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**ATT WORKING GROUP ON TRANSPARENCY AND REPORTING  
CO-CHAIRS' DRAFT REPORT TO CSP7**

**INTRODUCTION**

1. This report by the Co-Chairs of the Working Group on Transparency and Reporting (WGTR) to the Seventh Conference of States Parties (CSP7) to the Arms Trade Treaty (ATT) reflects the work in the period between CSP6 and CSP7, submissions by WGTR participants and discussions in the WGTR meeting of 28-29 April 2021 held virtually due to the developments regarding COVID-19, and the remote consultations that were held intersessionally in May and June 2021. It includes references to the documents that were discussed and an overview of the outcomes of the 28-29 April meeting and the remote consultations. Giving effect to these outcomes, the report subsequently provides the recommendations that the WGTR puts forward for consideration by CSP7.

2. Six documents are attached to this report:

- 1) [Annex A](#) - Draft proposed mandate for the WGTR for the period September 2021-August 2022;
- 2) [Annex B](#) - Draft proposed adjustments to the Initial Reporting template (track changes version);
- 3) [Annex C](#) - Draft proposed adjustments to the Initial Reporting template (clean version);
- 4) [Annex D](#) - Draft proposed adjustments to the Annual Reporting template (track changes version);
- 5) [Annex E](#) - Draft proposed adjustments to the Annual Reporting template (clean version);
- 6) [Annex F](#) - ATT Secretariat overview of the status of ATT reporting.

**28-29 APRIL WGTR MEETING**

3. On 28-29 April 2021, WGTR held its meeting as part of the preparatory process towards CSP7. Due to developments regarding the COVID-19 pandemic, the meeting was organized in a virtual format.

4. 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.

5. With regard to **the first agenda item (the state of play of compliance with the reporting obligation)**, 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. Besides, some participants recalled the obligation stipulated in Article 13 of the Treaty for States Parties to report to the ATT Secretariat on any new measures undertaken in order to implement the Treaty.

6. Regarding **the second agenda item (challenges concerning reporting)**, the Co-Chairs firstly invited participants to share challenges and difficulties they were facing with respect to submitting timely and accurate initial and annual reports. Some of the main challenges highlighted by the participants referred to collecting data during the pandemic, difficulties in inter-agency coordination and the lack of political commitment with reporting to the ATT. In this regard, the Co-Chairs called 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.

7. With respect to the implementation of the project of voluntary practical bilateral and regional assistance with reporting (peer-to-peer), a State Party proposed the organization of a meet & greet event (as the one organized on 06 February 2020) in a virtual setting, should the conditions of the pandemics persist during the CSP8 cycle. Taking into account the expressed interest and the potential benefits of such an initiative, the Co-Chairs encouraged the ATT Secretariat to consider the possibility of organizing the event during the CSP8 cycle.

8. Secondly, with regard to [the outreach strategy on reporting](#), it was agreed that the ATT Secretariat will continue to monitor the responses to individualized letters sent out by the Presidents of CSP6 and CSP7 to States Parties that are in arrears with their reporting obligations. The Co-Chairs encouraged States Parties that had received such letters to share the challenges and difficulties in submitting their reports, and, considering that increased awareness raising on the mandatory nature of reporting is crucial to fulfill the objectives of the Treaty, requested participants to continue to implement the outreach strategy on reporting, and to look for other ways and mechanisms to improve the reporting rate.

9. Thirdly, in the absence of specific proposals for alterations or additional questions and answers for the ['FAQ'-type guidance document on the annual reporting obligation](#), the Co-Chairs invited participants to submit eventual proposals in writing.

10. Lastly, concerning the discussion on the draft proposed amendments to the Initial and Annual reporting templates, the Co-Chairs provided an overview of the most relevant explanations of the proposed changes to the templates, which was welcomed by participants as a valuable initiative that contributed to the understanding of the proposed adjustments. The Co-Chairs further invited all ATT stakeholders to participate in informal virtual consultations on 29 and 30 June 2021, for the purpose of drafting revised versions of the referred templates that would be submitted to CSP7 for consideration and possible endorsement.

11. Concerning **the third agenda item (substantive reporting and transparency issues)**, 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 challenges, limitations and/or preferences of States Parties that choose not to make their reports publicly available. In this regard, one State Party shared the premise on which its decision to maintain reporting among States Parties of the Treaty was founded. In light of the limited discussions held on the matter due to the exceptional and unprecedented format of the meeting, the Co-Chairs considered that WGTR participants may benefit from continuing exchanging views on the

matter, especially since the number of States that choose to make their annual reports available to States Parties has increased over the last years.

12. The WGTR also discussed 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. Some participants emphasized the importance of disaggregating data explaining that only such kind of data provides a level of detail that allows for the meaningful assessment of the information contained in annual reports, and highlighted that it is beneficial in conducting comparative analyses and improving transparency. In light of the limited discussions held on the matter, and considering the value of continuing the examination of the relevant topics raised in UNIDIR's presentation, the Co-Chairs proposed the inclusion of this topic in the WGTR mandate beyond CSP7.

13. With regard to **agenda item 4 (organizational means for information exchange)**, and specifically on the topic of structured mechanisms, processes or formats facilitating the information exchanges that are required or encouraged by the Treaty, the Co-Chairs recalled the great potential of the information exchange platform in the restricted area of the ATT website to strengthen dialogue between States Parties and signatory States in the intersessional period, and urged States to use the platform, especially during this challenging period, when their opportunities for interaction are limited. A State Party put forward the idea to consider the possibility of complementing the information exchange platform with a public part feature to allow broader and more inclusive exchanges among all ATT stakeholders, including for the intersessional work. In this context, the Co-Chairs invited participants to consider this idea and invited them to provide written input on the elements that could be considered for the addition of the said feature, including the parameters for its use, the type of information that could be exchanged, the benefits of the project, and any other relevant element.

14. Besides, the Co-Chairs invited WGTR participants to reflect on possible measures to improve the implementation of the three-tier approach to sharing information on diversion, adopted at CSP4, and submit their opinions and proposals in writing.

15. On the **agenda item 5 (reporting and transparency functionalities of the IT platform)**, although participants did not express any problems and/or inconveniences concerning the IT platform before or during the April meeting, the Co-Chairs still invited them to provide further written input on this topic during the remote consultations.

16. Concerning the project of a searchable online database, the Co-Chairs invited participants to respond in writing to the questions contained in the background document prepared by the ATT Secretariat ([Annex C of the Co-Chairs introductory paper](#)), with the intention that the input provided would serve as the basis for identifying and discussing the relevant parameters and features of the said database, which will allow the Secretariat to prepare a cost-benefit analysis of the project.

17. In light of the reduced time allocated to the 28-29 April 2021 virtual meeting, at the proposal of the Co-Chairs, WGTR participants agreed to postpone the discussions on some of the tasks included in the WGTR mandate to the CSP8 cycle. WGTR participants still had the opportunity to submit written contributions, proposals or comments on those topics during the CSP7 cycle. The said tasks are the following:

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

- *Agenda item 3. 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;*
- *Agenda item 3. 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);*
- *Agenda item 5. 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.*

18. The details and outcomes of the meeting can be found in [the Co-Chairs’ report of 28-29 April meeting](#), which was circulated to all stakeholders on 04 June 2021. Video recordings of the meetings are also available on [the dedicated webpage of the ATT website](#).

#### **MAY-JUNE REMOTE CONSULTATIONS**

19. As announced by the CSP7 President in [his letter to ATT stakeholders on 22 February 2021](#), remote consultations were organized in May-June to finalize documentation arising out of the April meetings that will be submitted to CSP7 for consideration and possible adoption or endorsement. In this context, the ATT stakeholders had the opportunity to consider and submit written comments via E-mail and/or the information exchange platform on the topics and proposals in [the Co-Chairs’ report of 28-29 April meeting](#), including its annexes indicated below:

- 1) [Annex A](#) - Draft proposed adjustments to the Initial Reporting template;
- 2) [Annex B](#) - Draft proposed adjustments to the Annual Reporting template;
- 3) [Annex C](#) - Draft proposed mandate for the WGTR for the period between CSP7 and CSP8.

20. On these documents, the WGTR Co-Chairs received comments of eight (8) States Parties and one (1) civil society organization. No submissions were made via the information exchange platform.

21. On 29-30 June 2021, the WGTR held virtual informal consultations on the draft proposed amendments to the Initial and Annual reporting templates. Video recordings of these consultations are available on [the dedicated webpage of the ATT website](#).

#### **Draft proposed amendments to the reporting templates**

22. The virtual informal consultations held on 29-30 June were carried out within the framework of the WGTR mandate endorsed at CSP6. The consultations functioned as a live drafting session in which WGTR participants were able to express their preferences with regards to the draft proposed changes to the templates. During and after the consultations, the Co-Chairs worked together with delegations that expressed specific proposals and preferences in order to find the most appropriate wording that can be supported by all participants.

