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Arms Trade Treaty  
**First Conference of States Parties**  
Cancun, Mexico, 24-27 August, 2015

## **THE ARMS TRADE TREATY**

### **PROVISIONAL TEMPLATE**

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

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

The template is divided into two sections. Section A encompasses information which relates to binding obligations under the Treaty. Section B (shaded) contains information which relates to provisions in the Treaty which are estimated to be binding to a lesser degree, or non-binding.

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

- if a provision in the text is prefaced with “shall” only, it is considered binding and information on that topic should be provided in the initial report.
- if a provision in the text has qualifiers, such as “shall...subject to its national laws”, or “shall...pursuant to national law”, or “shall....consistent with national law”, or “shall....where necessary/appropriate”, then a binding obligation is deemed to exist unless certain conditions are fulfilled - and information should be provided at least to indicate whether the obligation is considered applicable or not in the specific national context.
- if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding and information on the topic is voluntary. This category also includes qualifiers such as “may include...” or actions to be initiated “by mutual consent” with another State Party.

In Section B, States Parties are obliged according to Article 13(1) to provide information on the listed measures to the extent that such measures have been undertaken to implement the Treaty. On a voluntary basis, more information may also be provided.

## GOVERNMENT OF NORWAY

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

This Initial Report may be made publicly available	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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SECTION A.  
INFORMATION RELATED TO BINDING OBLIGATIONS IN THE TREATY

## 1. NATIONAL CONTROL SYSTEM AND LIST

<b>A. Overview of legislation and ordinances governing the national control system</b> [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)			
<b>B. The national control system includes the following:</b>		Yes	No
i)	competent national authorities (further specified below) [Article 5(5)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	a control list [Article 5(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below.			
<b>The national contact points are the Section for Humanitarian Affairs in the Norwegian Ministry for Foreign Affairs (MFA), and the Section for Police in the Norwegian Ministry of Justice (MJ)</b>			
<b>C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty</b> [Article 5(6)] (if 'No', please clarify below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>This report constitutes Norway's notification of the national contact point to the ATT ISU</b>			
<b>D. The national control list covers the following:</b>		Yes	No
i)	Battle tanks [Article 2(1a)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1b)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1c)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1d)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1e)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vi)	Warships [Article 2(1f)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1g)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1h)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>The national control list also includes the following, in order to enable the application of Articles 3 and 4:</b>		Yes	No

ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below			
<b>E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4]</b> (if 'No', please elaborate further below)		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>The national control list is submitted simultaneously with the submission of this initial report, see Section B (1) of this report where the URL to the national control list is included.</b>			

## 2. PROHIBITIONS

<b>A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, in the circumstances specified in Articles 6(1) to 6(3)</b> (if 'No' in any respect, please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2)</b> (please list below)		
<b>United Nations Convention against Transnational Organized Crime (UNTOC), 2000</b>		
<b>UNTOC protocol III against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime, 2001</b>		
<b>Convention on Cluster Munitions (2008)</b>		
<b>C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3)</b> (please list below)		
<b>The Annex (Regulations) to Hague Convention IV (1907)</b>		
<b>The Four Geneva Conventions (1949) Additional Protocol I and II to the Geneva Conventions (1977)</b>		
<b>The Convention on Genocide (1948)</b>		
<b>The Statute of the International Criminal Court (1998)</b>		

## 3. EXPORTS

<b>A. The national control system includes the following:</b>	Yes	No
i) an authorization or licensing system for arms exports [Article 5(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii) prohibition assessment guidelines [Article 6]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii) export assessment criteria [Article 7]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv) a risk assessment procedure [Article 7]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below		

<b>B. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4</b> (if 'No', please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export</b> [Article 7(5)] (if 'No', please provide further information below)		
	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>D. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4)</b> (if 'No' in any respect, please elaborate below)		
	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>E. The competent national authority(-ies) for the control of exports</b> [Article 5(5)] (please specify below)		
Ministry of Foreign Affairs/ Section for Export Control		
<b>F. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties</b> [Article 7(6)] (if 'No' please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

#### 4. IMPORTS

<b>A. The national control system includes measures that allow the regulation, where necessary, of imports of conventional arms covered under Article 2(1).</b> [Articles 6(1) to 6(3) and Article 8(2)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Law on weapons, parts and components, ammunition etc. lov av 6/9-1961, endret 2015 - forskrift av 1/7-2009, endret 2014 Regulation on weapons parts and components, ammunition etc. These legal frameworks pertain to all items on the national control list.		
If 'Yes', please also answer the following question		
<b>B. The competent national authority(-ies) for the regulation of imports</b> [Article 5(5)] (please specify below)		
Ministry of Justice		
<b>C. The national control system allows for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist an export assessment by a potential exporting State Party</b> [Article 8(1)] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

