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WORKING GROUP ON TRANSPARENCY AND REPORTING**CO-CHAIRS REPORT OF 28-29 APRIL 2021 MEETING****INTRODUCTION**

1. On 28-29 April 2021, the Working Group on Transparency and Reporting (WGTR) held its meeting as part of the preparatory process towards the Seventh Conference of States Parties (CSP7) of the Arms Trade Treaty (ATT). Due to developments regarding the COVID-19 pandemic, the meeting was organized in a virtual format.
2. The WGTR adopted the [draft annotated agenda for the meeting](#), which was based on the standing agenda items and the recurring and specific tasks for the WGTR endorsed by States Parties at CSP6, and adjusted to fit the reduced time allocated to the meeting due to its exceptional and unprecedented format. The WGTR also considered the [introductory paper of the Co-Chairs](#), which provided the background of the given tasks, summarized past deliberations, set out elements for discussion and put forward proposals for consideration by WGTR participants.
3. In their report below, the Co-Chairs present a summary of the deliberations that took place during the meeting per agenda item, and make a number of proposals for the work that the WGTR will need to undertake through remote consultations in the intersessional period leading up to CSP7, including in order to finalize documentation arising out of the April meeting that will be submitted to CSP7 for consideration and possible adoption or endorsement.

Agenda item 1: State of play of compliance with reporting obligations

[Recurring task: The WGTR will review the status of reporting, thereby focusing on the progress that has been made in comparison to the previous status updates.](#)

4. Under this agenda item, the ATT Secretariat gave a [general overview of the reporting status](#), and of the progress that had been made in comparison to the previous status update.
5. The presentation demonstrated that despite some progress made since the last update on the matter, both the decreasing annual and the initial reporting rates are still a cause of concern. Almost a quarter of States Parties had not reported on the initial measures they have taken to implement the Treaty, and more than one third were in breach of their annual reporting obligation. Besides, the overview confirmed that private reporting continues to pose challenges and this undermines the Treaty's objective of transparency. In this context, the Co-Chairs and several participants expressed concerns about the low rate of reporting and there were various calls to States Parties to make their reports publicly available.

6. Some participants drew attention to the lack of updated initial reports, given the obligation stipulated in Article 13 for States Parties to report to the ATT Secretariat on any new measures undertaken in order to implement the Treaty, and expressed support for the efforts undertaken by WGTR to raise awareness on this obligation and the benefits of the proposed adjustments to the reporting templates.
7. The ATT Secretariat also presented the new features that had been added to the annual reports webpage in order to enhance its user-friendliness by allowing data to be utilized more easily.

Agenda item 2: Challenges concerning reporting

Recurring task 1: The WGTR will encourage participants of States Parties that were in non-compliance with their ATT reporting obligations to share their challenges to submitting timely and accurate initial and annual reports.

8. The Co-Chairs firstly invited participants to share problems and difficulties they were facing, with respect to submitting timely and accurate initial and annual reports, stressing that doing so would help inform the work of the WGTR, which is aimed at developing efficient initiatives, resources and tools to support States in the fulfillment of their reporting obligations.
9. Participants acknowledged that the global pandemic had posed a series of challenges to reporting in the ATT. Those challenges have provoked not only difficulties in gathering data necessary for compiling the reports, but also misunderstandings in the communication between those responsible for compiling the reports and those responsible for submitting them to the ATT Secretariat, for instance between the capitals and the missions in Geneva. The Co-Chairs encouraged representatives of States Parties to verify if their reports were received by the Secretariat and posted on the ATT website.
10. One participant noted that one of the main challenges many States Parties have relates to the collection and verification of information due to its limited availability or the fact that data may be scattered between different governmental agencies. Another participant also pointed out that, from its experience, interagency cooperation is essential to facilitating reporting, and another one expressed that, additionally, the lack of political commitment is affecting reporting in the ATT.
11. **The Co-Chairs call out to States Parties that encounter difficulties in submitting timely and accurate reports to make use of the available assistance mechanisms developed by the WGTR, including the [FAQ-type guidance document on the annual reporting obligation](#) and the [document on measures that can be taken at national level to facilitate compliance with reporting obligations and commitments](#), in order to achieve full compliance with the Treaty's reporting obligations.**

Recurring task 2: The WGTR will monitor the implementation of the project of voluntary practical bilateral and regional assistance with reporting (peer-to-peer).

12. In their introductory paper for the 28-29 April meeting, the Co-Chairs suggested to postpone the discussion of this topic for the CSP8 cycle as no further meetings on meaningful follow up by the Secretariat have been possible due to the COVID-19 pandemic.
13. During the April meeting, a State Party referred to the peer-to-peer voluntary assistance meet & greet event organized on 6 February 2020, and proposed the organization of a similar event in a virtual setting.

14. In this regard, the Co-Chairs encourage the ATT Secretariat to consider the possibility and benefits of organizing a meet & greet event under a virtual setting if the challenges posed by the global pandemic persist and face-to-face engagement is not possible during the CSP8 cycle.

15. The Co-Chairs also invite participants to submit any comment or concrete proposal that they want to discuss during the WGTR meetings in the CSP8 cycle, in writing, by 9 July 2021. The Co-Chairs included a discussion on this topic in the draft mandate for the WGTR beyond CSP7, enclosed as Annex C of this report.

Recurring task 3: The WGTR will give participants the opportunity to propose and discuss other means to support States Parties in addressing their reporting challenges.

16. In their introductory paper for the 28-29 April meeting, the Co-Chairs suggested to postpone the discussion of this topic for the CSP8 cycle due to the reduced time allocated to the referred meeting, and given that currently there is no specific proposal under discussion.

17. In that regard, the Co-Chairs encourage participants to submit any comment or concrete proposal that they want to discuss during the WGTR meetings in the CSP8 cycle, in writing, by 9 July 2021. The Co-Chairs included a discussion on this topic in the draft mandate for the WGTR beyond CSP7.

Recurring task 4: The WGTR will encourage participants to report on initiatives taken to implement the document entitled "Outreach Strategy on Reporting".

18. Concerning this recurring task, the Co-Chairs first informed participants about the actions undertaken by the Presidents of CSP6 and CSP7 to engage in bilateral contacts with States Parties that are in arrears with their reporting obligations (details on these efforts can also be consulted in the Co-Chairs' introductory paper). While acknowledging the efforts of the Presidents, the Co-Chairs noted that the number of countries contacted on this issue had increased and there seemed to be no significant impact on the improvement of the reporting rate. Therefore, the Co-Chairs encouraged States Parties that had received letters to share their challenges and difficulties in submitting their reports, and requested participants to continue looking for ways and mechanisms to improve the reporting rate.

19. The ATT Secretariat will continue to monitor the responses to individualized letters sent out by the President of CSP7, and the Co-Chairs will brief WGTR participants on the outcome of these efforts during the CSP8 cycle.

20. The session was informed by the experience of a State Party that has received VTF funding for a project by which it seeks to strengthen its reporting capacities, the quality of its reports, and improve inter-agency cooperation. The Co-Chairs consider that this State's experience can serve as a good example for other States Parties that are struggling to comply with their reporting obligations, and would like to encourage those States Parties to consider using the VTF to obtain assistance to improve their reporting capabilities.

21. Afterwards, States Parties, civil society and regional organizations were asked to brief the WGTR about any information sessions or promotional events on reporting that they had held since CSP6, and about any other initiative focused on enhancing compliance with the reporting requirements. In this context, a regional organization informed the WGTR about the extension of its outreach program that supports initiatives aiming at strengthening national reporting capabilities and making national reporting procedures more efficient, in line with the provisions of the Treaty. Two States Parties updated the Group about their outreach efforts conducted this year, namely the organization of a virtual event on the topic

of reporting for Latin American countries and a webinar dedicated to the ATT annual report and the existing assistance on how to prepare the report.

