

LIST OF POSSIBLE REFERENCE DOCUMENTS TO BE CONSIDERED BY STATES PARTIES
IN CONDUCTING RISK ASSESSMENT UNDER ARTICLE 7¹

The following public documents with associated links are referenced as optional sources that States Parties may choose to draw from, when relevant and useful in conducting risk assessment process under Article 7. Use of these documents is not mandatory. A State Party may also draw from other sources of information to assist in implementing its obligations under this article, such as reports from Government agencies, Embassies, foreign Government as well as international and regional organisations.

The list is not exhaustive and the fact that an organization is referenced on the list does not in itself imply that States Parties endorse with its findings.

A. Information provided by importing state party upon request by exporting state party - Art 8.1

Upon request, the importing state party shall ensure that appropriate and relevant information is provided, pursuant to its national laws, to assist the exporting state party in its national export assessment.

A.bis General resources on risk assessment

- The Wassenaar Arrangement best practices and guidelines on arms transfers, <https://www.wassenaar.org/best-practices/>
- European Union User's Guide to Council Common Position 2008/944/CFSP defining common rules governing the control of exports of military technology and equipment, <http://data.consilium.europa.eu/document/ST-10858-2015-INIT/en/pdf>

B. Contribute to or undermine peace and security – Art 7.1.a

- United Nations, <http://www.un.org>
- UNSC 1540 Committee , <http://www.un.org/en/sc/1540/>
- Center for Systemic Peace ‘State Fragility Index’, <http://www.systemicpeace.org/inscr/inscr.htm>
- Institute for Economics and Peace “Global Peace Index”, <http://economicsandpeace.org/>
- International Crisis Group CrisisWatch and country reports, <http://www.crisisgroup.org/>
- Uppsala University Conflict Data Programme, <http://www.pcr.uu.se/research/UCDP/>

C. Commit or facilitate a serious violation of international humanitarian law – Art. 7.1.b.i

- United Nations, <http://www.un.org>
- International Committee of the Red Cross, <http://www.icrc.org>

¹ Annex B to the Draft Report to the Fourth Conference of States Parties (CSP4) (<ATT/CSP4.WGETI/2018/CHAIR/355/Conf.Rep>) presented by the Chair of the Working Group on Effective Treaty Implementation (WGETI). Updated by Annex B to the Draft Report to the Fifth Conference of States Parties (CSP5) presented by the WGETI Chair (<ATT/CSP5.WGETI/2019/CHAIR/529/Conf.Rep>).

- International Committee of the Red Cross, 'Arms Transfer Decisions: Applying IHL and IHRL criteria: A practical guide' (available in all UN languages), September 2017, <https://www.icrc.org/en/publication/0916-arms-transfer-decisions-applying-international-humanitarian-law-criteria>

- Human Rights Watch 'World Report' and country reports, <http://www.hrw.org/home>

- International Criminal Court, <http://www.icc-cpi.int/>

- Coalition to Stop the Use of Child Soldiers, <http://www.child-soldiers.org/>

D. Commit or facilitate a serious violation of international human rights law – Art. 7.1.b.ii

- United Nations Development Programme (UNDP) Human Development Reports, <http://hdr.undp.org/en>

- United Nations Human Rights Council reports as part of the Universal Periodic Review, <http://www.ohchr.org/EN/HRBodies/HRC/Pages/HRCIndex.aspx>

- United Nations Office of the High Commissioner for Human Rights Report, <http://www.ohchr.org>

- Amnesty International Annual Report 'The State of the World's Human Rights' and country reports, <http://www.amnesty.org/en/human-rights>

- International Commission of Jurists, <http://www.icj.org>

- Association for the Prevention of Torture, <http://www.ap.t.ch>

- Cingranelli-Richards (CIRI) Human Rights Dataset, <http://ciri.binghamton.edu/>

- Fédération internationale des ligues des droits de l'homme, <http://www.fidh.org>

- Human Rights Watch 'World Report' and country reports, <http://www.hrw.org/home>

- Organisation mondiale contre la torture, <http://www.omct.org>

- Political Terror Scale Database, <http://www.politicalterrorsscale.org>

E. Commit or facilitate an act constituting an offence under international conventions or protocols relating to terrorism to which the exporting State is a Party – Art. 7.1.b.iii

- UN Security Council Counter Terrorism Committee, <http://www.un.org/en/sc/ctc/>

