



Permanent Mission of the Republic of Zambia  
to the United Nations in Geneva and Vienna

**NOTE: 033/2020**

The Permanent Mission of the Republic of Zambia to the United Nations Office and other International Organizations in Geneva presents its compliments to the Secretariat of the Arms Trade Treaty and has the honour to submit to the latter, a Zambia's Initial Report of the Arms Trade Treaty.

The Permanent Mission of the Republic of Zambia to the United Nations and other International Organizations in Geneva avails itself of this opportunity to renew to the Secretariat of the Arms Trade Treaty the assurances of its highest consideration.

Geneva, 3<sup>rd</sup> February, 2020

The Secretariat,  
Arms Trade Treaty  
**GENEVA**



## THE ARMS TRADE TREATY

### REPORTING TEMPLATE

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

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

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

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

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

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

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

Please note that Article 13.1 also requires States Parties to "*report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate*". This template may be used to supply such updates as well. Only changes need then be indicated.



## GOVERNMENT OF THE REPUBLIC OF ZAMBIA

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

DATE OF SUBMISSION \_\_\_\_\_

This Initial Report is available only to States Parties	<input type="checkbox"/>
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This Report contains only updates to a previously submitted initial report dated _____	<input type="checkbox"/>
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## 1. NATIONAL CONTROL SYSTEM AND LIST

<b>A. Overview of legislation and ordinances governing the national control system [Article 5(2)]</b> (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)		
<ul style="list-style-type: none"> <li>• Firearms Act, Chapter 110 of the Laws of Zambia</li> <li>• Customs and Excise Act, Chapter 322 of the Laws of Zambia</li> <li>• State Security Act, Chapter 111 of the Laws of Zambia</li> <li>• Zambia Police Act, Chapter 107 of the Laws of Zambia</li> <li>• Public Procurement Act, No. 12 of 2008</li> <li>• Anti-Terrorism and Non-Proliferation Act, No. 6 of 2018</li> <li>• Criminal Procedure Code, Chapter 88 of the Laws of Zambia</li> <li>• Penal Code, Chapter 87 of the Laws of Zambia</li> <li>• Mutual Legal Assistance in Criminal Matters Act, Chapter 98 of the Laws of Zambia</li> <li>• Extradition Act, Chapter 94 of the Laws of Zambia</li> <li>• Forfeiture of Proceeds of Crime Act No. 19 of 2010</li> </ul>		
Zambia is currently drafting the National Conventional Arms Control Act, which will implement the provisions of the Arms Trade Treaty.		
<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 type="checkbox"/>	<input checked="" 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.i) Under the Firearms Act, the police service is the licensing authority for the export and import of firearms, their parts and components, and ammunition. The Ministry of Defence is responsible for controlling the export and import of conventional arms.  Under the Customs and Excise Act, all imports, exports, and transit of conventional arms are regulated.  The National Conventional Arms Control Act will establish the competent national authority for implementation of the ATT.		
B.ii) During 2019-2020, Zambia is implementing an Arms Trade Treaty Voluntary Trust Fund project to establish and maintain a national control list.		
<b>C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)]</b> (if 'No', please clarify below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

<b>D. The national control list covers the following:</b>		Yes	No
i)	Battle tanks [Article 2(1a)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1b)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1c)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
iv)	Combat aircraft [Article 2(1d)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
v)	Attack helicopters [Article 2(1e)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
vi)	Warships [Article 2(1f)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1g)]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1h)]	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>
x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If 'No' to any of the items above, please provide background below			
During 2019-2020, Zambia is implementing an Arms Trade Treaty Voluntary Trust Fund project to establish and maintain a national control list, which will include all items covered by ATT Articles 2(1), 3, and 4.			
The Firearms Act defines firearms and ammunition.			
<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"/>
Zambia does not currently have a national control list.			
During 2019-2020, Zambia is implementing an Arms Trade Treaty Voluntary Trust Fund project to establish and maintain a national control list, which will include all items covered by ATT Articles 2(1), 3, and 4.			
Once established, the national control list will be provided to the Secretariat.			
<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 type="checkbox"/>	No <input checked="" type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms			
The Firearms Act regulates the import, export and transit of firearms, their parts and components, and ammunition used for recreational, cultural, historical and sporting purposes.			
<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 type="checkbox"/>	No <input checked="" type="checkbox"/>
<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 type="checkbox"/>	No <input checked="" type="checkbox"/>
Once established, the national control list will be made publicly available.			