22. The Co-Chairs believe that increased efforts to raise awareness on the mandatory nature of reporting are still needed, therefore they urge all States Parties and ATT stakeholders to continue to implement the Outreach Strategy on Reporting. In this regard, the implementation of the outreach strategy will continue to be included in the draft mandate for the WGTR beyond CSP7.

Recurring task 5: The WGTR will give participants the opportunity to discuss submitted proposals for alterations or additional questions and answers for the 'FAQ'-type guidance document on the annual reporting obligation, adopted at CSP3

23. Participants had the opportunity to submit proposals for alterations or additional questions and answer to the ['FAQ'-type guidance document on the annual reporting obligation](#). No specific proposals were made on this document, neither during the meeting, nor previously via E-mail or the information exchange platform. **The Co-Chairs decided to leave open the possibility for participants to submit proposals or contributions via E-mail or the information exchange platform, until 9 July 2021, considering that any new submitted proposal shall be discussed in the CSP8 cycle.**

Specific task 6: The WGTR will work towards finalizing discussions on the draft proposed amendments to both the Initial and Annual Reporting templates, included in annexes B and C to the Co-Chairs' report to CSP6, taking into account the comments of States Parties and other stakeholders that are inserted in the Co-Chairs' report and its annexes

24. The Co-Chairs first provided an overview of the most relevant explanations of the proposed changes to the initial and annual reporting templates, as included in the explanatory notes in Annexes A and B of their introductory paper, and asked participants to share their views on the matter.

25. The majority of delegations that took the floor appreciated the explanatory notes, and expressed favorable opinions on the suggested adjustments, noting that these contribute to addressing inconsistencies and gaps in the current templates, bringing greater clarity. It was stressed that the proposed changes also contribute to improving transparency. Changes on public availability, synergies with UNROCA, voluntary nature and alignment with the issue of gender and gender-based violence, among others, were particularly welcomed.

26. Two States Parties expressed the opinion that careful consideration should be given to not imposing additional burdens on States Parties regarding their reporting obligations. One of these States also highlighted that frequent updates would make chronological data comparison difficult. The Co-Chairs took note of this view and point out that their intention is to recommend to CSP the use of the revised templates on a long-term basis, once the WGTR come to an agreement on the proposed adjustments. This is exactly why the Co-Chairs strongly believe that the WGTR would have to ensure that, in this adjustment process, all or at least the most urgent and relevant uncertainties and inconsistencies in the reporting templates that affect the quality of reporting are addressed, so it should not be necessary to reopen the topic of amending the reporting templates at least until its benefits and effectiveness have been proved.

27. One participant signaled that the lack of universal definitions for the categories of arms to be reported may hinder proper reporting and may be dissuading States Parties from actually submitting their reports.

The Co-Chairs would like to point out that the discussion on the definitions of arms is something that goes beyond the mandate of the WGTR and cannot be addressed in the reporting templates. The Treaty itself does not give definitions to the categories of conventional arms to which it applies, but stipulates that national definitions shall not cover less than the descriptions used in the UNROCA at the time of entry into force of the ATT, and, in particular for the category of “small arms and light weapons”, they shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force of the ATT. Besides, it encourages each State Party to apply the provisions of the Treaty to the broadest range of conventional arms.

28. Some delegations explained that they were still assessing the proposed amendments and they would provide specific comments in writing. As at the date of this report, only one delegation had submitted written suggestions.

29. Taking into account the comments made during the 28-29 April meeting and the written input received after the meeting, the Co-Chairs prepared revised versions of the initial and annual reporting templates, which are included as Annex A and Annex B to this report. The Co-Chairs invite participants to review these revised reporting templates. Bearing in mind that the mandate of the WGTR adopted at CSP6 is to work towards finalizing discussions on the draft proposed amendments to the referred reporting templates, **the Co-Chairs invite ATT stakeholders to participate in virtual consultations, which will take place on 29 and 30 June 2021, from 12:00-14:00, Geneva time (CEST), for the purpose of drafting revised versions of the templates that would be submitted to CSP7 for consideration and possible endorsement. Details of the meeting, including registration, will be circulated to ATT stakeholders by the ATT Secretariat in due course.**

Agenda item 3: Substantive reporting and transparency issues

Recurring task 1: The WGTR will give participants the opportunity to raise and discuss substantive issues about the reporting obligations that could benefit from consideration by the WGTR

30. In their introductory paper for the 28-29 April meeting, the Co-Chairs suggested to postpone the discussion of this topic for the CSP8 cycle due to the reduced time allocated to the referred meeting.

31. In that regard, the Co-Chairs encourage participants to submit any comment or concrete proposal that they want to discuss during the WGTR meetings in the CSP8 cycle, in writing, by 9 July 2021. The Co-Chairs included a discussion on this topic in the draft mandate for the WGTR beyond CSP7.

Recurring task 2: The WGTR will monitor and coordinate further work on the project to facilitate the identification of the conventional arms in Article 2 (1) of the Treaty in the “Harmonized System” (HS) of the World Customs Organization (WCO)

32. In their introductory paper for the 28-29 April meeting, the Co-Chairs indicated that this project has been on the agenda of every WGTR meeting since May 2018 but no concrete steps had been taken. As the Co-Chairs have been advised that a draft concept note on the topic by Belgium is still under development and the said document will be presented for consideration to the WGTR after its finalization, the Co-Chairs propose to postpone the discussion of this topic for the CSP8 cycle. **For this purpose, the Co-Chairs included a discussion on this topic in the draft mandate for the WGTR beyond CSP7.**

Specific task 3: The WGTR will exchange practices, challenges and limitations concerning the public availability of annual and initial reports

33. Under this agenda item, for the first time WGTR participants held a discussion on the public availability of annual and initial reports, with a view to achieve a more comprehensive understanding of the reasons why some States Parties choose to make their reports available to States Parties only.

34. At the invitation of the Co-Chairs, a State Party shared the premise on which its decision to maintain reporting among States Parties of the Treaty was founded. It explained that reporting on arms transfers is undertaken in multiple fora, and it submits at least four such reports, *i.e.* to the ATT, EU, UNROCA and OSCE, some of them being made public. From its perspective, unlike the UNROCA, which is a voluntary reporting instrument for transparency purposes, ATT is a legally binding Treaty with an interactive mechanism aimed at, *inter alia*, streamlining export control guidelines among States Parties through reporting. In its view, ATT capacity building is based on bilateral information exchange, or with the support and collaboration of the Secretariat, in an effort to establish common procedures for transfers of military goods among States that share or strive to implement common international principles of export control of military goods. In its view, the option of confidential reporting among ATT States Parties is one of the components for capacity building within the ATT, which strengthens the prospect of universalization of the Treaty.

35. While fully acknowledging States Parties' right to decide whether to make their reports publicly available or not, the Co-Chairs would like to point out that public reporting contributes to transparency, supports capacity building for universalization, and may contribute to addressing illicit arms trafficking and arms diversion. For instance, signatory States that struggle to build their capacity to implement the provisions of the Treaty could benefit from learning from the measures undertaken by other States Parties, but they can only do so if the reports are publicly available.