#### 5. TRANSIT & TRANS-SHIPMENT

<b>A. The national control system includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1)</b> [Articles 6(1) to 6(3) and Article 9] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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elaborate below)			
<b>Law on weapons, parts and components, ammunition etc. lov av 6/9-1961, endret 2015 - forskrift av 1/7-2009, endret 2014 Regulation on weapons parts and components, ammunition etc. These legal frameworks pertain to all items on the national control list.</b>			
<b>B. The national control system includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1)</b> [Articles 6(1) to 6(3) and Article 9] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>Law on weapons, parts and components, ammunition etc. lov av 6/9-1961, endret 2015 - forskrift av 1/7-2009, endret 2014 Regulation on weapons parts and components, ammunition etc. These legal frameworks pertain to all items on the national control list.</b>			
<b>C. Control measures for the regulation of transit and/or trans-shipment cover :</b> (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)		Yes	No
i)	Transit / trans-shipment through land territory (including internal waters)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	Transit / trans-shipment through territorial waters	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>D. The competent national authority(-ies) for the regulation of transit and trans-shipment</b> [Article 5(5)] (please specify below)			
The Ministry of Justice and the Ministry of Foreign Affairs			

## 6. BROKERING

<b>A. The national control system includes measures that allow the regulation, pursuant to national laws, of brokering of conventional arms covered under Article 2(1)</b> [Articles 6(1) to 6(3) and Article 10] (if 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>Law on weapons, parts and components, ammunition etc. lov av 6/9-1961, endret 2015 - forskrift av 1/7-2009, endret 2014 Regulation on weapons parts and components, ammunition etc.</b>			
<b>Act of 18 December 1987 relating to control of the export of strategic goods, services, technology, etc. and Regulations relating to the export of defence-related products, dual-use items, technology and services dated 19 June 2013 Section 6.</b>			
<b>These legal frameworks pertain to all items on the national control list.</b>			
<b>B. The definition of brokering used in national legislation</b> [Articles 6(1) to 6(3) and Article 10] (please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)			
<b>Brokering is defined as 'trade' (handel) in Norwegian national legislation (Section 16, Law on weapons, 6/9-1961). Illegal brokering can, under certain circumstances specified in Section 5 in the Norwegian Penal Code, be subject to criminal proceedings although committed abroad.</b>			
<b>In above mentioned Regulation dated 19 June 2013 Section 6: "Licensing requirement for trade and brokering. An export licence from the Ministry of Foreign Affairs is required to trade in, offer brokering services or otherwise assist in the sale of products and technology that are included in List I from one foreign country to another".</b>			
<b>C. The competent national authority(-ies) for the regulation of brokering</b> [Article 5(5)] (please specify below)			

National Police Directorate

**7. DIVERSION**

<b>A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1)</b> [Article 11(1)]		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	cooperation and information exchange, where appropriate and feasible and pursuant to national law, with other States Parties [Article 11(3)] (if 'No', please provide background below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>B. The national control system includes appropriate measures to be taken, pursuant to national law and in accordance with international law, when a diversion of transferred conventional arms under Article 2(1) has been detected</b> [Article 11(4)] (if 'No', please elaborate below)		<input checked="" type="checkbox"/>	<input type="checkbox"/>

**8. RECORD KEEPING**

<b>A. The national control system includes provisions for maintaining records regarding:</b> [Article 12(1)] (mandatory to retain records for one of the two options below)		Yes	No
i)	issued authorizations for the export of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	actual exports of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>B. Records are kept for a minimum of 10 years</b> [Article 12(4)] (if 'No', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

**9. REPORTING**

<b>A. The national control system allows for the provision of information as required by Article 13(3)</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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**10. ENFORCEMENT**

<b>A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty</b> [Article 14] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
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<b>B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)]</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

**11. INTERNATIONAL COOPERATION**

<b>A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests</b> [Article 15(1)] (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

**12. INTERNATIONAL ASSISTANCE**

<b>A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1)</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>Norway provides assistance to affected countries through national and international organizations that provide capacity building, stockpile destruction and management (eg Norwegian People's Aid, Mines Advisory Group, Saferworld).</b>		

**13. DISPUTE SETTLEMENT**

<b>A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1)</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

**SECTION B.**  
**INFORMATION RELATED TO NON-BINDING PROVISIONS IN THE TREATY**

States Parties are obliged according to Article 13(1) to provide information on the measures listed below, to the extent that such measures have been undertaken to implement the Treaty. On a voluntary basis, more information may also be provided