**J. Additional voluntary information about the national control system**  
(please elaborate below – for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)

## 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)		
<ul style="list-style-type: none"> <li>• Southern African Development Community (SADC) Treaty on Trade (Article 10)</li> <li>• SADC Firearms Protocol</li> <li>• United Nations Firearms Protocol</li> <li>• Convention Prohibiting Certain Conventional Weapons and Additional Protocols I, II, III</li> <li>• Convention Prohibiting Chemical Weapons</li> <li>• Convention on the Prohibition of Biological and Toxin Weapons</li> <li>• Convention on Cluster Munitions</li> <li>• Anti-Personnel Mine Ban Convention</li> <li>• Treaty on the Prohibition of Nuclear Weapons</li> <li>• AU Convention on Mercenaries</li> <li>• Arms Trade Treaty</li> </ul>		
<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 - for instance if)		
<ul style="list-style-type: none"> <li>• Geneva Conventions 1949 and Additional Protocol I</li> <li>• Optional Protocol on the involvement of children in armed conflict</li> <li>• Rome Statute of the International Criminal Court</li> </ul>		
<b>D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case</b> (if 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
[Ministry of Foreign Affairs to address]		
<b>E. Additional voluntary information relevant to prohibitions under Article 6</b> (please elaborate below - for instance if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4)		

## 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)	export assessment criteria [Article 7]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
iii)	a risk assessment procedure [Article 7]	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If 'No' to any of the items above, please provide background below			
A.i) The Firearms Act provides for a licensing system for the export of firearms.			

The Ministry of Defence is responsible for authorizing the export of conventional arms.		
A.ii and A.iii) The National Conventional Arms Control Act and regulations will provide guiding principles and criteria in line with Article 7 of the Arms Trade Treaty, as well as the risk assessment procedure.		
<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"/>
The National Conventional Arms Control Act and national control list will cover all conventional arms under Article 2(1) and items covered under Articles 3 and 4.		
The Firearms Act applies to export controls for firearms, ammunition, and their parts and components.		
The National Revenue Authority under the Ministry of Finance will not allow the export of conventional arms without an export permit.		
<b>C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)]</b> (if 'No', please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Form 2 of the Firearms Regulations provides the template for a detailed export permit, issued prior to export.		
<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 type="checkbox"/>	No <input checked="" type="checkbox"/>
The national risk assessment procedure will be elaborated in new legislation and regulations to implement the ATT, and will include all the criteria described in Article 7(1)(a) and (b) and Article 7(4).		
<b>E. The competent national authority(-ies) for the control of exports [Article 5(5)]</b> (please specify below)		
The National Conventional Arms Control Act will establish the competent national authority for the control of exports.		
Under the Firearms Act, the police service is the competent national authority for the control of exports of firearms, their parts and components, and ammunition.		
The Ministry of Defence is responsible for controlling the export of conventional arms.		
Under the Customs and Excise Act, the National Revenue Authority under the Ministry of Finance is the enforcement agency for the control of the export of conventional arms.		
<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 [Article 7(6)]</b> (if 'No' please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<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 type="checkbox"/> No <input checked="" type="checkbox"/>		
<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 type="checkbox"/> No <input checked="" type="checkbox"/>		



<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"/>
The National Revenue Authority under the Ministry of Finance controls exports of other conventional arms, such as unmanned aerial vehicles for reconnaissance for military purposes, hand grenades, tasers and stun guns, etc.		
<b>K. An export authorization can be reassessed if new relevant information becomes available [Article 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"/>
The competent authority can reassess export permit applications for firearms, but this is not enshrined in the Firearms Act.		
The new legislation to implement the ATT will explicitly include provisions that permit a reassessment of export permit applications.		
<b>L. Information / documentation included in an application for an export authorization</b> (please specify below)		
For an export permit for firearms, a registered firearms dealer must complete form 2 of the Firearms Regulations of the Firearms Act (Application for firearms dealer's export permit). The application form requests the following information be provided by the applicant: name and contact details for the firearms dealer; firearms dealer's licence number; details of firearms (type, make, caliber, serial number); details of ammunition (quantity and description); if the export is temporary or permanent; name and address of the owner of the arms or ammunition; precise reason for the export; country of ultimate destination; port of exit from Zambia; name and address of consignee; method of transportation; details of the import permit or other document authorizing the consignee to import or possess the firearms/ammunition in the ultimate destination.		
<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)		
The National Conventional Arms Control Act will establish an inter-ministerial committee or commission for decision-making on export authorizations.		
<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, or further detail on national measures indicated in 3A-D and F)		
At the point of exit from Zambia, the National Revenue Authority under the Ministry of Finance undertakes physical sight checks of conventional arms being exported.		