36. Given the limited discussion held on the matter, and taking into consideration the concerns expressed by some participants that the number of States that choose to make their reports available to States Parties has increased year by year, with almost one fifth of States Parties choosing this option according to the overview provided by the ATT Secretariat, **the Co-Chairs propose to include a discussion of this topic on the mandate of WGTR for the period beyond CSP7, in order to give the opportunity to participants to share their practices, challenges and limitations concerning the public availability of the initial and annual reports.**

Specific task 4: The WGTR will exchange practices, challenges and limitations concerning the aggregation of data in annual reports

37. For the first time, WGTR participants also exchanged practices, challenges and limitations concerning the aggregation of data in annual reports. The discussion was informed by a [presentation from UNIDIR](#), that touched upon the existing voluntary guidance, explained the national practices observed in data aggregation and the key challenges encountered at the national level, and suggested possible areas of opportunity to continue dialogue on this topic.

38. In the discussion that followed, some participants emphasized the importance of disaggregating data explaining that only such kind of data offers a level of detail that allows for the meaningful assessment of the information contained in annual reports, and highlighting that it is beneficial in conducting comparative analyses and improving transparency. One participant illustrated the importance of

disaggregating data by sharing its own experience in utilizing ATT reports. It explained that data in the ATT annual reports is used for research, to prepare public presentations, and in national advocacy efforts. It was also emphasized that some States Parties that have less capabilities to collect and centralize all the needed information might encounter some difficulties in compiling such detailed reports, and this is also an area that must be taken into consideration when developing capabilities.

39. In line with UNIDIR's recommendations, the Co-Chairs consider that WGTR participants could benefit from sharing practices on the type of disaggregated data that is collected and managed, useful national procedures, databases and tools for data disaggregation, national coordination experiences, de-sensitizing disaggregated data, use of disaggregated data domestically, consistency in type of data collected and reported, domestic data management needs and assistance for disaggregation, disaggregated data on SALW categories, data access, collection and management with industry. In this regard, **the Co-Chairs propose to include a discussion of the topic of exchanging practices, challenges and limitations concerning the aggregation of data in annual reports in the mandate of WGTR for the period beyond CSP7.**

Agenda item 4: Organizational means for information exchange

Recurring task 1: The WGTR participants will have the opportunity to propose and discuss structured mechanisms, processes or formats facilitating the information exchanges that are required or encouraged by the Treaty, both on the policy level, as well as on the operational level

40. The Co-Chairs reminded participants that during the preparatory process of CSP6, the WGTR focused on two mechanisms, namely the information exchange platform in the restricted area of the ATT website, and the Diversion Information Exchange Forum among States Parties and signatory States. Concerning the information exchange platform, the Co-Chairs recalled that it has a great potential of strengthening the dialogue between States Parties and signatory States in the intersessional period, and urged States to take more advantage of the platform, especially during this challenging period, when their opportunities for interaction are quite limited.

41. In the run-up to the 28-29 April meeting, the Co-Chairs posted announcements on the platform requesting contributions, proposals and comments on several topics, including one asking for proposals for other structured mechanisms, processes or formats facilitating the information exchanges that are required or encouraged by the Treaty. The Co-Chairs reported that no specific proposals on the topic were submitted via E-mail or the information exchange platform.

42. During the meeting, a State Party suggested the possibility of complementing the information exchange platform in the restricted area of the ATT website with a public part feature to allow broader and more inclusive exchanges among all ATT stakeholders, including for the intersessional work, with the understanding that such an IT project would have to take into account IT priorities and the dedicated budget.

43. Considering that such a feature could contribute to increasing transparency and inclusion in the ATT, the Co-Chairs invite participants to provide their views, in writing, by 18 June 2021, on the elements that should be considered for the addition of the said feature, including the parameters for its use, the type of information that could be exchanged, the cost-benefit of the project, and those considered relevant. The Co-Chairs will prepare a proposal on the way forward based on the inputs received.

Recurring task 2: The WGTR will monitor the implementation of the three-tier approach to sharing information on diversion, adopted at CSP4

44. With regard to this recurring task, the Co-Chairs recalled that the mandate of the WGTR still includes the task to monitor the implementation of the three-tier approach to sharing information on diversion because the said approach was instituted by the WGTR and the group has a role in monitoring the usefulness and value of the initiatives that are taken in the context of the three-tier approach. They recalled that the WGTR put a great deal of effort towards the adoption of the Diversion Information Exchange Forum (DIEF) at CSP6, thus fulfilling one of the pillars of the three-tier approach to diversion information exchange.

45. Per the invitation of the Co-Chairs, the Chair of the DIEF provided WGTR participants with an update on the status of the arrangements for the first meeting of the forum and the prospects for its realization in the current CSP7 cycle, reported on [the new public webpage on the ATT website dedicated to the Forum](#), which contains the Forum's [Terms of Reference](#), and encouraged the continued exchange of information through other mechanisms such as the information exchange platform.

46. The Co-Chairs invite participants to reflect on this topic and submit their opinions and proposals in writing, by 18 June 2021, on possible measures to improve the implementation of the three-tier approach to exchange information on diversion. The Co-Chairs will take into consideration the inputs received with a view to preparing a proposal for discussions in the CSP8 cycle.

Agenda item 5: Reporting and transparency functionalities of the IT platform

Recurring task 1: The WGTR will give participants the opportunity to flag any problems or inconveniences concerning the IT platform

47. During the meeting no particular problems or inconveniences concerning the IT platform or the online reporting tool were signaled. This could be related to the limited use of these tools, as reported by the Secretariat. **In this regard, the Co-Chairs still invite States parties to provide their comments in writing, by 18 June 2021, on any problems or inconveniences in using these tools.**

Recurring task 2: The WGTR will give participants the opportunity to propose and discuss improvements to the IT platform to enhance transparency and facilitate the implementation of the reporting and information exchange obligations of the Treaty, including proposals to harness information from the initial and annual reports in a manner that allows follow-up on these reports

48. In their introductory paper for the 28-29 April meeting, the Co-Chairs suggested to postpone the discussion of this topic for the CSP8 cycle due to the reduced time allocated to the referred meeting.

49. In that regard, the Co-Chairs encourage participants to submit any comment or concrete proposal that they want to discuss during the WGTR meetings in the CSP8 cycle, in writing, by 9 July 2021. The Co-Chairs included a discussion on this topic in the draft mandate for the WGTR beyond CSP7.

Recurring task 3: The WGTR will monitor and assess the use of the online reporting functionality and the information exchange platform on the ATT website

50. During the 28-29 April meeting, the Co-Chairs indicated that they published six announcements on the information exchange platform to request input for various topics on the agenda for the April meeting, on which no follow-up from participants was registered prior to the beginning of the meeting. The Secretariat informs that by 31 May 2021, the number of registered users of the IT platform was 123, representing 48 States Parties and 03 signatories and the total number of Annual Reports submitted by completing and submitting the online reporting tool since it was established was 32.

51. Given the limited use of the said tools, the Co-Chairs continue to encourage States Parties and signatory States to: 1) register online for access to the restricted area of the ATT website; 2) consider using the online reporting tool for submitting their annual reports; and 3) engage in the discussions on the announcements posted on the information exchange platform.

52. In that regard, the Co-Chairs included a discussion on this topic in the draft mandate for the WGTR beyond CSP7.

Specific task 4: The WGTR will discuss the requirements, including budgetary requirements, for the development of a functionality that makes the information in annual reports available in a searchable database that allows for queries and extracting data

53 The ATT Secretariat presented a background document ([included as Annex C in the Co-Chairs introductory paper](#)) outlining questions that States Parties could consider in determining the parameters and features of a searchable online database that allows for queries and extracting data from annual reports, in order to facilitate a discussion among WGTR participants to identify their expectations and preferences regarding the possible development of such a searchable online database.