23. A broad participation of States parties, signatories and other stakeholders was observed. The participants expressed positions in favor of the possibility of updating the reporting templates. During the consultations, the draft proposed amendments to the two reporting templates were reviewed. Editorial changes were made to draft amendments in sections 1.A, 2.B and 3.F of the initial reporting template, and to explanatory note 16 of the annual reporting template. In section 1.I of the initial reporting template one delegation requested to remove the references to the “Wassenaar Arrangement” and “the EU Common Military List” considering that these instruments are not widely representative, but accepted a reformulation proposed by the Co-Chairs in which these instruments are maintained as options from where States can draw their definitions of items in their national control list from. Another delegation requested changes to sections 3.B, 3.N, 4.C, 5.C, 5.D and 6.D to incorporate the reference to “National legislation, regulations and administrative processes” in order to reflect its national process, which was accepted by participants. Two delegations worked on a proposal for a new text in the introductory note of the export and import forms of the annual reporting template that eliminated the reference to ‘common understanding’, regarding the minimum information that the States must include in the shaded columns of the template, which was also accepted by participants. The Co-Chairs made an additional correction in the initial reporting template, in the third paragraph of the cover page, where they substituted ‘shades’ with ‘shaded’ for the sentence to be grammatically correct.

24. In the annual reporting template, one delegation requested the deletion of the proposed sentence *‘If ‘Yes’ please consider explaining why and what kind of information was withheld’* as part of the ‘Scope of the report’ section indicating that since it is the State Party’s right to exclude information under Article 13 (3) of the Treaty, it should not be requested to explain why and what kind of information was withheld. Some delegations expressed preferences for maintaining the said sentence, pointing out that it is useful in terms of transparency and confidence building, and it is sufficiently flexible to put under the consideration of the reporter the possibility of providing information about the State practice. After a careful consideration of the preferences and points of view of the interested delegations, the Co-Chairs invite participants to consider a proposal that came across during the virtual consultations, which rephrases the sentence as follows: *‘If ‘Yes’ please consider providing more information on a voluntary basis’*, as this proposal seemed as a likely compromise aimed at balancing the interests under focus (*i.e.* transparency and confidence building, and the right of states on information disclosure).

25. As a result of the consultations, the WGTR completed revised versions of the draft proposed amendments to the Initial and Annual Reporting templates which have broad agreement in principle by participants. These versions are attached to this Co-Chairs’ report, as Annexes B and D, respectively. The changes that were made as compared to the versions that were attached to the Co-Chairs’ report of the 28-29 April meeting are highlighted in yellow. To facilitate the review of the draft proposed adjustments, clean versions of the Initial and Annual Reporting templates are attached to this Co-chairs’ report, as Annexes C and E respectively. Considering the progress made on this topic, the Co-Chairs recommend that CSP7 endorses the revised Initial and Annual Reporting templates attached to this report as Annexes C and E respectively, and recommends their use by States Parties in compiling their initial and annual reports, in accordance with Article 13 of the Treaty.

26. Considering that the draft proposed changes to the templates address the most urgent clarifications, user friendliness issues, gaps and inconsistencies identified in the current templates, and that the endorsement of such adjustments could significantly contribute to improving the quality of reporting in ATT, the Co-Chairs also consider it is relevant that the WGTR monitor the impact and usefulness of the updated Initial and Annual reporting templates that may be endorsed at CSP7. For that purpose, a task in this regard has been added to the proposed WGTR mandate for the CSP8 cycle.

Other comments

27. While some of the comments received during the remote consultations were related to the draft amendments to the reporting templates, other specific comments referred to the following topics:

28. Agenda item 3, recurring task 2: The Co-Chairs were advised that Belgium is still considering what the best approach with regard to the topic of the identification of the conventional arms in Article 2 (1) of the Treaty in the “Harmonized System” (HS) of the World Customs Organization (WCO) would be, with the intention to come back to this topic in the WGTR. For this purpose, the Co-Chairs included a discussion on this topic in the draft mandate for the WGTR beyond CSP7.

29. Agenda item 3, specific task 3: Two States Parties commented on para. 35 in the Co-Chairs’ report of the 28-29 April meeting. Both of them emphasized that States Parties have the right to choose whether to make their reports publicly available. They expressed that this is a policy decision that was settled some time ago and if States Parties want to exercise this right, it should be respected. One of these States suggested the paragraph to be redrafted in a way that does not give the impression that there is an effort to influence an approach given that a course of action falls exclusively on States Parties. This State Party also pointed out that signatory States facing challenges in building their capacity to implement the provision of the Treaty could benefit not only from learning from the measures undertaken by other States Parties whose reports are publicly available, but also by exchanging best practices and lessons learned bilaterally, especially in cases when contacting Parties have decided not to make their reports public. The other State Party pointed out that, in its understanding, the majority of reports that are placed under the restricted area of the ATT website are annual reports, that deal with transfers conducted on a yearly basis, and it is very little to learn from those.

30. In response to the referred comments, the Co-Chairs would like to point out that they fully agree that it is the States Parties’ prerogative to decide if reports should be made public or shared only with other States Parties, that it is at States’ discretion to share information as they see fit based on the options provided by the Treaty, and that States can exchange information relevant to the application of the Treaty bilaterally. The Co-Chairs tried to emphasize in para. 35 the added value of making initial reports publicly available, according to the concerns that some ATT stakeholders have expressed with regard to the relatively high number of reports made available to States Parties only. The intention was to highlight that a growing number of States Parties making their initial report available only to other States Parties limits the access of signatory States to information included in those reports. The Co-Chairs recall that, according to [the presentation on the status of reporting](#) delivered by the ATT Secretariat during the 28-29 April meeting, 21% of the initial reports submitted were not made public.

31. One of these States Parties also referred to para. 36 of the report, noting that since it is a policy position that States have the right to decide on, the Co-Chairs should explain why they would like to continue with the discussion on public availability of reports. The Co-Chairs would like to stress that given the concerns expressed by a considerable number of ATT stakeholders about the increasing number of reports not being made publicly available, in light of the Treaty’s purpose of promoting transparency, and taking into account the limited discussion held on the matter due to the exceptional and unprecedented format of the preparatory meetings of CSP7, the Co-Chairs consider it is relevant to maintain discussions with the purpose of exchanging practices, challenges and limitations concerning the public availability of initial and annual reports on the agenda, in order to give all stakeholders the possibility to express their views on the matter.

32. Agenda item 3, specific task 4: With regard to the discussion on the aggregation of data in annual reports, one State Party considered that since it is States’ right to report on an aggregate level, there is no need for continuing the discussion on the matter. While the Co-Chairs acknowledge it is under the States Parties’ prerogative to decide the aggregate level of the information they report to the ATT, the discussion



held on the 28-29 April meeting demonstrated the interest of several stakeholders in learning about the challenges and preferences of States Parties when it comes to the issue of disaggregation of data in annual reports. In addition, the Co-Chairs consider there is value in continuing the analysis of the relevant topics raised in UNIDIR's [presentation delivered during the 28-29 April meeting](#). Also, considering that the discussion of this topic has only started in the WGTR, participants would benefit from continuing exchanging practices, challenges and limitations concerning the aggregation of data in annual reports.

33. Agenda item 4, recurring task 1: One State Party requested more information about the proposal to complement 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, in particular with regard to the objective of this proposal, the targeted audience (general public or targeted public with prior registration) and the sections of the site which would be open to all stakeholders. The Co-Chairs' understanding of the proposed feature is that a "public" part of the information exchange platform would allow general or specific discussions among all ATT stakeholders, especially in the intersessional period. The Co-chairs are of the view that further discussion on concrete proposals and possible options is needed. The Co-Chairs intend to schedule a discussion on this topic during the CSP8 cycle.

34. Agenda item 5, recurring task 1: One State Party signaled some inconveniences concerning the IT platform, which related to the impossibility of accessing the online reporting tool due to a server error and the fact that the platform does not recognize the password of registered users after a certain period of time. Besides, this State drew attention to the fact that the currency field in the online reporting tool was designated as mandatory even though States Parties are allowed to report either quantities or values. The ATT Secretariat noted the points raised and will address those issues in consultation with the IT service providers.

35. Agenda item 5, specific task 4: With regard to the project of a searchable online database, one State Party considered that there are still a number of questions that need to be discussed before initiating this project. The Co-Chairs agree with this assessment and therefore consider that the basis for future discussions lies in the input that the States Parties can provide in response to the questions indicated in the background document prepared by the Secretariat for the 28-29 April meeting ([Annex C of the Co-Chairs introductory paper](#)). In this regard, due to the fact that no input was received to these questions in the remote consultations, the Co-Chairs intend to schedule a discussion on this matter during the CSP8 cycle.

## **STATUS OF REPORTING**

36. During the session on Transparency and Reporting of the CSP, the ATT Secretariat normally provides an overview of the status of ATT reporting. In light of the reduced time allocated to this session at CSP7, it was decided to provide this overview as Annex F of this WGTR Co-Chairs' report. The overview demonstrates that the rate of compliance with the annual reporting obligation is continuously declining, with only 52% of States Parties that were due to submit their annual report for 2020 had actually done so by 22 July 2021. A significant number of those States opted again not to make their report publicly available. Besides, 23% of States Parties are still due to submit their initial report on measures undertaken in order to implement the Treaty. As reporting is a fundamental obligation of the ATT, this situation is concerning and stresses the importance of WGTR continuing its endeavors to address this situation.