**1. NATIONAL CONTROL SYSTEM AND LIST**

<b>F. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) &amp; Preamble, 13<sup>th</sup> para]</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms		
<b>G. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</b> (If 'Yes', please specify below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
List of Defence-related Products (National Control List), see: <a href="https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i--forsvarsrelaterte-varer-2014-v-2.pdf">https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i--forsvarsrelaterte-varer-2014-v-2.pdf</a>		
<b>H. Control list definitions are supplemented by more detailed definitions not in the control list itself [Article 5(3)]</b> (If 'Yes', please provide further information below)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>I. The national control list is publicly available [Article 5(4)]</b> (if 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
List of Defence-related Products (National Control List), see: <a href="https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf">https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf</a>		
<b>J. Additional voluntary information about non-obligatory aspects of a national control system</b> (please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)		

**2. PROHIBITIONS**

<b>D. Additional voluntary information relevant to prohibitions under Article 6</b> (please elaborate below)
All of the crimes encompassed by Article 6 (3) of the ATT are covered by Chapter 16 in the Norwegian Penal Code, and according to its Sections 103 – 107, the prohibitions on war crimes apply in international and non-international armed conflicts alike.

**3. EXPORTS**

<b>G. The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)]</b> (if 'Yes' please elaborate below, including an indication of types of risk mitigation measures that are most often used)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

<b>H. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners]</b> (if 'Yes' please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
See section 8 of the Regulations relating to the exports of defence-related products (19.06.2013).		
<b>I. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.D above</b> (if 'Yes' please specify below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
To the extent the EU Council Common Position 2008/994/CFSP eight Criteria goes beyond the ATT criteria, these are applicable in Norway. <a href="http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:335:0099:0103:EN:PDF">http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:335:0099:0103:EN:PDF</a>		
<b>J. Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)]</b> (if 'Yes', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
List of Defence-related Products (National Control List), see: <a href="https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf">https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf</a>		
<b>K. An export authorization can be reassessed if new relevant information becomes available [Art 7(7)]</b> (if 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>L. Information / documentation included in an application for an export authorization</b> (please specify below)		
Information on export license application to be found at the Ministry of Foreign Affairs website: <a href="https://www.regjeringen.no/no/tema/utenrikssaker/Eksportkontroll/soknadsinformasjon/slik-soker-du-lisens/id2008499/">https://www.regjeringen.no/no/tema/utenrikssaker/Eksportkontroll/soknadsinformasjon/slik-soker-du-lisens/id2008499/</a>		
<b>M. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)]</b> (please specify below)		
No		
<b>N. The national control system allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)]</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>O. Additional voluntary information relevant to national export controls</b> (please specify below - for instance on the control of re-exports.)		

#### 4. IMPORTS

<b>D. Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure</b> (if 'Yes' please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Exceptions are specified in Chapter 11 of the National Firearms Regulations (25.06.2009).		
<b>E. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (if 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

<p><b>F. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required)</b>  <b>[Article 5(5)]</b>          (please specify below)</p>
No
<p><b>G. Information / documentation required for an import authorization</b>          (please specify below)</p>
See the National Firearms Act (09.06.1961) and the National Firearms Regulations (25.06.2009).
<p><b>H. Additional voluntary information relevant to national import controls</b>          (please specify below)</p>

## 5. TRANSIT and TRANS-SHIPMENT

<p><b>E. Transit / trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance in a free trade area)</b>          (if 'Yes' please provide further information below)</p>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
See section 8 of the Regulations relating to the exports of defence-related products (19.06.2013).		
<p><b>F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty</b>          (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)</p>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<p><b>G. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1)</b>  <b>[Article 5(3)]</b>          (if 'Yes', please elaborate below)</p>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
List of Defence-related Products (National Control List), see: <a href="https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf">https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf</a>		
<p><b>H. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required)</b>  <b>[Article 5(5)]</b>          (please specify below)</p>		
No		
<p><b>I. Information / documentation required in an application for a transit / trans-shipment authorization</b>          (please specify below)</p>		
Information on transit/trans-shipment license application to be found at the Ministry of Foreign Affairs website: <a href="https://www.regjeringen.no/no/tema/utenrikssaker/Eksportkontroll/soknadsinformasjon/slik-soker-du-lisens/id2008499/">https://www.regjeringen.no/no/tema/utenrikssaker/Eksportkontroll/soknadsinformasjon/slik-soker-du-lisens/id2008499/</a>		
<p><b>J. Additional voluntary information relevant to national transit / trans-shipment controls</b>          (please specify below)</p>		