54. The document was generally well received by the participants. One participant considered that it is necessary for States Parties to define the purpose of the said database in order to advance with the development of the project. Another participant stressed that the aim should be to provide a tool that eventually becomes the standard reference for global arms transfers, and pointed out that in comparison to other databases available, the information contained in the ATT searchable database would not be limited to regions.

55. Considering that the background paper presented by the Secretariat has significant value and can lead to greater reflection and discussion on the project of the online searchable database, and that the discussion on the said document at the 28-29 April meeting was not exhaustive, **the Co-Chairs invite participants to respond to the questions contained in the background document prepared by the Secretariat (Annex C of the Co-Chairs introductory paper), in writing, by June 18 2021. The responses provided will serve as the basis for identifying the relevant parameters and features of the proposed database, which in turn will allow the Secretariat to prepare a cost-benefit analysis of the project. It will then be for States Parties to assess the cost-benefit of investing in such an instrument, and to decide whether they want to proceed with the development of such a tool, with its cost implications for the ATT budget.**

NEXT STEPS

56. In line with the decision to consult with ATT stakeholders remotely on the documents to be submitted to CSP7, the Co-Chairs would like to submit the following documents for the consideration of WGTR participants:

- a. Draft proposed adjustments to the Initial Reporting template - Annex A of this report;
- b. Draft proposed adjustments to the Annual Reporting template - Annex B of this report; and
- c. Draft proposed mandate for the WGTR for the period between CSP7 and CSP8 - Annex C of this report.

57. All participants are invited to submit their comments, views and proposals on the above listed documents and on the specific and recurring tasks in this report by E-mail to the ATT Secretariat at info@thearmstradetreaty.org, by 18 June 2021 for the topics being discussed in the current CSP7 cycle, and by 9 July 2021 for the topics postponed to the CSP8 cycle. States Parties and signatory States that are able to do so, are encouraged to submit their comments via the information exchange platform located in the restricted area of the ATT website.

**ANNEX A TO WGTR CO-CHAIRS' REPORT OF 28-29 APRIL 2021 MEETING
DRAFT PROPOSED AMENDMENTS TO THE INITIAL REPORTING TEMPLATE**

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 either by highlighting, tracking or marking up changes made in each section OR providing a summary description of the updates made in Annex A.

GOVERNMENT OF _____

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

DATE OF SUBMISSION REPORT _____

This Initial Report <u>may be made publicly available</u> is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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This Report contains only updates to a previously submitted initial report dated _____ (If you tick this box, please highlight or track the changes made to each section OR provide a brief summary of your updates in Annex A)	<input type="checkbox"/>
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1. NATIONAL CONTROL SYSTEM AND LIST

<u>1.1 GENERAL OVERVIEW</u>			
A. Overview of legislation and ordinances governing the national control system [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. The national control system includes the following:		Yes	No
i)	a national control list [Article 5(2)] <u>competent national authorities (further specified below) [Article 5(5)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	a control list [Article 5(2)] <u>competent national authorities [Article 5(5)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please provide background below <u>explain in more detail</u> .			
<u>C. Additional voluntary information about the national control system</u> (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)			
<u>1.2 NATIONAL CONTROL LIST</u>			
D. The national control list covers the following <u>arms</u>:		Yes	No
i)	Battle tanks [Article 2(1)(a)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1)(b)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1)(c)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1)(d)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1)(e)]	<input type="checkbox"/>	<input type="checkbox"/>

vi)	Warships [Article 2(1)(f)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1)(g)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1)(h)]	<input type="checkbox"/>	<input type="checkbox"/>
) The national control list also includes the following <u>items</u>, in order to enable the application of Articles 3 and 4:		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>
	Parts and components in a form that provides the capability to assemble the x) conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please <u>explain in more detail</u> <u>provide background</u> below			
<u>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) & 5(2)]:</u>		<u>Yes</u>	<u>No</u>
i)	<u>Export</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Import</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Transit or trans-shipment</u>	<input type="checkbox"/>	<input type="checkbox"/>
iv)	<u>Brokering</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>F. Does the same control list apply to all these types of transfers (or do you maintain different lists for different types of transfers)?</u> (If 'No', please explain)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
<u>E. The national control list has been provided to the Secretariat of the Treaty</u> (Article 5.4) (if 'No', please elaborate further below)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
<u>GF. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) & Preamble, 13th para]</u>		Yes <input 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			
<u>HG. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</u> (If 'Yes', please specify below <u>what the additional categories are</u>)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>I. Control list definitions are supplemented by more detailed definitions not in the control list itself Are items on the national control list defined? [Article 5(3)]</u> (If 'Yes', please provide further information below) -if yes, which definition(s) or descriptions do you use; ? (e.g. Wassenaar, United Nations Register of Conventional Arms, National definitions, etc.)		Yes	No
i)	<u>United Nations Register of Conventional Arms [Article 5(3)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Wassenaar Arrangement</u>	<input type="checkbox"/>	<input type="checkbox"/>

iii)	<u>EU Common Military List</u>		
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iv)	<u>National definitions</u>	<input type="checkbox"/>	<input type="checkbox"/>
v)	<u>Other (please specify)</u>	<input type="checkbox"/>	<input type="checkbox"/>
II. The national control list is publicly available [Article 5(4)] (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. <u>If 'No', please explain</u>)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
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)			
1.3 NATIONAL POINT(S) OF CONTACT			
C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)] (if 'No', please clarify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
K. The contact details of the national point(s) of contact are as follows [Article 5(6)]:			
Name:		<u>Mr.</u> <input type="checkbox"/>	<u>Mrs.</u> <input type="checkbox"/>
Position/Job:			
Ministry:			
Agency/Department:			
Email address (individual and/or institutional) :			
Telephone no.:			
Address:			

2. PROHIBITIONS

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, if: in the circumstances specified in Articles 6(1) to 6(3)– (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
the transfer would violate its obligations under measures adopted by the			
i)	<u>United Nations Security Council acting under Chapter VII of the Charter of the United Nations, in particular arms embargoes [Article 6(1)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
the transfer would violate its relevant international obligations under			
ii)	<u>international agreements to which it is a Party, in particular those relating to the transfer of, or illicit trafficking in, conventional arms [Article 6(2)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii) <u>the State Party has knowledge at the time of authorization that the arms or items would be used in the commission of genocide, crimes against humanity,</u>		<input type="checkbox"/>	<input type="checkbox"/>

grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party [Article 6(3)]			
(If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)			
D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Which international agreements that you are a Party to do you consider to which the country is a Party, and which are considered relevant for the application of Article 6(2)? (Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(2) in their Initial Reports. The list is available at [insert link##]. States Parties are welcome to consult the list when preparing their answer to this question.)			
C. Which international agreements to which the country is are you a Party to and do you consider, and which are considered relevant for defining 'war crimes' in the context the application of Article 6(3) (Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(3) in their Initial Reports. The list is available at [insert link##]. States Parties are welcome to consult the list when preparing their answer to this question.)			
D. Do you have guidelines on the application of the prohibitions to an individual case? (If 'Yes', please provide further information)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to prohibitions under Article 6 (Please elaborate below - for instance: if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4; the national interpretation of key concepts in Article 6)			

3. EXPORTS

A. The national control system includes the following:		Yes	No
i)	an authorization or licensing system for arms exports [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	export assessment criteria [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	a risk assessment procedure [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please explain in more detail provide background below			
B. National legislation includes a definition of export [Articles 6(1) to 6(3) and Article 7] (If 'Yes', please specify. If 'No', please explain.))		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Yes <input type="checkbox"/>	No <input type="checkbox"/>