**RECOMMENDATIONS FOR CSP7**

37. Based on the above and considering the work undertaken by the WGTR to fulfill its mandate for the period between CSP6 and CSP7, the Co-Chairs recommend that CSP7:

- 1) *recalls that transparency is a key purpose of the Treaty and as such, the WGTR must ensure that transparency is reflected in all its processes, discussions and proposals aimed at the fulfillment of the objectives of the Treaty;*
- 2) *reiterates that reporting is a fundamental obligation of the ATT, and submitting initial and annual reports is an indicator of the commitment of a State Party to the Treaty;*
- 3) *expresses its concern for the low rate of compliance with the reporting obligations;*
- 4) *urges States Parties that are not fully compliant with their reporting obligations to submit their reports or, in case of difficulty to do so, to make use of the available assistance mechanisms in order to achieve full compliance with the Treaty's reporting obligations;*
- 5) *encourages all relevant stakeholders to continue to implement the Outreach Strategy on Reporting that was adopted at CSP4, and to use all available means to actively engage with States Parties that are not fully compliant with the reporting obligations, in order to raise awareness on the mandatory nature of reporting and to provide assistance upon request;*
- 6) *encourages States Parties and signatory States to register online for access to the IT platform and make use of the information exchange platform;*
- 7) *endorses the revised Initial reporting template, as contained in Annex C of this Co-Chairs' report, and recommends its use by States Parties in compiling their initial reports in accordance with Article 13 paragraph 1 of the Treaty;*
- 8) *endorses the revised Annual reporting template, as contained in Annex E of this Co-Chairs' report, and recommends its use by States Parties in compiling their annual reports in accordance with Article 13 paragraph 3 of the Treaty;*
- 9) *endorses the standing agenda-items and the recurring and specific tasks for the WGTR in the period between CSP7 and CSP8, as included in Annex A of this Co-Chair's report.*

**WAY FORWARD BEYOND CSP7**

38. The proposed way forward for the work of the WGTR is included in the draft mandate for the working group in the period between CSP7 and CSP8, which is attached to this report as Annex A. Among the tasks outlined in the mandate, the WGTR has the following specific priorities beyond CSP7 : a) monitor the impact and usefulness of the updated Initial and Annual reporting templates endorsed at CSP7; b) exchange practices on the public availability of initial and annual reports; c) exchange practices on the aggregation of data in annual reports; 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. Next to those, the WGTR will continue to focus on enhancing compliance with the reporting requirements, which is one of the fundamental obligations of the Treaty, as well as on discussing mechanisms, processes or formats that facilitate information exchange and topics related to the IT platform.

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**ANNEX A TO WGTR CO-CHAIRS' REPORT TO CSP7**  
**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 13 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 below<sup>1</sup>:

- 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;

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<sup>1</sup> 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.

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- 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.
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;
  - 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.

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**ANNEX B TO WGTR CO-CHAIRS' REPORT TO CSP7**

**DRAFT PROPOSED ADJUSTMENTS TO THE INITIAL REPORTING TEMPLATE (TRACK CHANGES VERSION)**

## 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 ~~shades-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> <del>is available only to States Parties</del>	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><b>1.1 GENERAL OVERVIEW</b></u>			
<b>A. Overview of legislation and ordinances governing the national control system [Article 5(2)]</b> (Please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)			
<b>B. The national control system includes the following:</b>		Yes	No
i)	<del>a national control list [Article 5(2)]</del> <u>competent national authorities (further specified below) [Article 5(5)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<del>a control list [Article 5(2)]</del> <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 <del>provide background below</del> <u>explain in more detail.</u>			
<b>1C. Additional voluntary information about the national control system</b> (Please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			
<u><b>1.2 NATIONAL CONTROL LIST</b></u>			
<b>D. The national control list covers the following <u>arms</u>:</b>		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"/>
<b>The national control list also includes the following <u>items</u>, in order to enable the application of Articles 3 and 4:</b>		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>
x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please explain in more detail provide background below			
<b><u>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) &amp; 5(2)]:</u></b>		<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"/>
<b><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></b> (If 'No', please explain)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><u>E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4]</u></b> (if 'No', please elaborate further below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><u>GF. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) &amp; Preamble, 13<sup>th</sup> para]</u></b>		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			
<b><u>HG. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</u></b> (If 'Yes', please specify below <u>what the additional categories are</u> )		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><u>HI. Control list definitions are supplemented by more detailed definitions not in the control list itself</u></b> Are items on the national control list defined? [Article 5(3)] (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 <input type="checkbox"/>	No <input type="checkbox"/>
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>	<input type="checkbox"/>	<input type="checkbox"/>



ii*)	National definitions	<input type="checkbox"/>	<input type="checkbox"/>
iii*)	Other (please specify, e.g. Wassenaar Arrangement, EU Common Military List, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
<b>II. The national control list is publicly available [Article 5(4)]</b> (If 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink. If 'No', please explain)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>J. Additional voluntary information about the national control system</b> (please elaborate below — for instance regarding inter agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			
<b>1.3 NATIONAL POINT(S) OF CONTACT</b>			
<b>C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)]</b> (if 'No', please clarify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>K. The contact details of the national point(s) of contact are as follows [Article 5(6)]:</b>			
<b>Name:</b>		Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>
<b>Position/Job:</b>			
<b>Ministry:</b>			
<b>Agency/Department:</b>			
<b>Email address (individual and/or institutional) :</b>			
<b>Telephone no.:</b>			
<b>Address:</b>			

## 2. PROHIBITIONS

<b>A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, if: in the circumstances specified in Articles 6(1) to 6(3)</b> (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
i)	the transfer would violate its obligations under measures adopted by the United Nations Security Council acting under Chapter VII of the Charter of the United Nations, in particular arms embargoes [Article 6(1)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	the transfer would violate its relevant international obligations under 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)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	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,	<input type="checkbox"/>	<input type="checkbox"/>

<u>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)]</u>			
(If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)			
<b>D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case</b> (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>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)?</b> (Please list below. Please be advised that the ATT Secretariat maintains a <u>non exhaustive</u> 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 [ <i>insert link##</i> ]. States Parties are welcome to consult the list when preparing their answer to this question.)			
<b>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)</b> (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 [ <i>insert link##</i> ]. States Parties are welcome to consult the list when preparing their answer to this question.)			
<b>D. Do you have guidelines on the application of the prohibitions to an individual case?</b> (If 'Yes', please provide further information)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to prohibitions under Article 6</b> (Please elaborate below - for instance, if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4; <u>the national interpretation of key concepts in Article 6</u> )			

### 3. EXPORTS

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

<b>BC.</b> 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)		
<b>ED.</b> The competent national authority(-ies) for the control of exports [Article 5(5)] (Please specify <u>the Ministry, Government Agency or Department</u> below)		
<b>DE.</b> 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>EF.</b> If a risk is identified, does the State ever consider 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>EG.</b> 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>FH.</b> 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>IH.</b> 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>J.</b> Do you have guidelines on the application of the export assessment requirements to an individual case? (If 'Yes', please provide further information)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>KI.</b> The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3. <b>DE</b> above (If 'Yes' please specify below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>LJ.</b> 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>MK.</b> An export authorization can be reassessed if new relevant information becomes available [Article 7(7)]	Yes <input type="checkbox"/>	No <input type="checkbox"/>

(If 'Yes', please provide further information below. <del>Are there also legal provisions for suspension or withdrawal of a license?</del> )		
<del>N. Are there measures in place to suspend or withdraw</del> <b>N. Are there legal provisions for suspension or withdrawal of a license? [Article 7(7)]</b> (If 'Yes', please elaborate under which circumstances. <del>For example, such a provision might exist with respect to arms embargoes but not otherwise.</del> If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<del>OL. Information / documentation included in an application for an export authorization</del> (Please specify below)		
<del>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)]</del> (Please specify below)		
<del>NQ. The national control system provides information requested of it by</del> <b>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)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<del>OR. Additional voluntary information relevant to national export controls</del> (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

<del>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)]</del> (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		
<del>B. The competent national authority(-ies) for the regulation of imports [Article 5(5)]</del> (Please specify the Ministry, Government Agency or Department below)		
<del>C. National legislation, regulations or administrative procedures includes a definition of import [Articles 6(1) to 6(3) and Article 8]</del> (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<del>CD. 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)]</del> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

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

## 5. TRANSIT & TRANS-SHIPMENT

<b>A. The national control system includes measures <del>that allow the regulation to prevent, where necessary and feasible, of the</del> transit of conventional arms covered under Article 2(1) [<del>ref</del> Article 9], as well as items covered under Articles 3 and 4 <del>in violation of the prohibitions in Article 6.</del> [<del>ref</del> Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The national control system includes measures <del>that allow the regulation to prevent, where necessary and feasible, of the</del> trans-shipment of conventional arms covered under Article 2(1) [<del>ref</del> Article 9], as well as items covered under Articles 3 and 4 <del>in violation of the prohibitions in Article 6.</del> [<del>ref</del> Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. National legislation, regulations or administrative procedures includes a <u>definition of transit</u> [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. National legislation, regulations or administrative procedures includes a <u>definition of trans-shipment</u> [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>EC. Control measures for the regulation of to regulate transit and/or trans-shipment cover :</b> (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)		Yes	No
i)	Transit / trans-shipment through land territory (including internal waters)	<input 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"/>
<b>F. Does your State <del>only</del> apply control measures to prevent transit and trans-shipment other than in violation of the prohibitions in Article 6?</b> (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"/>
<b>DG. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]</b> (Please specify below)			
<b>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)</b> (If 'Yes' please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty</b> (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>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)]</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>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)]</b> (Please specify below)			
<b>KI. Information / documentation required in an application for a transit / trans-shipment authorization</b> (Please specify below)			
<b>LJ. Additional voluntary information relevant to national transit / trans-shipment controls</b> (Please specify below)			