## 6. BROKERING

<p><b>D. National brokering controls contain exemptions (for instance for national armed forces or defence industry)</b>  <b>[Articles 6 and 10]</b>          (if 'Yes', please provide further information below)</p>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
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<b>E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations)</b> (if 'Yes', please specify the additional scope of control)		
	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1)</b> [Article 5(3)] (if 'Yes', please elaborate below)		
	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>G. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering</b> [Article 5(5)] (please specify below)		
No		
<b>H. Information / documentation required in an application related to brokering</b> (please elaborate below)		
See the National Firearms Act (09.06.1961) and the National Firearms Regulations (25.06.2009).		
<b>I. Additional voluntary information relevant to national brokering controls</b> (please specify below)		

## 7. DIVERSION

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

i)	alerting potentially affected States Parties	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	investigative and law enforcement measures at the national level	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (if 'Yes', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
List of Defence-related Products (National Control List), see: <a href="https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf">https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf</a>			
<b>F. Additional voluntary information relevant to the prevention of diversion of conventional arms</b> (please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			

## 8. RECORD KEEPING

<b>C. The national control system includes provisions for maintaining records regarding :</b>		Yes	No
i)	imports of conventional arms covered under Article 2(1) of the Treaty into national territory as final destination [Article 12(2)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
ii)	authorizations for the transit and/or trans-shipment through national territory of conventional arms covered under Article 2(1) of the Treaty [Article 12(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	authorizations related to the conduct of brokering activities included in the scope of the national control system (for instance relating to a register of brokers) [Article 10]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>D. Records cover other categories of conventional arms than those specified in Article 2(1)</b> (if 'Yes', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
List of Defence-related Products (National Control List), see: <a href="https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf">https://www.regjeringen.no/globalassets/departementene/ud/vedlegg/eksportkontroll/liste-i---forsvarsrelaterte-varer-2014-v-2.pdf</a>			
<b>E. Additional voluntary information relevant to national record keeping</b> (please specify below - for instance types of information preserved in national records for exports and imports respectively)			

## 9. REPORTING

<b>B. Additional voluntary information relevant to national reporting</b> (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)
Norway has a long-standing tradition of reporting annually on arms exports through a White Paper to the parliament (Storting). This White Paper is public and contains information on export control measures and their implementation and on statistics on actual exports during the preceding year. It also contains the full set of legislative measures and guidelines in force. The major part of the statistics portion is a presentation of destination countries, types of military equipment in general terms and the value of the actual exports. The process following the publication of the White Paper involves dialogue with civil society with the aim of maintaining and improving transparency.

**10. ENFORCEMENT**

<b>C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)]</b> (please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
See Section 276 (regarding corruption) of the Norwegian Penal Code.		
<b>D. Additional voluntary information relevant to national enforcement</b> (please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		
Section 5 of the Act relating to control of the export of strategic goods, services, technology, etc. (18.12.1987) specifies that:  ”Unless the matter is subject to more severe penal provisions, any person who wilfully; exports or attempts to export goods, technology or services in contravention of this Act or regulations issued pursuant thereto, or <sup>[[1]]</sup> contravenes or attempts to contravene any condition laid down pursuant to this Act, or <sup>[[1]]</sup> orally or in writing furnishes incorrect information concerning circumstances of <sup>[[1]]</sup> significance for authorisation to export goods, technology or services if this information is furnished: in a declaration made for use by a public authority or anyone acting on behalf of a <sup>[[1]]</sup> public authority in connection with export or an application for permission to <sup>[[1]]</sup> export, <sup>[[1]]</sup> in a declaration intended to enable another person to make such a declaration as is <sup>[[1]]</sup> mentioned under litra a, or <sup>[[1]]</sup> in any other way contravenes or attempts to contravene provisions issued pursuant to this Act, <sup>[[1]]</sup> is liable to fines or a term of imprisonment not exceeding five years, or both.  Complicity in any offence such as is mentioned in the first paragraph is subject to the same penalty.”		

**11. INTERNATIONAL COOPERATION**

<b>B. Additional voluntary information relevant to participation in international cooperation</b> (please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)		
The Norwegian Initiative on Small Arms Transfers (NISAT) is a database run by the Peace Research Institute in Oslo (PRIO) documenting the global trade in small arms and light weapons. NISAT is the only global data base of this kind, and an important resource for international research in this field.		

**12. INTERNATIONAL ASSISTANCE**

<b>B. National regulations and policy allow the provision of financial resources to the voluntary trust fund established under Article 16(3) of the Treaty</b> (if ‘No’, please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>C. Additional voluntary information relevant to the provision- or receipt of implementation assistance</b> (please specify below - for instance regarding assistance provision capacities or assistance needs,)		

**13. DISPUTE SETTLEMENT**

<b>B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2)</b> (if ‘No’, please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty</b> (please specify below)		