<p>BC. National export controls apply to <u>all</u> the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (If 'No', please provide further information below)</p>		
<p>ED. The competent national authority(-ies) for the control of exports [Article 5(5)] (Please specify <u>the Ministry, Government Agency or Department</u> below)</p>		
<p>DE. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>GF. If a risk is identified, does the State ever considers whether there are The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)] (If 'Yes' please elaborate below, including an indication of give examples when mitigation measures are considered and of the types of risk mitigation measures that are most often used)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>EG. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (If 'Yes', please consider providing further information. If 'No', please provide further information below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>FH. 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)] (If 'No' please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>IH. 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] (If 'Yes' please provide further information below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>J. Do you have guidelines on the application of the export assessment requirements to an individual case? (If 'Yes', please provide further information)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>KL. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in <u>3.D-3.E</u> above (If 'Yes' please specify below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>LJ. 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)] (If 'Yes', please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>MK. An export authorization can be reassessed if new relevant information becomes available [Article 7(7)]</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

(If 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)		
N. There are legal provisions for suspension or withdrawal of a license? [Article 7(7)] (If 'Yes', please elaborate under which circumstances. [For example, such a provision might exist with respect to arms embargoes but not otherwise] If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
OL. Information / documentation included in an application for an export authorization (Please specify below)		
MP. 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)] (Please specify below)		
NQ. The national control system provides information requested of it by allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
OR. Additional voluntary information relevant to national export controls (Please specify below - for instance: on the control of re-exports, or further detail on relevant national measures indicated in 3A-D and F; the national interpretation of key concepts in Article 7)		

4. IMPORTS

A. The national control system includes measures that allow the regulation to prevent, 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 in violation of the prohibitions in Article 6. [ref Articles 6(1) to 6(3)] (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 type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question		
B. The competent national authority(-ies) for the regulation of imports [Article 5(5)] (Please specify the Ministry, Government Agency or Department below)		
C. National legislation includes a definition of import [Articles 6(1) to 6(3) and Article 8] (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
ED. The national control system allows the State to provide for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist another State Party that is conducting an export assessment by a potential exporting State Party [Article 8(1)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

DE. Imports of conventional arms subject to control <u>regulation</u> are, under specific circumstances, permitted without regulation <u>specific authorization</u> or under simplified procedure (If 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
FE. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (If 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
GF. 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)] (Please specify below)		
HG. Information / documentation required for an import authorization (Please specify below)		
IH. Additional voluntary information relevant to national import controls (Please specify below)		

5. TRANSIT & TRANS-SHIPMENT

A. The national control system includes measures that allow the regulation to prevent, where necessary and feasible, of the transit of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4 <u>in violation of the prohibitions in Article 6.</u> [ref Articles 6(1) to 6(3)] (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 type="checkbox"/>	No <input type="checkbox"/>
B. The national control system includes measures that allow the regulation to prevent, where necessary and feasible, of the trans-shipment of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4 <u>in violation of the prohibitions in Article 6.</u> [ref Articles 6(1) to 6(3)] (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 type="checkbox"/>	No <input type="checkbox"/>
C. National legislation includes a definition of transit [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. National legislation includes a definition of trans-shipment [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

EC. Control measures for the regulation of to regulate transit and/or trans-shipment cover : Yes No (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?)			
i)	Transit / trans-shipment through land territory (including internal waters)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Transit / trans-shipment through territorial waters	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input type="checkbox"/>	<input type="checkbox"/>
F. Does your State only apply control measures to prevent transit and trans-shipment other than in violation of the prohibitions in Article 6? (If 'Yes', please specify the other control measures that your States applies to transit and trans-shipment.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
DG. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)] (Please specify below)			
EH. Transit / trans-shipment of controlled equipment is permitted without regulation a specific authorization or under simplified procedure under certain circumstances (for instance in a free trade area) (If 'Yes' please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty (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 type="checkbox"/>
IG. 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)] (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
JH. 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)] (Please specify below)			
KI. Information / documentation required in an application for a transit / trans-shipment authorization (Please specify below)			
LJ. Additional voluntary information relevant to national transit / trans-shipment controls (Please specify below)			

6. BROKERING

A. The national control system includes measures to prevent the that allow the regulation, pursuant to national laws, of brokering of conventional arms	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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covered under Article 2(1) [ref Article 10], as well as items covered under Articles 3 and 4 <u>in violation of the prohibitions in Article 6.</u> [ref Articles 6(1) to 6(3)]			
(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)			
If 'Yes', please also answer the following question			
B. The measures to regulate brokering include:		<u>Yes</u>	<u>No</u>
i)	Requiring brokers to register before engaging in brokering [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
ii) 10]	Requiring brokers to obtain written authorization before engaging in brokering [Article	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>
C. National legislation includes a definition of brokering [Articles 6(1) to 6(3) and Article 10] (If 'Yes', please specify. If 'No', please explain.))		Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. The definition of brokering used in national legislation [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)			
D. Does your State <u>only</u> apply control measures to prevent brokering <u>other than in violation of the prohibitions in Article 6?</u> (If ' Yes <u>No</u> ', please specify the other control measures that your States applies to brokering)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. The competent national authority(-ies) for the regulation of brokering [Article 5(5)] (Please specify below)			
D. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 & 10] (If 'Yes', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations) (if 'Yes', please specify the additional scope of control)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
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)] (Please specify below)			
H. Information / documentation required in an application related to brokering (Please elaborate below)			

I.J. Additional voluntary information relevant to national brokering controls
(~~P~~lease specify below)

7. DIVERSION

A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input 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 type="checkbox"/>	<input type="checkbox"/>
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)] (I f 'No', please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :		Yes	No
ii i)	establishment of mitigation measures [Article 11(2)]		
iv ii	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]		
v iii	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]		
iv iv	examination, where appropriate, of parties involved in a transfer [Article 11(2)]		
v iii	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]		
ix vi	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)]		
x vii	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)]		
xi viii	other measures [Article 11(1)] (if 'Yes', please specify below)		
D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]		Yes	No
i)	alerting potentially affected States Parties		

ii)	investigative and law enforcement measures at the national level		
iii)	using international tracing mechanisms to identify points of diversion		
iv)	other measures (if 'Yes', please specify below)		
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)] (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
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

A. The national control system includes provisions for maintaining records regarding: [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 type="checkbox"/>	<input type="checkbox"/>
actual exports of conventional arms covered under Article 2(1) of the Treaty ii) [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
B. Records are kept for a minimum of 10 years [Article 12(4)] (If 'Yes', please elaborate for how many years records are kept. If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. The national control system includes provisions for maintaining records regarding :		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 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 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 type="checkbox"/>
D. Records cover other categories of conventional arms than those specified in Article 2(1) (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to national record keeping (Please specify below - for instance types of information preserved in national records for exports and imports respectively)			

9. REPORTING

A. The national control system allows for the provision of information <u>for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under article 2 (1)</u> as required by Article 13(3) (If 'No' or only partially, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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

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 [Article 14] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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)] (Please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Additional voluntary information relevant to national enforcement (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.)		