## 6. BROKERING

<b>A. The national control system includes measures to prevent that allow the regulation, pursuant to national laws, of brokering of conventional arms</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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covered under Article 2(1) [ <del>ref</del> Article 10], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [ <del>ref</del> 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>B. The measures to regulate brokering include:</b>			Yes	No
i)	Requiring brokers to register before engaging in brokering [Article 10]		<input type="checkbox"/>	<input type="checkbox"/>
ii)	Requiring brokers to obtain written authorization before engaging in brokering [Article 10]		<input type="checkbox"/>	<input type="checkbox"/>
iii)	Other (please specify)		<input type="checkbox"/>	<input type="checkbox"/>
<b>C. National legislation, regulations or administrative procedures includes a definition of brokering [Articles 6(1) to 6(3) and Article 10]</b> (If 'Yes', please specify. If 'No', please explain.)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10]</b> (please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)				
<b>D. Does your State <u>only</u> apply control measures to prevent brokering other than in violation of the prohibitions in Article 6?</b> (If 'Yes/No', please specify the other control measures that your States applies to brokering)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>EE. The competent national authority(-ies) for the regulation of brokering [Article 5(5)]</b> (Please specify below)				
<b>DF. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 &amp; 10]</b> (If 'Yes', please provide further information below)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations)</b> (if 'Yes', please specify the additional scope of control)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>FG. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>GH. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)]</b> (Please specify below)				
<b>HI. Information / documentation required in an application related to brokering</b> (Please elaborate below)				



<b>I.J. Additional voluntary information relevant to national brokering controls</b> (Please specify below)

## 7. DIVERSION

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

ii)	investigative and law enforcement measures at the national level	<input type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (if 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. Additional voluntary information relevant to the prevention of diversion of conventional arms</b> (Please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			

## 8. RECORD KEEPING

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


## 9. REPORTING

<b>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)</b> (If 'No' <u>or only partially</u> , please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. Additional voluntary information relevant to national reporting</b> (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)		

## 10. ENFORCEMENT

<b>A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)]</b> (Please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. Additional voluntary information relevant to national enforcement</b> (Please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		

## 11. INTERNATIONAL COOPERATION

<b>A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests [Article 15(1)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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<b>B. Additional voluntary information relevant to participation in international cooperation</b> (Please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)

**12. INTERNATIONAL ASSISTANCE**

<b>A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1)</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The State is in a position to provide assistance with the following:</b>	Yes	No
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>	<input type="checkbox"/>	<input type="checkbox"/>

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

xii) Other (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>BD. National regulations and policy allow <del>the provision</del>for contribution of financial resources to the <del>V</del>oluntary <del>T</del>rust <del>F</del>und established under Article 16(3) of the Treaty</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>CE. Additional voluntary information relevant to the provision- or receipt of implementation assistance</b> (Please specify below - for instance regarding assistance provision capacities or assistance needs,)		

### 13. DISPUTE SETTLEMENT

<b>A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1)</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2)</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty</b> (Please specify below)		

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 C TO WGTR CO-CHAIRS' REPORT TO CSP7**  
**DRAFT PROPOSED ADJUSTMENTS TO THE INITIAL REPORTING TEMPLATE (CLEAN VERSION)**

## 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 REPORT \_\_\_\_\_

<b>This Initial Report may be made publicly available</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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<b>This Report contains only updates to a previously submitted initial report dated</b> (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**

<b>1.1 GENERAL OVERVIEW</b>			
<b>A. Overview of legislation and ordinances governing the national control system [Article 5(2)]</b> (Please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)			
<b>B. The national control system includes the following:</b>		Yes	No
i)	a national control list [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	competent national authorities [Article 5(5)]	<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 explain in more detail.			
<b>C. Additional voluntary information about the national control system</b> (Please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			
<b>1.2 NATIONAL CONTROL LIST</b>			
<b>D. The national control list covers the following arms:</b>		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"/>
<b>The national control list also includes the following items, in order to enable the application of Articles 3 and 4:</b>		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>
x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please explain in more detail below			
<b>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) &amp; 5(2)]:</b>		Yes	No
i)	Export	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Import	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Transit or trans-shipment	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Brokering	<input type="checkbox"/>	<input type="checkbox"/>
<b>F. Does the same control list apply to all these types of transfers (or do you maintain different lists for different types of transfers)?</b> (If 'No', please explain)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>G. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) &amp; Preamble, 13<sup>th</sup> para]</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms			
<b>H. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</b> (If 'Yes', please specify below what the additional categories are)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>I. Are items on the national control list defined? [Article 5(3)]</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>

(If 'Yes', which definition(s) or descriptions do you use:			
i)	United Nations Register of Conventional Arms [Article 5(3)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	National definitions	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Other (please specify, e.g. Wassenaar Arrangement, EU Common Military List, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
<b>J. The national control list is publicly available [Article 5(4)]</b> (If 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink. If 'No', please explain)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>1.3 NATIONAL POINT(S) OF CONTACT</b>			
<b>K. The contact details of the national point(s) of contact are as follows [Article 5(6)]:</b>			
<b>Name:</b>		Mr. <input type="checkbox"/>	Ms. <input type="checkbox"/>
<b>Position/Job:</b>			
<b>Ministry:</b>			
<b>Agency/Department:</b>			
<b>Email address (individual and/or institutional) :</b>			
<b>Telephone no.:</b>			
<b>Address:</b>			

## 2. PROHIBITIONS

<b>A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, if:</b>		Yes	No
i)	the transfer would violate its obligations under measures adopted by the United Nations Security Council acting under Chapter VII of the Charter of the United Nations, in particular arms embargoes [Article 6(1)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	the transfer would violate its relevant international obligations under 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)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	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, grave	<input type="checkbox"/>	<input type="checkbox"/>

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)		
<b>B. Which international agreements that you are a Party to do you consider relevant for the application of Article 6(2)?</b>		
(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.)		
<b>C. Which international agreements are you a Party to and do you consider relevant for defining 'war crimes' in the context of Article 6(3)</b>		
(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.)		
<b>D. Do you have guidelines on the application of the prohibitions to an individual case?</b> (If 'Yes', please provide further information)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to prohibitions under Article 6</b> (Please elaborate below - for instance: if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4; the national interpretation of key concepts in Article 6)		

### 3. EXPORTS

<b>A. The national control system includes the following:</b>		Yes	No
i)	an authorization or licensing system for arms exports [Article 5(2)]	<input 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 below			
<b>B. National legislation, regulations or administrative procedures include a definition of export [Articles 6(1) to 6(3) and Article 7]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>



<b>C. National export controls apply to all the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4</b> (If 'No', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. The competent national authority(-ies) for the control of exports [Article 5(5)]</b> (Please specify the Ministry, Government Agency or Department below)		
<b>E. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4)</b> (If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. If a risk is identified, does the State ever consider whether there are measures that could be undertaken to mitigate identified risks [Article 7(2)]</b> (If 'Yes' please give examples when mitigation measures are considered and the types of risk mitigation measures that are most often used)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>G. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)]</b> (If 'Yes', please consider providing further information. If 'No', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>H. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)]</b> (If 'No' please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>I. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners]</b> (If 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>J. Do you have guidelines on the application of the export assessment requirements to an individual case?</b> (If 'Yes', please provide further information)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>K. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.E above</b> (If 'Yes' please specify below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>L. Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)]</b> (If 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>M. An export authorization can be reassessed if new relevant information becomes available [Article 7(7)]</b> (If 'Yes', please provide further information below.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>N. Are there measures in place to suspend or withdraw a license? [Article 7(7)]</b> (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"/>
<b>O. Information / documentation included in an application for an export authorization</b> (Please specify below)		
<b>P. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)]</b> (Please specify below)		
<b>Q. The national control system provides information requested of it by a State of final destination concerning pending or actual export authorizations pertaining to it [Article 8(3)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>R. Additional voluntary information relevant to national export controls</b> (Please specify below - for instance: on the control of re-exports, or further detail on relevant national measures; the national interpretation of key concepts in Article 7)		

#### 4. IMPORTS

<b>A. The national control system includes measures to prevent imports of conventional arms covered under Article 2(1) [Article 8(2)], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question		
<b>B. The competent national authority(-ies) for the regulation of imports [Article 5(5)]</b> (Please specify the Ministry, Government Agency or Department below)		
<b>C. National legislation, regulations or administrative procedures include a definition of import [Articles 6(1) to 6(3) and Article 8]</b> (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>D. The national control system allows the State to provide, pursuant to national law and upon request, appropriate and relevant information to assist another State Party that is conducting an export assessment[Article 8(1)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Imports of conventional arms subject to regulation are, under specific circumstances, permitted without specific authorization or under simplified procedure</b> (If 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>G. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)]</b> (Please specify below)		
<b>H. Information / documentation required for an import authorization</b> (Please specify below)		
<b>I. Additional voluntary information relevant to national import controls</b> (Please specify below)		