#### 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) [ref Article 8(2)], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)]</b> (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"/>
Measures are in place in Zambia to regulate the import of conventional arms, ammunition, and parts and components.		
Zambia is in the process of establishing and maintaining a national control list that will be used to regulate imports of conventional arms, ammunition, and parts and components.		
If 'Yes', please also answer the following question		
<b>B. The competent national authority(-ies) for the regulation of imports [Article 5(5)]</b> (please specify below)		
Under the Firearms Act, the Registrar of Firearms (police service) is the competent authority for issuing permits for the import of firearms, their parts and components, and ammunition.		



The Ministry of Defence is the competent authority for regulating the import of conventional arms into Zambia.		
The National Conventional Arms Control Act will establish a centralized competent authority to regulate the import of conventional arms, ammunition, and parts and components.		
<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 [Article 8(1)]</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<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 type="checkbox"/>	No <input checked="" type="checkbox"/>
<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 checked="" type="checkbox"/>	No <input type="checkbox"/>
The National Revenue Authority under the Ministry of Finance regulates imports of other conventional arms, such as unmanned aerial vehicles for reconnaissance for military purposes, hand grenades, tasers and stun guns, etc.		
<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) [Article 5(5)]</b> (please specify below)		
<b>G. Information / documentation required for an import authorization</b> (please specify below)		
For an import permit for firearms, a registered firearms dealer must provide the following information: name and contact details for the firearms dealer; firearms dealer's licence number; details of firearms (quantity and description); details of ammunition (quantity and description).		
When importing conventional arms for the armed forces of the Government of the Republic of Zambia, the Ministry of Defence issues an end user certificate, signed by the Permanent Secretary, which is then made available for the competent authority of the exporting state.		
<b>H. Additional voluntary information relevant to national import controls</b> (please specify below)		
There is security clearance and tax clearance before a firearms dealer can apply for a permit to import firearms. Permit applicants also have to make an online application to declare imports. Information will have to be provided on financing arrangements and banking details for the importer, as well as details of the end user.		

## 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) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)]</b> (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"/>
Measures are in place in Zambia to regulate the transit of conventional arms, ammunition, and parts and components.		
Zambia is in the process of establishing and maintaining a national control list that will be used to regulate the transit of conventional arms, ammunition, and parts and components.		
<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) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)]</b> (if 'Yes', please provide further information below on the nature of control measures)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>



and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)			
Measures are in place in Zambia to regulate the trans-shipment of conventional arms, ammunition, and parts and components.			
Zambia is in the process of establishing and maintaining a national control list that will be used to regulate the trans-shipment of conventional arms, ammunition, and parts and components.			
<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 type="checkbox"/>	<input checked="" type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input checked="" type="checkbox"/>	<input type="checkbox"/>
C.ii) Zambia is a land-locked country and therefore does not address transit and trans-shipment through territorial waters.			
<b>D. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]</b> (please specify below)			
Ministry of Defence, Ministry of Home Affairs, Ministry of Foreign Affairs, National Revenue Authority under the Ministry of Finance, and Civil Aviation Authority under the Ministry of Communication and Transport.			
<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)		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<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)		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<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) [Article 5(3)]</b> (if 'Yes', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
The National Revenue Authority under the Ministry of Finance regulates the transit and trans-shipment of other conventional arms, such as unmanned aerial vehicles for reconnaissance for military purposes, hand grenades, tasers and stun guns, etc.			
<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) [Article 5(5)]</b> (please specify below)			
<b>I. Information / documentation required in an application for a transit / trans-shipment authorization</b> (please specify below)			
<ul style="list-style-type: none"> <li>• The export permit issued by the competent authority in the exporting state;</li> <li>• The import permit issued by the competent authority in the importing state in which the final end user is located;</li> <li>• The transit or import permit issued by the competent authority in the transit country(-ies).</li> </ul>			
<b>J. Additional voluntary information relevant to national transit / trans-shipment controls</b> (please specify below)			
There is security clearance and tax clearance before an agent can receive authorization for the transit or trans-shipment firearms. Permit applicants also have to make an online application to declare your transit or trans-shipment. Information will have to be provided on the agent and the end user.			