11. INTERNATIONAL COOPERATION

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)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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B. Additional voluntary information relevant to participation in international cooperation

(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)

12. INTERNATIONAL ASSISTANCE

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) (If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. The State is in a position to provide assistance with the following:		<u>Yes</u>	<u>No</u>
i)	<u>Establishing and/or maintaining a national control system [Article 5(2)]</u> (if 'Yes', please specify below)		
ii)	<u>Establishing and/or maintaining a national control list [Articles 5(2)-(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Designating competent national authority (-ies) [Article 5(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv)	<u>Designating a national point of contact(s) [Article 5(6)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
v)	<u>Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vi)	<u>Establishing measures to regulate the import of arms [Article 8]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii)	<u>Establishing measures to regulate the transit and trans-shipment of arms [Article 9]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii)	<u>Establishing measures to regulate the brokering of arms [Article 10]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix)	<u>Establishing measures to prevent and address diversion [Article 11]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x)	<u>Record-keeping [Article 12]</u>	<input type="checkbox"/>	<input type="checkbox"/>

(if 'Yes', please specify below)			
xi)	<u>Reporting [Article 13]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xii)	<u>Other</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<u>C. The State would like to receive assistance with the following:</u>		<u>Yes</u>	<u>No</u>
i)	<u>Establishing and/or maintaining a national control system [Article 5(2)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Establishing and/or maintaining a national control list [Articles 5(2)-(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Designating competent national authority (-ies) [Article 5(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv)	<u>Designating a national point of contact(s) [Article 5(6)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
v)	<u>Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vi)	<u>Establishing measures to regulate the import of arms [Article 8]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii)	<u>Establishing measures to regulate the transit and trans-shipment of arms [Article 9]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii)	<u>Establishing measures to regulate the brokering of arms [Article 10]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix)	<u>Establishing measures to prevent and address diversion [Article 11]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x)	<u>Record-keeping [Article 12]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xi)	<u>Reporting [Article 13]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>

xii)	<u>Other</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
BD. National regulations and policy allow the provision for contribution of financial resources to the Voluntary Trust Fund established under Article 16(3) of the Treaty (H If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
CE. Additional voluntary information relevant to the provision- or receipt of implementation assistance (P Please specify below - for instance regarding assistance provision capacities or assistance needs,)			

13. DISPUTE SETTLEMENT

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) (HIf 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
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) (H If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty (P Please specify below)			

ANNEX A. Summary of updates to the previous Initial Report

Please include a description of the parts of the State's previous Initial Report that have been updated:

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**ANNEX B TO WGTR CO-CHAIRS' REPORT OF 28-29 APRIL 2021 MEETING
DRAFT PROPOSED AMENDMENTS TO THE ANNUAL REPORTING TEMPLATE**

THE ARMS TRADE TREATY

REPORTING TEMPLATE

ANNUAL REPORT IN ACCORDANCE WITH ARTICLE 13(3) - EXPORTS AND IMPORTS OF CONVENTIONAL ARMS COVERED UNDER ARTICLE 2 (1)

This provisional template is intended for use by States Parties to the Arms Trade Treaty when preparing their annual report in accordance with the Treaty's Article 13(3).

The template has two main tables, one for exports and the other for imports. The tables are similar in construction, making it possible to have a common set of explanatory notes for both.

Article 5(3) of the Treaty states that "National definitions of any of the categories covered under Article 2 (1) (a)-(g) shall not cover less than the descriptions used in the United Nations Register of Conventional Arms at the time of entry into force of this Treaty". Against this background, Annex 1 reproduces the UN Registry Definitions of Categories I-VII at the time of the ATT's entry into force. For category VIII (small arms and light weapons), the UN Registry template for voluntary reporting of this category at the time of the ATT's entry into force has been employed as an approximation.

Annex 2 allows reporting States Parties to, if they so wish, include more specific information on national definitions of reported categories.

Annex 3 comprises two templates for nil reports, one for exports and one for imports. They may be used in place of a report in table format if a States Party has no transactions to report.

The title page of the template contains information on the submitting country and authority, but also a 'table of contents' in tick-box form, to indicate which of the different available forms have been included in the national submission. There is also a ~~(voluntary)~~ section where the reporting Government may indicate whether any commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty

On the title page of each of the four reporting forms (exports, imports, nil exports, nil imports) a State Party needs to indicate whether the form may be made publicly available in order to instruct the ATT Secretariat where to upload the report on the ATT website ~~has the option of indicating that the form is for distribution only to other States Parties to the Treaty~~. This makes it possible to restrict access to some forms but not others, which provides an additional measure of flexibility to the reporting States Party.

Guidance to facilitate the preparation of the annual report can be found in the document "Reporting Authorized or Actual Exports and Imports of Conventional Arms under the ATT" (hereinafter: 'FAQ'-type guidance document on the annual reporting obligation), which is available in the *Tools and Guidelines* section of the ATT website. This document was endorsed by States Parties at CSP3 as an informative and open-ended reference document for States Parties when preparing their annual report. At CSP5 States Parties endorsed a number of amendments that were necessary to reflect the introduction of the online reporting tool.

GOVERNMENT OF _____

**ANNUAL REPORT ON EXPORTS AND IMPORTS OF CONVENTIONAL ARMS,
IN ACCORDANCE WITH ARTICLE 13(3) OF THE ARMS TRADE TREATY****REPORT FOR THE CALENDAR YEAR _____****National Point of Contact for this Report:**

Name :		<u>Mr.</u> <input type="checkbox"/>	<u>Ms.</u> <input type="checkbox"/>
<u>Position/Job title :</u>			
Organisation :			
Fixed Phone :			
Mobile Phone :			
<u>Fax :</u>			
E-mail :			

Date of <u>Submission</u> <u>Report</u> :	
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The United Nations Office for Disarmament Affairs (UNODA) may use the relevant information in this Annual Report as a basis for the reporting State's report to the United Nations Register of Conventional Arms (UNROCA)	<input type="checkbox"/>
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Contents of report (check as appropriate)		Yes	No
i)	Nil report on exports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Nil report on imports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Annual report on exports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Annual report on imports of conventional arms	<input type="checkbox"/>	<input type="checkbox"/>
v)	National definitions of categories of conventional arms reported	<input type="checkbox"/>	<input type="checkbox"/>

Scope of report (voluntary information)	Yes	No
In the submitted report, some commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty ¹ (If 'Yes' please consider explaining why and what kind of information was withheld)		

EXPORTS OF CONVENTIONAL ARMS¹²

- SHADED COLUMNS AND ROWS REPRESENT ~~VOLUNTARY~~ INFORMATION THAT GOES BEYOND THE COMMON UNDERSTANDING OF WHAT INFORMATION STATES PARTIES SHOULD INCLUDE AS A MINIMUM WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS-

Reporting country :		Calendar Year :	Cutoff date ²³ :
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In this report, the following definition of the term exports was used³⁴ (check as appropriate) :			
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

This Annual Report on exports <u>may be made publicly available⁵</u> is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Category of [I-VIII]	Authorized or actual exports ⁷ <u>export</u>		Extent of exports ⁶ <u>exports</u> ⁸ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰ <u>12</u>	Remarks ¹¹	<u>Remarks</u> ¹³
	Auth.	Act.	Number of items ¹ <u>9</u>	Value ¹⁰			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Register 7 Categories¹ ¹³ (national definitions shall not cover less than the definitions provided in Annex 1 ¹ <u>5</u>)								