## 5. TRANSIT & TRANS-SHIPMENT

<b>A. The national control system includes measures to prevent the transit of conventional arms covered under Article 2(1) [Article 9], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The national control system includes measures to prevent the trans-shipment of conventional arms covered under Article 2(1) [Article 9], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>C. National legislation, regulations or administrative procedures include a definition of transit [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. National legislation, regulations or administrative procedures include a definition of trans-shipment [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Measures to regulate transit and/or trans-shipment cover :</b> (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)		Yes	No
i)	Transit / trans-shipment through land territory (including internal waters)	<input 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"/>
<b>F. Does your State apply control measures to prevent transit and trans-shipment other than in violation of the prohibitions in Article 6?</b> (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"/>
<b>G. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]</b> (Please specify below)			
<b>H. Transit / trans-shipment of controlled equipment is permitted without a specific authorization or under simplified procedure under certain circumstances (for instance in a free trade area)</b> (If 'Yes' please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>I. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>J. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required) [Article 5(5)]</b> (Please specify below)			
<b>K. Information / documentation required in an application for a transit / trans-shipment authorization</b> (Please specify below)			

<b>L. Additional voluntary information relevant to national transit / trans-shipment controls</b> (Please specify below)

## 6. BROKERING

<b>A. The national control system includes measures to prevent the brokering of conventional arms covered under Article 2(1) [Article 10], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (Pf 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question			
<b>B. The measures to regulate brokering include:</b>		Yes	No
i)	Requiring brokers to register before engaging in brokering [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Requiring brokers to obtain written authorization before engaging in brokering [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>
<b>C. National legislation, regulations or administrative procedures include a definition of brokering [Articles 6(1) to 6(3) and Article 10]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. Does your State apply control measures to prevent brokering other than in violation of the prohibitions in Article 6?</b> (If 'Yes', please specify the other control measures that your States applies to brokering)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. The competent national authority(-ies) for the regulation of brokering [Article 5(5)]</b> (Please specify below)			
<b>F. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 &amp; 10]</b> (If 'Yes', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>G. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>H. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)]</b> (Please specify below)
<b>I. Information / documentation required in an application related to brokering</b> (Please elaborate below)
<b>J. Additional voluntary information relevant to national brokering controls</b> (Please specify below)

## 7. DIVERSION

<b>A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]</b>		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input 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>B. The national control system includes appropriate measures to be taken, pursuant to national law and in accordance with international law, when a diversion of transferred conventional arms under Article 2(1) has been detected [Article 11(4)]</b> (If 'No', please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
<b>C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :</b>		Yes	No
i)	establishment of mitigation measures [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	examination, where appropriate, of parties involved in a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
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)]	<input type="checkbox"/>	<input type="checkbox"/>

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)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	other measures [Article 11(1)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]</b>		Yes	No
i)	alerting potentially affected States Parties	<input type="checkbox"/>	<input type="checkbox"/>
ii)	investigative and law enforcement measures at the national level	<input type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. Additional voluntary information relevant to the prevention of diversion of conventional arms</b> (Please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			

## 8. RECORD KEEPING

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

i)	imports of conventional arms covered under Article 2(1) 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) [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"/>	
<b>D. Records cover other categories of conventional arms than those specified in Article 2(1)</b> (If 'Yes', please elaborate below)			Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to national record keeping</b> (Please specify below - for instance types of information preserved in national records for exports and imports respectively)				

## 9. REPORTING

<b>A. The national control system allows for the provision of information for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under article 2 (1) as required by Article 13(3)</b> (If 'No' or only partially, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. Additional voluntary information relevant to national reporting</b> (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)		

## 10. ENFORCEMENT

<b>A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	Yes <input type="checkbox"/>	No <input type="checkbox"/>



<b>B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)]</b> (If 'No', please elaborate below)		
<b>C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)]</b> (Please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. Additional voluntary information relevant to national enforcement</b> (Please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		

## 11. INTERNATIONAL COOPERATION

<b>A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests [Article 15(1)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. Additional voluntary information relevant to participation in international cooperation</b> (Please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)		

## 12. INTERNATIONAL ASSISTANCE

<b>A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1)</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The State is in a position to provide assistance with the following:</b>		
i) Establishing and/or maintaining a national control system [Article 5(2)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ii) Establishing and/or maintaining a national control list [Articles 5(2)-(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>

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

iii)	Designating competent national authority (-ies) [Article 5(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Designating a national point of contact(s) [Article 5(6)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
v)	Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vi)	Establishing measures to regulate the import of arms [Article 8] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Establishing measures to regulate the transit and trans-shipment of arms [Article 9] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Establishing measures to regulate the brokering of arms [Article 10] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix)	Establishing measures to prevent and address diversion [Article 11] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x)	Record-keeping [Article 12] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xi)	Reporting [Article 13] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xii)	Other (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>D. National regulations and policy allow for contribution of financial resources to the Voluntary Trust Fund established under Article 16(3) of the Treaty</b> (If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to the provision- or receipt of implementation assistance</b> (Please specify below - for instance regarding assistance provision capacities or assistance needs.)			

**13. DISPUTE SETTLEMENT**

<b>A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1)</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2)</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty</b> (Please specify below)		

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 D TO WGTR CO-CHAIRS' REPORT TO CSP7**

**DRAFT PROPOSED ADJUSTMENTS TO THE ANNUAL REPORTING TEMPLATE (TRACK CHANGES VERSION)**

## 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 Register's 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 Register's 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 ~~has the option of indicating that the form is for distribution only to other States Parties to the Treaty~~ must 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. 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 :		Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>
<u>Position/Job title :</u>			
Organisation :			
Fixed Phone :			
Mobile Phone :			
Fax :			
E-mail :			

<b>Date of <u>Submission</u> <u>Report</u> :</b>	
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<u>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 Register on Conventional Arms (UNROCA)</u>	<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 ( <b>voluntary information</b> )	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 <sup>1</sup> <u>(If 'Yes' please consider explaining why and what kind of information was withheld)</u> <u>(If 'Yes' please consider providing more information on a voluntary basis.)</u>	<input type="checkbox"/>	<input type="checkbox"/>

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 # July 2016~~ 2020 16 July 2021

**EXPORTS OF CONVENTIONAL ARMS<sup>12</sup>**

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

Reporting country :		Calendar Year :	Cutoff date <sup>33</sup> :
---------------------	--	-----------------	-----------------------------

<b>In this report, the following definition of the term exports was used<sup>34</sup> (check as appropriate) :</b>		
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 available<sup>5</sup></u> <del>is available only to States Parties</del>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
--	------------------------------	-----------------------------

Category of <del>arms<sup>4</sup></del> <u>arms<sup>6</sup></u> [I-VIII]	Authorized or actual <del>exports<sup>5</sup></del> <u>exports<sup>7</sup></u>		Extent of <del>exports<sup>6</sup></del> <u>exports<sup>8</sup></u> (choose one or both)		Final importing State <sup>911</sup>	State of origin (if not exporter) <sup>1012</sup>	Remarks <sup>14</sup> <u>Remarks<sup>13</sup></u>	
	Auth.	Act.	Number of items <sup>79</sup>	Value <sup>810</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9

**A. I-VII UN Registry Categories<sup>142</sup>** (national definitions shall not cover less than the definitions provided in Annex 1 <sup>135</sup>)

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 # July 2016~~ 2020 16 July 2021

Category of <del>arms</del> <sup>4</sup> <del>arms</del> <sup>6</sup> [I-VIII]		Authorised or actual <del>exports</del> <sup>5</sup> <del>exports</del> <sup>7</sup>		Extent of <del>exports</del> <sup>6</sup> <del>exports</del> <sup>8</sup> (choose one or both)		Final importing State <sup>9,11</sup>	State of origin (if not exporter) <sup>10,12</sup>	<del>Remarks</del> <sup>11</sup> <del>Remarks</del> <sup>13</sup>	
		Auth.	Act.	Number of items <sup>7,9</sup>	Value <sup>8,10</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat Aircraft	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>	<input type="checkbox"/>					
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					
<b>B. VIII. Small Arms and Light Weapons</b> <sup>164, 157</sup>									
<b>Small Arms (aggregated)</b> <sup>168</sup>		<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"/>						

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 # July 2016~~ ~~2020~~ 16 July 2021

Category of <del>arms</del> <sup>4</sup> <del>arms</del> <sup>6</sup> [I-VIII]		Authorized or actual <del>exports</del> <sup>5</sup> <del>exports</del> <sup>7</sup>		Extent of <del>exports</del> <sup>6</sup> <del>exports</del> <sup>8</sup> (choose one or both)		Final importing State <sup>9,11</sup>	State of origin (if not exporter) <sup>10,12</sup>	<del>Remarks</del> <sup>11</sup> <del>Remarks</del> <sup>13</sup>	
		Auth.	Act.	Number of items <sup>7,9</sup>	Value <sup>8,10</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
6.	Others	<input type="checkbox"/>	<input type="checkbox"/>						
<b>Light Weapons (aggregated)<sup>19,7</sup></b>		<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"/>						
<b>C. Voluntary National Categories<sup>18,20</sup></b> (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"/>						

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 July 2016~~ 2020 16 July 2021

Category of <del>arms</del> <sup>4</sup> <u>arms</u> <sup>6</sup> [I-VIII]	Authorised or actual <del>exports</del> <sup>5</sup> <u>exports</u> <sup>7</sup>		Extent of <del>exports</del> <sup>6</sup> <u>exports</u> <sup>8</sup> (choose one or both)		Final importing State <sup>9,11</sup>	State of origin (if not exporter) <sup>10,12</sup>	<del>Remarks</del> <sup>11</sup> <u>Remarks</u> <sup>13</sup>	
	Auth.	Act.	Number of items <sup>7,9</sup>	Value <sup>8,10</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
	<input type="checkbox"/>	<input type="checkbox"/>						