## 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) [ref Article 10], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)]</b> (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 type="checkbox"/>	No <input checked="" type="checkbox"/>
The National Conventional Arms Control Act will establish measures to regulate the brokering of conventional arms covered under Article 2(1) and items covered by Articles 3 and 4.			
<b>B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10]</b> (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)			
The National Conventional Arms Control Act will provide a definition for brokering.			
<b>C. The competent national authority(-ies) for the regulation of brokering [Article 5(5)]</b> (please specify below)			
The National Conventional Arms Control Act will establish a centralized competent authority to regulate the brokering of conventional arms, ammunition, and parts and components.			
<b>D. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 &amp; 10]</b> (if 'Yes', please provide further information below)		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<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) [Article 5(3)]</b> (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 [Article 5(5)]</b> (please specify below)			
<b>H. Information / documentation required in an application related to brokering</b> (please elaborate below)			
<b>I. Additional voluntary information relevant to national brokering controls</b> (please specify below)			

## 7. DIVERSION

<b>A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]</b>		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 [Article 11(4)]</b> (if 'No', please elaborate below)			
		<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]:</b>			
		Yes	No
iii)	establishment of mitigation measures [Article 11(2)]	<input checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Use of Interpol I-24/7</li> <li>• Use of Goods Received Notes (GRN) to confirm that the type and quantity of items declared have been delivered and received by the consignee or end user</li> <li>• Control transit and trans-shipment by escort for shipments of military items and also security when vessels transporting such items are constantly secured</li> <li>• Use of seals on containers and tracking of shipments en route to their final destination</li> <li>• Good stockpile management, security, and record-keeping of conventional arms and ammunition in the national stockpile</li> <li>• Regular defence and security meetings at bilateral, regional and other multilateral levels</li> <li>• Joint monitoring of borders and border regions</li> </ul>			
<b>D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]</b>		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 checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Joint teams involved in securing the location of the diversion attempt</li> <li>• Use of regular or ad hoc defence and security meetings at bilateral, regional, and other multilateral levels to address the detected diversion</li> </ul>			
<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"/>

The National Revenue Authority under the Ministry of Finance takes measures to prevent or address the diversion of other conventional arms, such as unmanned aerial vehicles for reconnaissance for military purposes, hand grenades, tasers and stun guns, etc.

**F. Additional voluntary information relevant to the prevention of diversion of conventional arms**  
(please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)

## 8. RECORD KEEPING

<b>A. The national control system includes provisions for maintaining records regarding:</b> [Article 12(1)] (it is mandatory to retain records for one of the two options below)		Yes	No
i)	issued authorizations for the export of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)]	<input 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 [Article 12(4)]</b> (if 'No', please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
The Customs and Excise Act requires that all records on actual exports, imports, and transit and trans-shipment of conventional arms must be retained for six years.			
Export and import permits for firearms, ammunition, and their parts and components are retained indefinitely.			
<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 checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	authorizations for the transit and/or trans-shipment through national territory of conventional arms covered under Article 2(1) of the Treaty [Article 12(2)]	<input 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 type="checkbox"/>	<input checked="" type="checkbox"/>
<b>D. Records cover other categories of conventional arms than those specified in Article 2(1)</b> (if 'Yes', please elaborate below)		<input checked="" type="checkbox"/>	<input type="checkbox"/>
<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)			
Under the Customs and Excise Act, records retained for actual exports, imports, and transit and trans-shipment include information on the type of conventional arms, the quantity, and the final destination country.			
The Firearms Registrar retains copies of the issued permits for the export and import of firearms, ammunition, and their parts and components.			

## 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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**B. Additional voluntary information relevant to national reporting**  
(please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)

## 10. ENFORCEMENT

<b>A. Measures are in place that provide the ability to enforce national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14]</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<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"/>
<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"/>
<p>As a state party to the UN Convention against Transnational Organized Crime and the UN Convention Against Corruption, Zambia takes measures to prevent corruption at the national level and in cooperation with other states.</p> <p>Zambia cooperates with importing, exporting, and transit and trans-shipment states to prevent diversion and corrupt practices in relation to international transfers of conventional arms, ammunition, and their parts and components.</p>		
<p><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.)</p> <p>The Firearms Act, Customs and Excise Act, the Penal Code, and the Criminal Procedure Code provide sanctions and penalties for criminal offences.</p> <p>The Forfeiture of Proceeds of Crime Act No. 19 of 2010 provides for the seizure of assets involved in criminal offences.</p> <p>Mutual Legal Assistance in Criminal Matters Act, Chapter 98 of the Laws of Zambia and Extradition Act, Chapter 94 of the Laws of Zambia provide for Zambia to undertake joint investigations, prosecutions, and extradition with other states.</p>		

## 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 [Article 15(1)]</b> (if 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<p><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)</p> <p>The Republic of Zambia undertakes regular bilateral cooperation meetings on security and defence matters with neighbouring countries.</p> <p>The Republic of Zambia actively participates in SADC regional activities relating to security and defence matter, including arms control.</p>		

## 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>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,)		
The Republic of Zambia is willing to share its expertise and experience in implementing the Arms Trade Treaty with other states parties, signatories, and other interested states.		

**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"/>
<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)		



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