering sustainable and impact-oriented capacity-building; enhancing regional outreach and accessibility of assistance; and strengthening the effectiveness, flexibility and accessibility of the VTF, including through simplified procedures, enhanced synergies with other funding mechanisms.

Infrastructure

23. The thematic area on infrastructure could focus on priority topics such as governance, financial sustainability, Secretariat capacity, and institutional coordination.

24. Building on these, the strategic objectives could be to strengthen governance and strategic planning across the ATT institutional framework; ensure the long-term financial sustainability and effective management of the Treaty's institutions; enhance the effectiveness, expertise and technical support provided by the ATT Secretariat; and improve coordination, coherence and effectiveness across ATT institutional processes and subsidiary bodies.

CROSS-CUTTING CONSIDERATIONS

25. In implementing a future ATT Strategy, States Parties may wish to consider a number of cross-cutting themes that are relevant across all strategic areas. These could include, inter alia, gender-responsive implementation of the Treaty, the prevention of gender-based violence, diversity, equity and inclusion, human rights and international humanitarian law considerations; transparency and accountability; stakeholder engagement, evidence-based decision-making,

sustainability of capacity-building efforts; engagement with industry stakeholders and the promotion of cooperation and information-sharing among States Parties and stakeholders.

26. In particular, States Parties may wish to ensure that gender perspectives are appropriately integrated into the design, implementation, monitoring, and evaluation of activities undertaken under each strategic area, taking into account Article 7(4) of the Treaty and relevant decisions adopted by the Conference of States Parties. Possible actions could include strengthening the collection and use of gender-sensitive information where appropriate, strengthening awareness and capacity on gender-related aspects of Treaty implementation, supporting the participation of women in national control systems and ATT processes, and sharing good practices related to gender-responsive arms transfer controls.

27. Consideration of cross-cutting themes could help ensure that implementation of the Strategy contributes to effective, inclusive, and sustainable Treaty implementation across all areas of work.

POSSIBLE IMPLEMENTATION MODALITIES

28. The implementation of a future ATT Strategy could rely on the respective roles of States Parties, the ATT Secretariat, and subsidiary bodies. States Parties would retain primary responsibility for implementation of the Treaty and for advancing the thematic areas, priority topics, strategic objectives and priority actions agreed under the Strategy. The ATT Secretariat could provide facilitation, coordination, and technical support functions within its mandate and capacity, including support for monitoring and reporting on progress.

29. To facilitate implementation and monitoring, the thematic areas, priority topics, strategic objectives and priority actions could be reflected, as appropriate, in the workplans and agendas of the ATT subsidiary bodies, including the Working Groups, the Diversion Information Exchange Forum (DIEF), the Gender Focal Points, and the Voluntary Trust Fund (VTF) Selection Committee. Such alignment would help ensure that the work undertaken within the Treaty's institutional framework contributes directly to the implementation of the Strategy, while also providing regular opportunities to review progress, identify gaps, and consider adjustments to implementation priorities. In this regard, due consideration should also be given to the ATT programme of work as agreed by CSP11, including the meeting schedule and possible support mechanisms.

30. To promote coherence across the ATT institutional framework, for each thematic area, strategic objectives and priority activities could be reflected, as appropriate, in the workplans and agendas of the subsidiary bodies, including the Working Groups, the Diversion Information Exchange Forum (DIEF), the Gender Focal Points, and the Voluntary Trust Fund (VTF). Such alignment could help ensure that priority activities undertaken within these bodies contribute to the achievement of agreed strategic objectives and facilitate the identification of implementation gaps and emerging needs.

31. Working Groups and other subsidiary bodies could also play a role in reviewing progress within their respective areas of responsibility and identifying recommendations for future action. Existing ATT reporting, review, and information-sharing mechanisms could be used, to the extent possible, to monitor implementation of the Strategy, thereby promoting transparency and accountability while avoiding unnecessary additional reporting burdens.

32. Cooperation with international and regional organizations, civil society, academia, and technical partners could further support implementation by supporting capacity-building,

knowledge-sharing, technical assistance, and resource mobilization efforts aligned with the Strategy's objectives.

33. The Strategy could remain flexible in nature, allowing for periodic assessment and adjustment of priority topics in response to emerging needs, developments, implementation trends, or decisions adopted by States Parties in the context of the ATT process.