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 # July 2016~~ 2020 16 July 2021

**IMPORTS OF CONVENTIONAL ARMS<sup>12</sup>**

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

Reporting country :		Calendar Year :	Cutoff date <sup>23</sup> :
---------------------	--	-----------------	-----------------------------

<b>In this report, the following definition of the term imports was used<sup>34</sup> (check as appropriate) :</b>		
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 available<sup>5</sup></u> <del>is available only to States Parties</del>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
--	------------------------------	-----------------------------

Category of arms <sup>46</sup> [I-VIII]	Authorised or actual imports <sup>57</sup>		Extent of imports <sup>68</sup> (choose one or both)		Exporting State <sup>911</sup>	State of origin (if not exporter) <sup>4012</sup>	Remarks <sup>1344</sup>	
	Auth.	Act.	Number of items <sup>7</sup> items <sup>9</sup>	Value <sup>810</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>A. I-VII UN Registry Categories<sup>142</sup> (national definitions shall not cover less than the definitions provided in Annex 1).<sup>153</sup></b>								
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>					

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 # July 2016~~ 2020 16 July 2021

Category of arms <sup>46</sup> [I-VIII]		Authorized or actual imports <sup>57</sup>		Extent of imports <sup>68</sup> (choose one or both)		Exporting State <sup>911</sup>	State of origin (if not exporter) <sup>1012</sup>	Remarks <sup>1311</sup>	
		Auth.	Act.	Number of items <sup>7</sup> items <sup>9</sup>	Value <sup>810</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat aircraft	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>	<input type="checkbox"/>					
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					
<b>B. VIII. Small Arms and Light Weapons<sup>164, 157</sup></b>									
<b>Small Arms (aggregated)<sup>186</sup></b>		<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"/>						

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 # July 2016~~ 2020 16 July 2021

Category of arms <sup>46</sup> [I-VIII]		Authorized or actual imports <sup>57</sup>		Extent of imports <sup>68</sup> (choose one or both)		Exporting State <sup>911</sup>	State of origin (if not exporter) <sup>1012</sup>	Remarks <sup>1311</sup>	
		Auth.	Act.	Number of items <sup>7</sup> items <sup>9</sup>	Value <sup>810</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
<b>Light Weapons (aggregated)<sup>197</sup></b>		<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"/>						
<b>C. Voluntary National Categories<sup>1820</sup></b> (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"/>						



**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 July 2016~~ 16 July 2021

## 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).

## ANNEX 2 ANNUAL REPORTING TEMPLATE

17 # July 2016 2020 16 July 2021

- 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.](#)
- 14) ~~9~~ 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.](#)
- 15) ~~10~~ See Article 5(3). [See also question 12 and Annexes 1 and 2 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 16) ~~11~~ 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.](#)
- 17) ~~12~~ "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.](#)

**ANNEX 2 ANNUAL REPORTING TEMPLATE**

~~17 # July 2016~~ 2020 16 July 2021

~~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-VII<sup>1</sup>**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.

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<sup>1</sup> 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 launchers<sup>2</sup>

- 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)<sup>3</sup>.

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<sup>2</sup> Multiple-launch rocket systems are covered by the definition of category III.

<sup>3</sup> 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**

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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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 Arms<sup>1</sup>**

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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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.

<b>This nil report on exports <u>may be made publicly available</u><sup>5</sup> <del>is available only to States Parties</del></b>	<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
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**ANNEX 3 B**

**NIL REPORT  
Imports of Conventional Arms<sup>1</sup>**

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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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.

<b>This nil report on imports <u>may be made publicly available</u><sup>5</sup> <del>is available only to States Parties</del></b>	<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
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**ANNEX E TO WGTR CO-CHAIRS' REPORT TO CSP7**  
**DRAFT PROPOSED ADJUSTMENTS TO THE ANNUAL REPORTING TEMPLATE (CLEAN VERSION)**

## **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 Register 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 Register 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 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. 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:**

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

<b>Date of Report :</b>	
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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 Register on Conventional Arms (UNROCA)	<input type="checkbox"/>
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<b>Contents of report</b> (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"/>

<b>Scope of report</b>	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 <sup>1</sup> (If `Yes` please consider providing more information on a voluntary basis.)	<input type="checkbox"/>	<input type="checkbox"/>

**EXPORTS OF CONVENTIONAL ARMS<sup>2</sup>**

- SHADED COLUMNS AND ROWS REPRESENT INFORMATION THAT GOES BEYOND THE MINIMUM THAT STATES PARTIES SHOULD INCLUDE WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS-

<b>Reporting country :</b>		<b>Calendar Year :</b>	<b>Cutoff date<sup>3</sup> :</b>
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<b>In this report, the following definition of the term exports was used<sup>4</sup> (check as appropriate) :</b>		
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"/>

<b>This Annual Report on exports may be made publicly available<sup>5</sup></b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Category of arms <sup>6</sup> [I-VIII]	Authorised or actual exports <sup>7</sup>		Extent of exports <sup>8</sup> (choose one or both)		Final importing State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks <sup>13</sup>	
	Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>A. I-VII UN Register Categories<sup>14</sup> (national definitions shall not cover less than the definitions provided in Annex 1<sup>15</sup>)</b>								
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>					

Category of arms <sup>6</sup> [I-VIII]		Authorised or actual exports <sup>7</sup>		Extent of exports <sup>8</sup> (choose one or both)		Final importing State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks <sup>13</sup>	
		Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat Aircraft	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>	<input type="checkbox"/>					
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					
<b>B. VIII. Small Arms and Light Weapons<sup>16, 17</sup></b>									
<b>Small Arms (aggregated)<sup>18</sup></b>		<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"/>						
<b>Light Weapons (aggregated)<sup>19</sup></b>		<input type="checkbox"/>	<input type="checkbox"/>						

Category of arms <sup>6</sup> [I-VIII]		Authorised or actual exports <sup>7</sup>		Extent of exports <sup>8</sup> (choose one or both)		Final importing State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks <sup>13</sup>	
		Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
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"/>						
<b>C. National Categories<sup>20</sup></b> (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 ARMS<sup>2</sup>

- SHADED COLUMNS AND ROWS REPRESENT INFORMATION THAT GOES BEYOND THE MINIMUM THAT STATES PARTIES SHOULD INCLUDE WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS -

<b>Reporting country :</b>		<b>Calendar Year :</b>	<b>Cutoff date<sup>3</sup> :</b>
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<b>In this report, the following definition of the term imports was used<sup>4</sup> (check as appropriate) :</b>		
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"/>

<b>This Annual Report on imports may be made publicly available<sup>5</sup></b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Category of arms <sup>6</sup> [I-VIII]	Authorised or actual imports <sup>7</sup>		Extent of imports <sup>8</sup> (choose one or both)		Exporting State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks <sup>13</sup>	
	Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>A. I-VII UN Register Categories<sup>14</sup> (national definitions shall not cover less than the definitions provided in Annex 1)<sup>15</sup></b>								
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>					
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>					



Category of arms <sup>6</sup> [I-VIII]		Authorised or actual imports <sup>7</sup>		Extent of imports <sup>8</sup> (choose one or both)		Exporting State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks <sup>13</sup>	
		Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat aircraft	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
V.	Attack helicopters	a) manned	<input type="checkbox"/>	<input type="checkbox"/>					
		b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>	<input type="checkbox"/>					
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					
<b>B. VIII. Small Arms and Light Weapons<sup>16, 17</sup></b>									
<b>Small Arms (aggregated)<sup>18</sup></b>		<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"/>						
<b>Light Weapons (aggregated)<sup>19</sup></b>		<input type="checkbox"/>	<input type="checkbox"/>						

Category of arms <sup>6</sup> [I-VIII]		Authorised or actual imports <sup>7</sup>		Extent of imports <sup>8</sup> (choose one or both)		Exporting State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks <sup>13</sup>	
		Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
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"/>						
<b>C. National Categories<sup>20</sup></b> (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"/>						

## EXPLANATORY NOTES

- 1) See questions 29 to 31 in the 'FAQ'-type guidance document on the annual reporting obligation.
- 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](#).
- 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](#).
- 4) Based on UN Register 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.
- 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](#).
- 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 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](#).
- 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](#).

- 9) Standard UN Register reporting variable. Please indicate unit, if not ‘pieces’.
- 10) Optional alternative. Please indicate unit (for example national currency).
- 11) In line with UN Register 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 Register 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. See also question 24 in the [‘FAQ’-type guidance document on the annual reporting obligation](#).
- 13) In line with UN Register 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. See also questions 25 to 28 in the [‘FAQ’-type guidance document on the annual reporting obligation](#).
- 14) As outlined in Article 2 (1) (a)-(g), See Annex 1 for the UN Register’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](#).
- 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](#).
- 16) As outlined in Article 2 (1) (h), with sub-categories taken from the UN Register 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. See also questions 13 and 14 and Annex 3 in the [‘FAQ’-type guidance document on the annual reporting obligation](#).

- 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](#).
- 18) In line with UN Register 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](#).
- 19) In line with UN Register 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](#).
- 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](#).