Category of arms <u>arms</u> ⁶ [I-VIII]		Authorised or actual exports <u>export</u> ⁷		Extent of exports <u>exports</u> ⁸ (choose one or both)		Final importing State <u> </u> ⁹	State of origin (if not exporter) <u> </u> ¹²	Remarks ¹¹	Remarks ¹³	
		Auth.	Act.	Number of items <u> </u> ⁹	Value <u> </u> ¹⁰			Description of Item	Comments on the transfer	
1		2	3	4	5	6	7	8	9	
I.	Battle tanks									
II.	Armoured combat vehicles									
III.	Large-calibre artillery systems									
IV.	Combat Aircraft	a) manned								
		b) unmanned								
V.	Attack helicopters	a) manned								
		b) unmanned								
VI.	Warships									
VII.	Missiles & missile launchers	a) Missiles etc								
		b) MANPADS								
B. VIII. Small Arms and Light Weapons ¹ <u> </u> ⁶ <u> </u> ⁷ <u> </u> ⁴ <u> </u> ¹⁵										
Small Arms (aggregated) ¹⁶⁸		<input type="checkbox"/>	<input type="checkbox"/>							
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>							
2.	Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>							
3.	Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>							
4.	Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>							
5.	Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>							

Category of arms <u>arms</u> ⁶ [I-VIII]		Authorised or actual exports <u>export</u> ⁷		Extent of exports <u>exports</u> ⁸ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹² 10	Remarks ¹¹ <u>Remarks</u> ¹³	
		Auth.	Act.	Number of items ⁹	Value ¹⁰			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
6.	Others								
Light Weapons (aggregated) ¹⁹⁷		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
2.	Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3.	Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4.	Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5.	Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6.	Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7.	Others	<input type="checkbox"/>	<input type="checkbox"/>						
C. Voluntary National Categories ¹⁸²⁰ (please define in Annex 2)									
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						

IMPORTS OF CONVENTIONAL ARMS¹²

- SHADED COLUMNS AND ROWS REPRESENT ~~VOLUNTARY~~ INFORMATION THAT GOES BEYOND THE COMMON UNDERSTANDING OF WHAT INFORMATION STATES PARTIES SHOULD INCLUDE AS A MINIMUM WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS -

Reporting country :		Calendar Year :	Cutoff date ²³ :
---------------------	--	-----------------	-----------------------------

In this report, the following definition of the term imports was used³⁴ (check as appropriate) :			
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

This Annual Report on imports <u>may be made publicly available⁵</u> is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Category of arms [I-VIII] ⁴⁶	Authorised or actual imports ⁵⁷		Extent of imports ⁶⁸ <small>(choose one or both)</small>		Exporting State ⁹¹¹	State of origin (if not exporter) ⁴⁰¹²	Remarks ¹³	— ⁴
	Auth.	Act.	Number of items; items ⁹	Value ⁸¹⁰			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Register ¹⁴² Categories (national definitions shall not cover less than the definitions provided in Annex 1) ¹⁻⁵³								
I. Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						

Category of arms [I-VIII]		Authorised or actual imports		Extent of imports (choose one or both)		Exporting State	State of origin (if not exporter)	Remarks	
		Auth.	Act.	Number of items	Value			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
II.	Armoured combat vehicles								
III.	Large-calibre artillery systems								
IV.	Combat aircraft	a) manned							
		b) unmanned							
V.	Attack helicopters	a) manned							
		b) unmanned							
VI.	Warships								
VII.	Missiles & missile launchers	a) Missiles etc							
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					

B. VIII. Small Arms and Light Weapons

Small Arms (aggregated)		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>						
2.	Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>						
3.	Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
4.	Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5.	Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
6.	Others	<input type="checkbox"/>	<input type="checkbox"/>						

Category of arms [I-VIII]	Authorised or actual imports		Extent of imports (choose one or both)		Exporting State	State of origin (if not exporter)	Remarks	
	Auth.	Act.	Number of items	Value			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
Light Weapons (aggregated)	<input type="checkbox"/>	<input type="checkbox"/>						
1. Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
2. Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3. Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5. Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6. Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7. Others	<input type="checkbox"/>	<input type="checkbox"/>						
C. Voluntary National Categories (please define in Annex 2)								
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						

EXPLANATORY NOTES

- 1) [See questions 29 to 31 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 1)2) States Parties that do not have any exports and/or imports to report should file a "nil report" clearly stating that no exports/imports have taken place in any of the categories during the reporting period. Templates for such nil reports are included in Annex 3. [See also question 33 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 2)3) [Date for collected statistics](#) (for instance 30 June or 31 December). [See also question 3 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 3)4) [Based on UN Registry practice.](#) An international arms transfer could mean, in addition to the physical movement of equipment to or from national territory, the transfer of title to- and control over the equipment. Other criteria are also possible. States Parties should here provide a description of the national criteria used to determine, for control purposes, exactly when an arms transfer takes place. [See also question 5 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 5) [If you wish this Annual Report to be publicly available and posted on the public area of the ATT website, tick 'Yes'. If you tick 'No', this Annual Report will be posted on the restricted area of the website and will not be publicly available. See question 41 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 4)6) As outlined in Articles 2 (1) (a)-(h) and 5(3). **For more precise definitions of the categories, see Annex 1.** [See also section B.ii. in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 5)7) [Article 13\(3\)](#) allows reporting of either authorised or actual exports / imports. The choice can be made at the national level for a report as a whole or category by category. Please indicate by ticking the appropriate box for each category reported whether the value represents authorisations (Auth.) or actual exports (Act.). **It is highly desirable that national choices in this respect, once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both authorised and actual exports / imports~~quantity and value~~ may of course do so, but then needs to submit two tables, one for authorised exports / imports and the other for actual exports / imports. [See also questions 9 to 11 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 6)8) [The size of exports / imports](#) may be indicated either as quantity or as value. The choice can be made at the national level for each category of arms, but, **once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both quantity and value may of course do so. [See also question 24 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 7)9) [Standard UN Registry reporting variable.](#) Please indicate unit, if not 'pieces'.
- 8)10) [Optional alternative.](#) Please indicate unit (for example national currency).

- 11) In line with UN Registry practice. See also questions 22 and 23 in the 'FAQ'-type guidance document on the annual reporting obligation on breaking down information.
- 12) In line with UN Registry practice. NB: This is a shaded column because this information goes beyond the common understanding of what information States Parties should include as a minimum when they report their authorized or actual exports and imports, voluntary in terms of the obligations of the ATT. See also question 24 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 13) In line with UN Registry practice. In the first "Remarks" column, States Parties may, if they so wish, describe the item transferred by entering the designation, type, model or any other information considered relevant. The second column may be used to explain or clarify the nature of the transfer - for instance if it is temporary (e.g. for exhibitions or repairs), or if it is industrial in nature (perhaps intended for integration into a larger system). NB: In line with UN Register practice, States Parties may choose between reporting respectively small arms and light weapons as an aggregate, or by sub-type. These are shaded columns, voluntary in terms of the obligations of the ATT. See also questions 25 to 28 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 9)14) As outlined in Article 2 (1) (a)-(g), See Annex 1 for the UN Registry's more precise definitions of the categories I-VII, including subcategories. See also question 12 and Annexes 1 and 2 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 10)15) See Article 5(3). See also question 12 and Annexes 1 and 2 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 11)16) As outlined in Article 2 (1) (h), with sub-categories taken from the UN Registry template for voluntary reporting of Small Arms and Light Weapons in alignment with the provision in Article 5(3), which stipulates that: 'For the category covered under Article 2 (1) (h), national definitions shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force of this Treaty'. This choice has been made provisionally, pending later agreement between States Parties on the desirability of using this or another UN description or definition of SALW sub-categories (for instance from the UN Firearms Protocol or the International Tracing Instrument - ITI). NB: The SALW sub-categories in this report are shaded, in line with the UN Register practice that allows States to choose between reporting small arms by sub-type or as an aggregate representing voluntary information in terms of the obligations of the ATT. See also questions 13 and 14 and Annex 3 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 12)17) "national definitions shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force of this Treaty" (Article 5(3)) See also question 12 and Annexes 1 and 2 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 13)18) In line with UN Registry practice, States Parties may choose between reporting small arms by sub-type or as an aggregate. See also question 13 and Annex 3 in the 'FAQ'-type guidance document on the annual reporting obligation.