POSSIBLE MONITORING, REVIEW AND EVALUATION ARRANGEMENTS

34. A future Strategy would need to determine whether and how progress under each strategic area should be monitored and reviewed. One possible approach could involve an annual reflection on activities undertaken, progress achieved, implementation challenges encountered, and areas requiring further attention. Such a process could support continuous learning and facilitate adjustments where necessary.

35. Monitoring arrangements could build, to the extent possible, on existing ATT institutional processes and reporting mechanisms. For example, subsidiary bodies, including the Working Groups, the Diversion Information Exchange Forum (DIEF), the Gender Focal Points, and the Voluntary Trust Fund (VTF), could periodically reflect on progress made within their respective areas of work in relation to the relevant strategic areas.

36. One possible modality could be for Chairs of subsidiary bodies, supported the ATT Secretariat, to include in their reports to the Conference a dedicated section on progress achieved, challenges identified, and recommendations for future action. The President, in turn, could provide an annual strategic overview of progress in implementing the Strategy, drawing on the information contained in the Conference reports of the relevant subsidiary bodies.

37. Where considered useful and feasible, qualitative and quantitative indicators could be developed to support monitoring efforts and facilitate the assessment of progress over time. Such indicators could be linked to the priority topics, strategic objectives, and priority activities identified under each strategic area.

38. States Parties may also wish to consider a mid-term review and/or an end-of-cycle evaluation to assess overall progress, identify lessons learned, and inform the development of future strategic planning processes.

CONCLUSION

39. The elements outlined in this document are intended as a basis for further discussion among States Parties on the possible development of an ATT Strategy. They do not represent agreed language, but rather an initial set of ideas that could inform the preparation of a more comprehensive strategic framework.

40. Subject to further consultations, such framework could include a vision, objectives and guiding principles, thematic areas, each comprising a top line-narrative, priority topics per thematic area, as well as the related strategic objectives, priority actions and possible indicators and / or milestones, and on implementation and monitoring modalities where appropriate

41. Further consultation and refinement would nevertheless be required to consolidate these elements into a formal strategy, including agreement on the thematic areas to be covered, the priority topics and related strategic objectives under each area, the sequencing of priority actions, and the modalities for implementation, monitoring and review.

NEXT STEPS

42. Following CSP12's anticipated welcome of this document, the strategy development process will enter the actual drafting and coordination phase, with a view to translating the proposed strategic framework outlined above into the Strategy itself, including through the further elaboration of priority topics, strategic objectives, priority actions, indicators and milestones. During prior consultations, reflections were also shared regarding the appropriate arrangements for this phase, including the importance of maintaining an inclusive yet State-led approach, the role of office holders and on relevant practices drawn from other multilateral process. Given that the Strategy is envisaged as the principal outcome of CSP13 and will encompass all aspects of Treaty implementation as well as the ATT process, it would appear appropriate for this phase to be facilitated by the CSP13 President, in close coordination with the Vice-Presidents. Consistent with practices in other multilateral fora, the President could nevertheless also be assisted in drafting, holding targeted consultations, and identifying areas of convergence, as appropriate, by a small and geographically representative informal group of interested States Parties ("Friends of the President"), participating on a voluntary basis and operating under the President's guidance, while ensuring full transparency regarding other States Parties and stakeholders. At the same time, other office holders could provide support on matters falling within their respective mandates, thereby helping to ensure both substantive expertise and broad ownership across the full range of Treaty-related issues.

RECOMMENDATIONS FOR CSP12

43. Based on the above and considering the input provided and consultations undertaken between CSP11 and CSP12, the Extended Bureau recommends that CSP12:

- a) *Welcomes the document containing draft elements for consideration in the development of a five-year Strategy for the ATT;*
- b) *Requests the President of the Thirteen Conference of States Parties (CSP13), in consultation with States Parties and with the support of the ATT Secretariat, to facilitate an inclusive and transparent intersessional process to further develop and refine the draft elements into a draft ATT Strategy to be submitted to CSP13 for consideration and adoption;*
- c) *Encourages the President of CSP13 to explore options for establishing, as appropriate, a Friends of the President process, open to the participation of all interested States Parties, to support further consultations and the preparation of the draft ATT Strategy;*
- d) *Requests, in addition, all officer holders, including Vice-Presidents, Working Groups Chairs, the Chair of the Diversion Information Exchange Forum (DIEF), the Gender Focal Points, and the Chair of the Voluntary Trust Fund (VTF) Selection Committee, to support the intersessional process, as appropriate, with respect to matters relevant to their respective workstreams.*