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**ANNEX 1****UN Register Definitions of Categories I-VII<sup>2</sup>****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;

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<sup>2</sup> Excerpted from the 2014 UN Register reporting template

- 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.

## **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 launchers<sup>3</sup>**

- 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)<sup>4</sup>.

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<sup>3</sup> Multiple-launch rocket systems are covered by the definition of category III.

<sup>4</sup> 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

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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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 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 Arms<sup>1</sup>**

<b>Reporting country :</b>		<b>Calendar Year :</b>	
----------------------------	--	------------------------	--

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.

<b>This nil report on exports may be made publicly available<sup>5</sup></b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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## ANNEX 3 B

**NIL REPORT**  
**Imports of Conventional Arms<sup>1</sup>**

<b>Reporting country :</b>		<b>Calendar Year :</b>	
----------------------------	--	------------------------	--

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.

<b>This nil report on imports may be made publicly available<sup>5</sup></b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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## ANNEX F TO WGTR CO-CHAIRS' REPORT TO CSP7

## ATT SECRETARIAT OVERVIEW OF THE STATUS OF ATT REPORTING

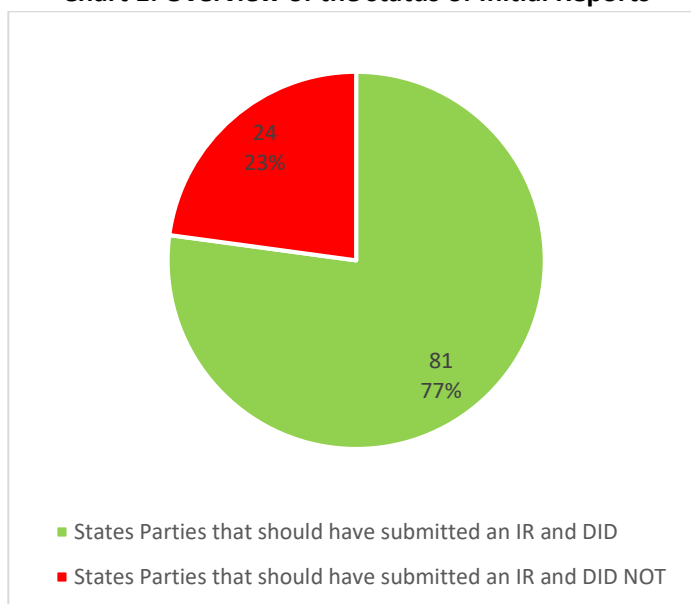
## STATUS OF REPORTING AS AT 20 JULY 2021

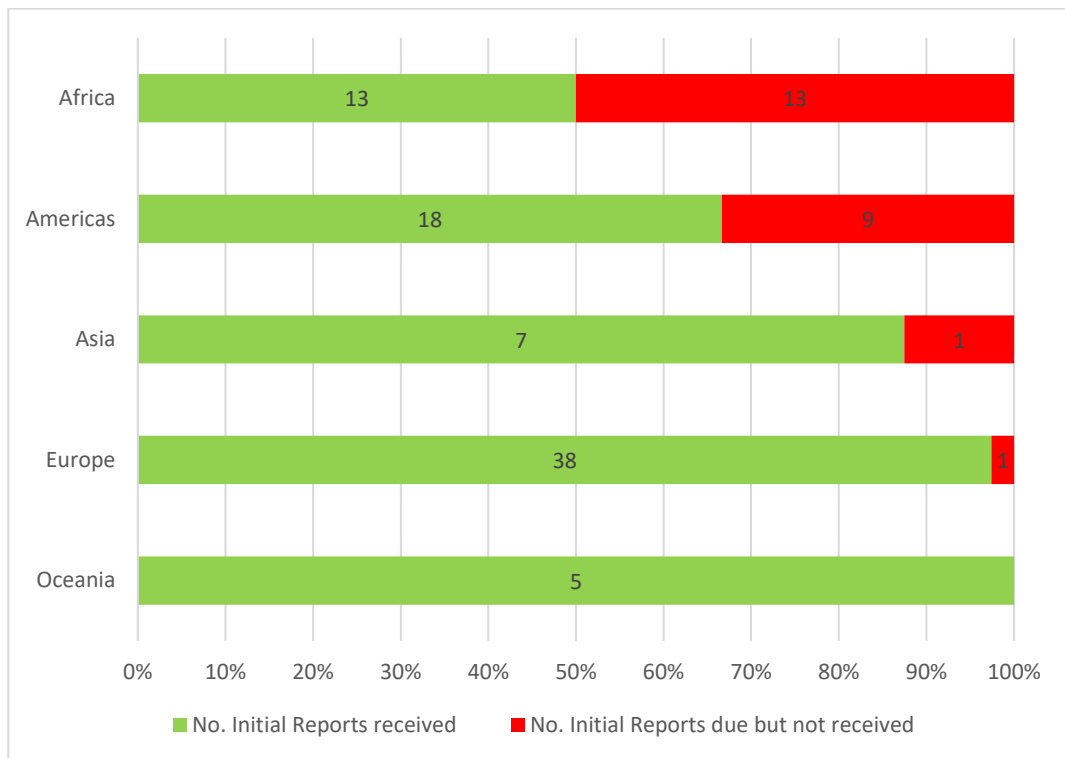
## 1. Initial reports

Table 1. Initial Reports - Global statistics

	No.	%
States Parties	110	
Initial Reports due	105	95 % of States Parties
Initial Reports submitted	81	77 % of States Parties due to report
Initial Reports due but <u>not</u> submitted	24	23% of States Parties due to report
Initial Reports not made public	17	21% of Initial Reports submitted
Initial Reports submitted on time	42	52% of Initial Reports submitted
Format of reports	68	84% use CSP2 endorsed reporting template
No. of updated Initial Reports	5	