- UN Office of Counter Terrorism, <http://www.un.org/en/counterterrorism/>

- UNSC 1540 Committee, <http://www.un.org/en/sc/1540/>

F. Commit or facilitate an act constituting an offence under international conventions or protocols relating to transnational organized crime to which the exporting State is a Party – Art.7.1.b.iv

- United Nations Convention against Transnational Organized Crime

- UN Office on Drugs and Crime, <http://www.unodc.org/>

- Interpol, <https://www.interpol.int/en/Internet>
- Small Arms Survey, <http://www.smallarmssurvey.org/>

G. Commit or facilitate serious acts of gender based violence or serious acts of violence against women and children – Art. 7.4

- International Convention on the Elimination of Discrimination Against Women (CEDAW) and other relevant UN human rights treaty monitoring bodies, for Reports and concluding observations
- Office of the Special Representative on Sexual Violence in Conflict, including the early warning matrix for sexual violence and its Annex
- UNICEF data on sexual violence prevalence among girls and boys, <http://dataunicef.org/topic/child-protection/violence/sexual-violence/#>
- UN Team of Experts on the Rule of Law/Sexual Violence in Conflict reports, <https://www.un.org/sexualviolenceinconflict/wp-content/uploads/Team-of-Experts-on-Rule-of-Law-Sexual-Violence-in-Conflict-Annual-Report-2017.pdf>
- UN Security Council resolution 1325 (2000) and related resolutions, for reports on national implementation
- UN Secretary General annual reports on conflict related sexual violence (pursuant to paragraph 18 of UNSCR 1960 (2010)).
- UN Special Rapporteur on violence against women, its causes and consequences
- UN Women Global Database on Violence against Women, <http://evaw-global-database.unwomen.org>
- International Committee of the Red Cross: Working Paper: International Humanitarian Law and Gender-Based Violence in the Context of the Arms Trade Treaty, April 2019, <https://www.thearmstradetreaty.org/hyper-images/file/CSP5%20-%20working%20paper%20-%20GBV%20and%20IHL/CSP5%20-%20working%20paper%20-%20GBV%20and%20IHL.pdf>
- International Committee of the Red Cross Reports on Sexual Violence, <https://www.icrc.org>
- OECD data on sexual violence, <https://data.oecd.org/inequality/violence-against-women.htm>
- Control Arms: How to Use the Arms Trade Treaty to address Gender-Based Violence: A Practical Guide to Risk Assessment, August 2018, https://controlarms.org/wp-content/uploads/2018/08/GBV-practical-guide_ONLINE.pdf
- WILPF (Women's International League for Peace and Freedom): Preventing Gender-Based Violence through Effective Arms Trade Treaty Implementation, 2017, <http://reachingcriticalwill.org/resources/publications-and-research/publications/11843-preventing-gender-based-violence-through-effective-arms-trade-treaty-implementation>
- WILPF: Gender-based violence and the Arms Trade Treaty, 2015, www.reachingcriticalwill.org/images/documents/Publications/GBV_ATT-brief.pdf
- WILPF. 2016. Preventing gender-based violence through arms control: tools and guidelines to implement the Arms Trade Treaty and UN Programme of Action, April 2016, <http://reachingcriticalwill.org/images/documents/Publications/preventing-gbv.pdf>

H. General information on international arms transfers

- Reports of the UN-appointed groups or panels of experts that monitor UN Security Council sanctions, <http://www.un.org/sc/committees/>
- Small Arms Survey, <http://www.smallarmssurvey.org/>
- Stockholm International Peace Research Institute (SIPRI), <http://www.sipri.org/>
- Other research institutes

I. Other sources of information

- Judgments and reports by the International Criminal Court and ad hoc tribunals
- International agencies operating in the recipient state
- Local media reports
- Reports by NGOs on country situations, which may include relevant information regarding compliance with international humanitarian law
- Military doctrine, manual and instructions
- Importing/exporting state law, policy, and extent of implementation, as well as similar information from national and international civil society
- Reports from national diplomatic missions in the recipient states
- Open and closed source information from international agencies in the recipient state
- NGO reports (for example, Human Rights Watch, Amnesty International, the International Federation for Human Rights)
- Reports by research institutes on weapons/arms transfer issues (i.e. regarding illicit trafficking, national controls on arms and ammunition)
- UN Programme of Action national reports
- Virtual Knowledge Center on violence against women and girls (VAWG)
- IGAD's Conflict Early Warning and Response (CEWARN) Mechanism
- National Crime statistics