~~14)~~19) In line with UN Registry practice, States Parties may choose between reporting light weapons by sub-type or as an aggregate. See also question 13 and Annex 3 in the 'FAQ'-type guidance document on the annual reporting obligation.

~~15)~~20) Article 5(3) encourages States Parties to apply the provisions of the Treaty to the broadest range of conventional weapons. Any such additional categories are voluntary and categories used may vary between States Parties. If provided at all, extra categories should be more precisely defined in Annex 2. See also questions 15 and 16 in the 'FAQ'-type guidance document on the annual reporting obligation.

ANNEX 1

UN Registry Definitions of Categories I-VII¹

I. Battle tanks

Tracked or wheeled self-propelled armoured fighting vehicles with high cross-country mobility and a high-level of self-protection, weighing at least 16.5 metric tons unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre.

II. Armoured combat vehicles

Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and cross-country capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 millimetres calibre or a missile launcher.

III. Large-calibre artillery systems

Guns, howitzers, artillery pieces, combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 75 millimetres and above.

IV. Combat aircraft

- a) Manned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these aircraft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions;
- b) Unmanned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction.

The term “combat aircraft” does not include primary trainer aircraft, unless designed, equipped or modified as described above.

V. Attack helicopters

- a) Manned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions;
- b) Unmanned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons.

¹ Excerpted from the 2014 UN Registry reporting template

VI. Warships

Vessels or submarines armed and equipped for military use with a standard displacement of 500 metric tons or above, and those with a standard displacement of less than 500 metric tons, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.

VII. Missiles and missile launchers²

- a) Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this sub-category includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.
- b) Man-Portable Air-Defence Systems (MANPADS)³.

2. Multiple-launch rocket systems are covered by the definition of category III.

3. MANPADS should be reported if the MANPAD system is supplied as a complete unit, i.e. the missile and launcher/Grip Stock form an integral unit. In addition, individual launching mechanisms or grip-stocks should also be reported. Individual missiles, not supplied with a launching mechanism or grip stock need not be reported.

ANNEX 2

Reporting country :		Calendar Year :	
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Specific (diverging or more detailed) national definitions of categories I-VIII (or simple reference to initial report, if this information was provided there)

No	Description
I.	
II.	
III.	
IV.	
V.	
VI.	
VII.	
VIII.	

Definitions of ~~voluntary~~ additional national categories - Section C of table(s)
(or simple reference to initial report, if this information was provided there)

No	Description

ANNEX 3 A

NIL REPORT

Exports of Conventional Arms¹

Reporting country :		Calendar Year :	
----------------------------	--	------------------------	--

The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for exports from territory under our jurisdiction. This report serves to confirm that

<input type="checkbox"/>	no actual exports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place from territory under our jurisdiction during the reporting period indicated above.
<input type="checkbox"/>	no export authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.

This nil report on exports may be made publicly available⁵ is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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ANNEX 3 B

NIL REPORT

Imports of Conventional Arms¹

Reporting country :		Calendar Year :	
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The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for imports from territory under our jurisdiction. This report serves to confirm that

<input type="checkbox"/>	no actual imports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place to territory under our jurisdiction during the reporting period indicated above.
<input type="checkbox"/>	no import authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.

This nil report on imports <u>may be made publicly available⁵</u> is available only to States Parties	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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**ANNEX C TO WGTR CO-CHAIRS' REPORT OF 28-29 APRIL 2021 MEETING
PROPOSED MANDATE FOR THE WGTR FOR THE PERIOD SEPTEMBER 2021-AUGUST 2022**

In accordance with its Terms of Reference and Rule 42(2) of the ATT Rules of Procedure, the Working Group would like to propose for consideration by CSP7 the following tasks for further work in the period between CSP7 and CSP8:

1. The WGTR shall continue to conduct exchanges concerning the fulfilment of the reporting obligations in Article of the ATT and the broader issue of transparency in the international trade in conventional arms. In its meetings, the WGTR shall, as a minimum, deal with the following standing agenda items and the recurrent and specific tasks outlined below¹:

- a. State of play of compliance with reporting obligations;
- b. Challenges concerning reporting;
- c. Substantive reporting and transparency issues;
- d. Organizational means for information exchange;
- e. IT platform: reporting and transparency functionalities; and
- f. WGTR mandate in the period between CSP8 and CSP9.

2. With regard to the **state of play of compliance with reporting obligations**, at every meeting the WGTR will review the status of reporting, thereby focusing on the progress that has been made in comparison to the previous status updates.

3. With regard to **challenges concerning reporting**, the WGTR will as a minimum:

- a. encourage participants of States Parties that are in non-compliance with their ATT reporting obligations to share their challenges to submitting timely and accurate initial and annual reports;
- b. monitor the implementation of the project of voluntary practical bilateral and regional assistance with reporting (peer-to-peer);
- c. give participants the opportunity to propose and discuss other means to support States Parties in addressing their reporting challenges;
- d. encourage participants to report on initiatives taken to implement the document entitled "Outreach strategy on reporting", adopted at CSP4;
- e. give participants the opportunity to discuss submitted proposals for alterations or additional questions and answers for the 'FAQ'-type guidance document on the annual reporting obligation, adopted at CSP3; and
- f. monitor the impact and usefulness of the updated Initial Reporting template and the updated Annual Reporting template endorsed at CSP7 (*this task could be adjusted according to the relevant decision by CSP7 on the reporting templates*).

4. With regard to **substantive reporting and transparency issues**, the WGTR will as a minimum:

- a. give participants the opportunity to raise and discuss substantive issues about the reporting obligations that could benefit from consideration by the WGTR;

¹ Specific tasks are those that are specifically included in the mandate of the WGTR for discussion between CSP7 and CSP8, while recurrent tasks are those that have been systematically included in all or most of the previous mandates of the WGTR.

- b. monitor and coordinate further work on the project to facilitate the identification of the conventional arms in Article 2 (1) of the Treaty in the "Harmonized System" (HS) of the World Customs Organization (WCO);
- c. exchange practices, challenges and limitations concerning the public availability of annual and initial reports; and
- d. exchange practices, challenges and limitations concerning the aggregation of data in annual reports.

5. With regard to **organizational means for information exchange**, the WGTR will as a minimum:

- a. give participants the opportunity to propose and discuss structured mechanisms, processes or formats facilitating the information exchanges that are required or encouraged by the Treaty, both on the policy level, as well as on the operational level;
- b. follow up the implementation of the three-tier approach to sharing information on diversion, adopted at CSP4.

6. With regard to the **reporting and transparency functionalities of the IT platform**, the WGTR will as a minimum:

- a. give participants the opportunity to flag any problems or inconveniences concerning the IT platform;
- b. give participants the opportunity to propose and discuss improvements to the IT platform to enhance transparency and facilitate the implementation of the reporting and information exchange obligations of the Treaty, including proposals to harness information from the initial and annual reports in a manner that allows follow-up on these reports;
- c. monitor and assess the use of the online reporting functionality and the information exchange platform on the ATT website; and
- d. work towards the consideration of a functionality that makes the information in annual reports available in a searchable database that allows for queries and extracting data.

7. With regard to the **WGTR mandate in the period between CSP8 and CSP9**, the WGTR will review the relevance of the aforementioned standing agenda items and recurrent tasks in the light of the state of play of ATT transparency and reporting, with a view to preparing a proposal for consideration by CSP8.