Chart 1. Overview of the status of Initial Reports

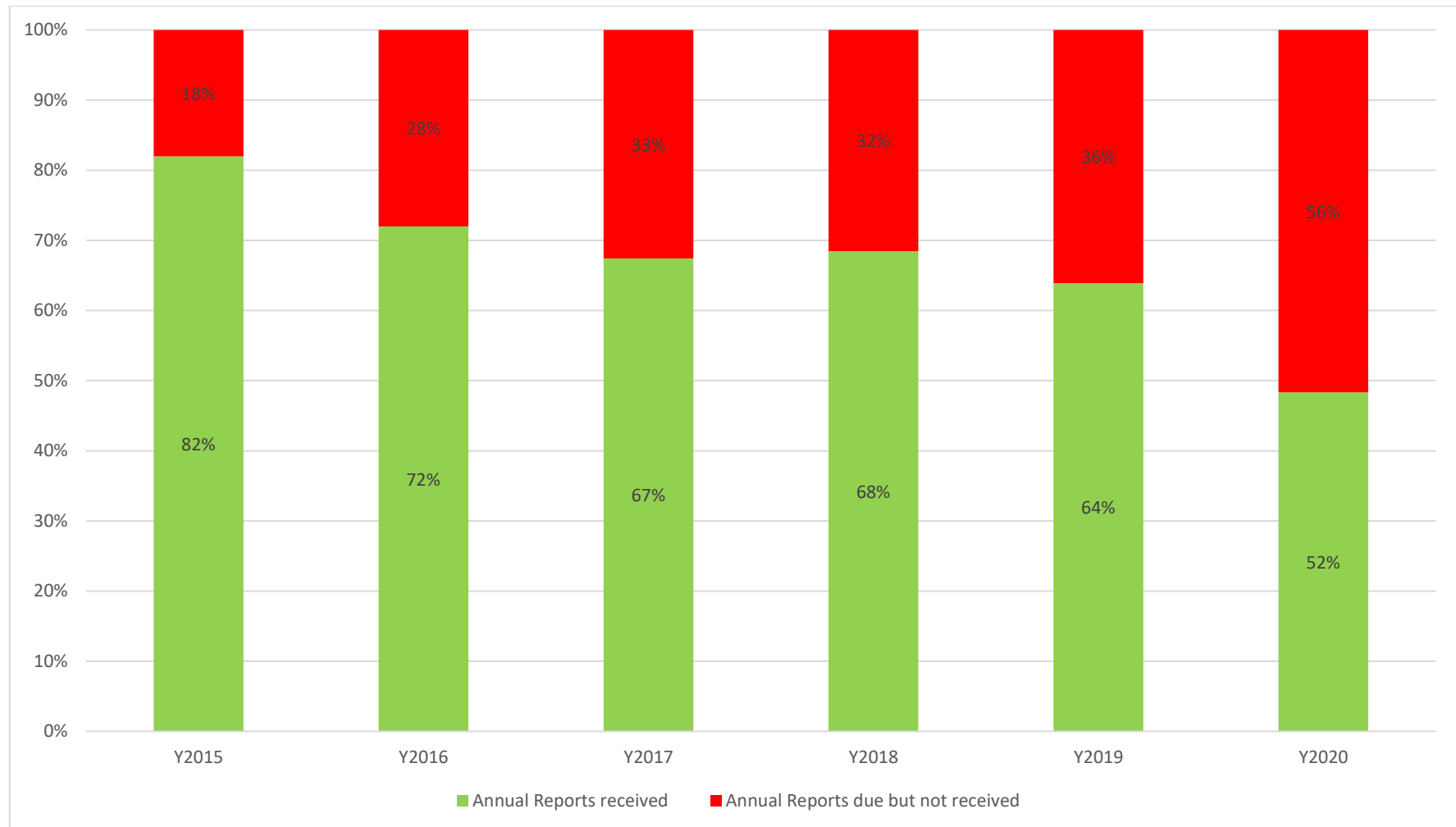


**Chart 2. Initial Reports - Regional statistics**

## 2. Annual Reports

Table 2. Annual Reports – Global statistics

	2015		2016		2017		2018		2019		2020	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
States Parties due to submit Annual Report	61		75		89		92		97		105	
States Parties that have submitted Annual Report (due + not due)	<b>51 + 3</b>	<b>84%</b> of SPs due to report	<b>55 + 1</b>	<b>73%</b> of SPs due to report	<b>60</b>	<b>67%</b> of SPs due to report	<b>63 + 1</b>	<b>68%</b> of SPs due to report	<b>62 + 1</b>	<b>64%</b> of SPs due to report	<b>55</b>	<b>52%</b> of SPs due to report
States Parties due to submit Annual Report that have <u>not</u> done so	10	16% of SPs due to report	20	27% of SPs due to report	29	33% of SPs due to report	29	32% of SPs due to report	35	36% of SPs due to report	50	48% of SPs due to report
Annual Reports not made public	2	4% of ARs	4	7% of ARs	5	8% of ARs	11	17% of ARs	14	23% of ARs	15	27% of ARs
Annual Reports submitted on time (< 7 days of 31 May deadline)	30	59% of ARs due & submitted	31	56% of ARs due & submitted	37	62% of ARs due & submitted	46	73% of ARs due & submitted	37	60% of ARs due & submitted	46	84% of ARs due & submitted

**Chart 3. Overview of Annual Report submissions 2015-2020 (by %)**

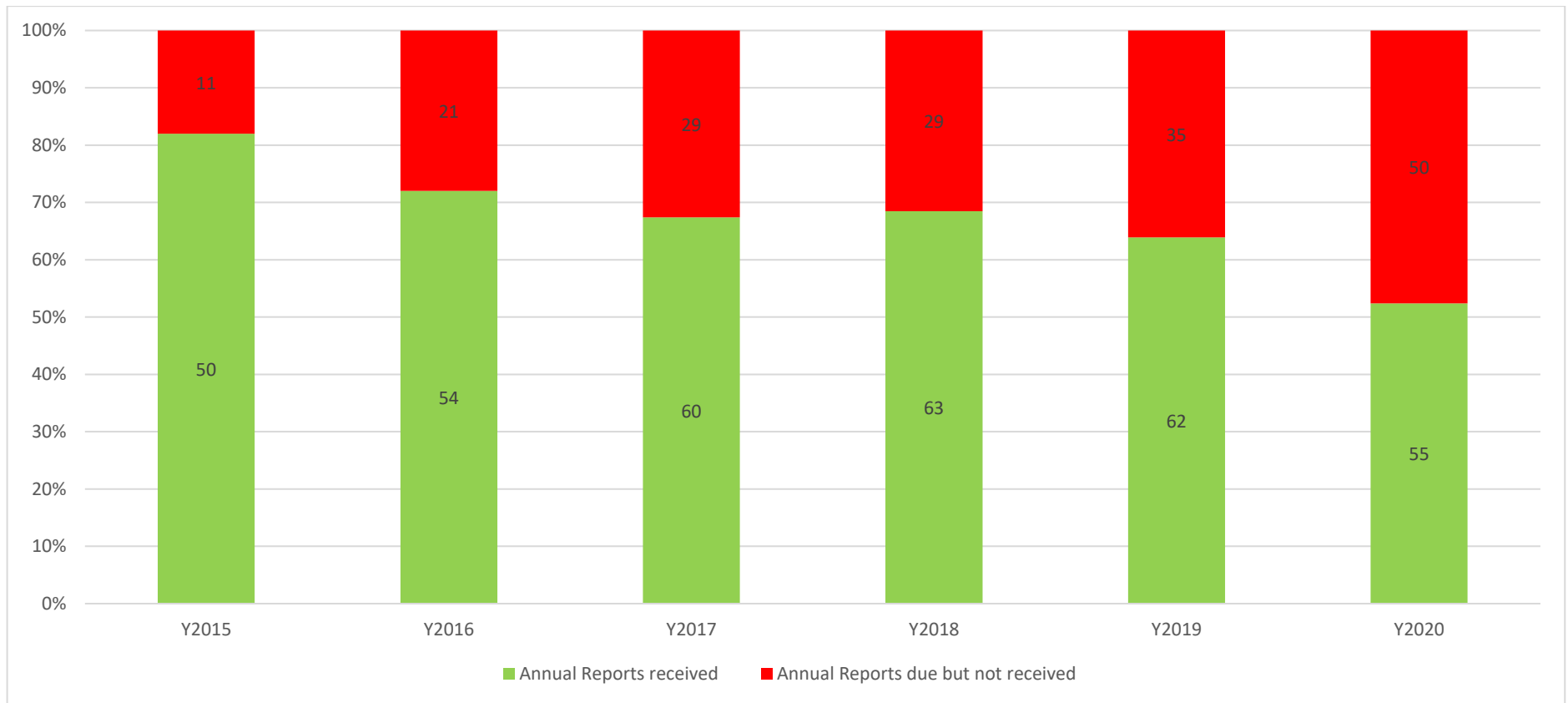
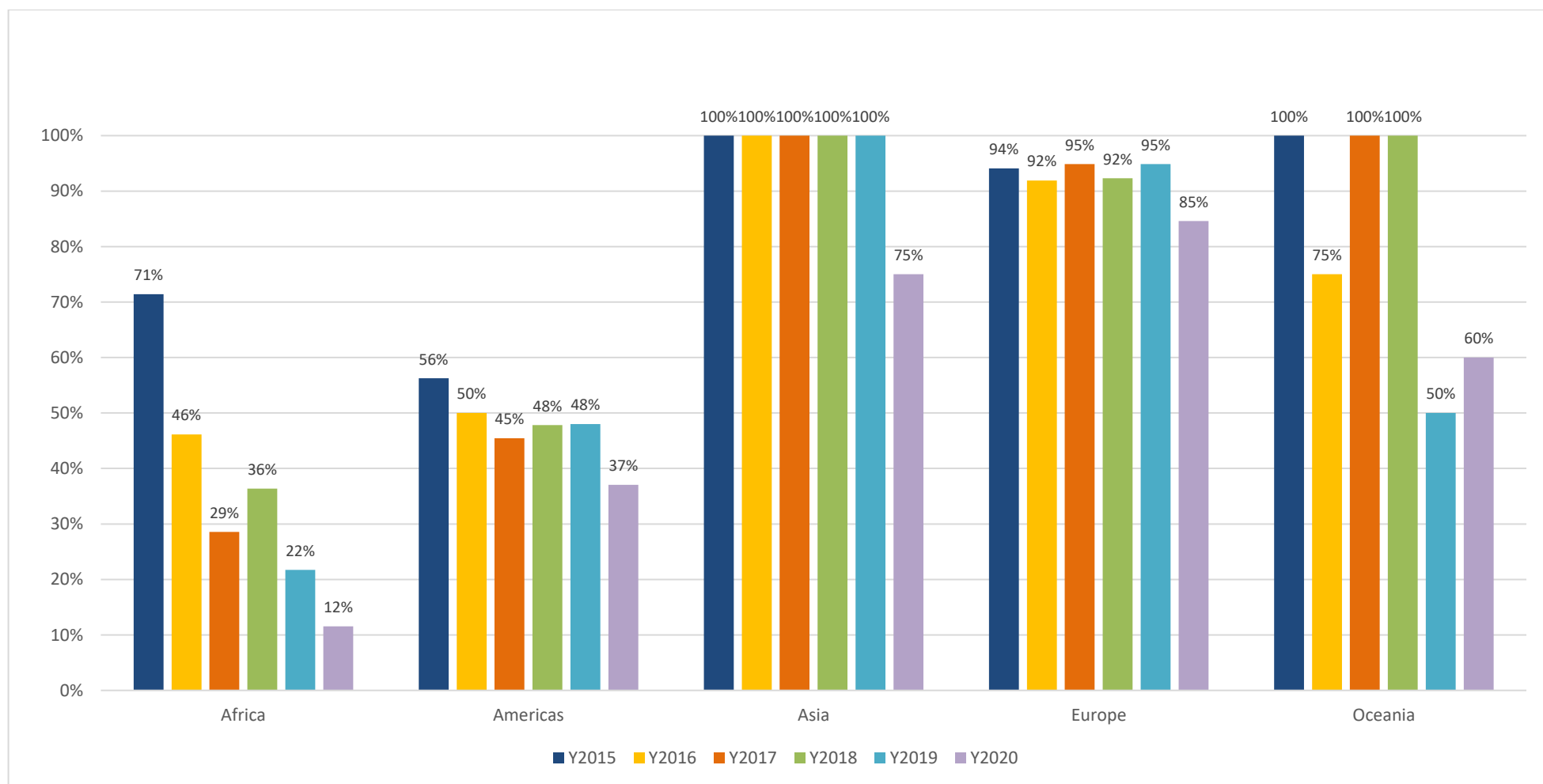
**Chart 4. Overview of Annual Report submissions 2015-2020 (by no.)**

Chart 5. Overview of Annual Report submissions 2015-2020 (by region)



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