

LIST OF POSSIBLE REFERENCE DOCUMENTS TO BE CONSIDERED BY STATES PARTIES  
IN CONDUCTING RISK ASSESSMENT UNDER ARTICLE 7<sup>1</sup>

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

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

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

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

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

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

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

- United Nations, <http://www.un.org>
- International Committee of the Red Cross, <http://www.icrc.org>
- Human Rights Watch ‘World Report’ and country reports, <http://www.hrw.org/home>
- International Criminal Court, <http://www.icc-cpi.int/>
- Coalition to Stop the Use of Child Soldiers, <http://www.child-soldiers.org/>

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

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<sup>1</sup> Annex B to the Draft Report to the Fourth Conference of States Parties (CSP4) ([ATT/CSP4.WGETI/2018/CHAIR/355/Conf.Rep](#)) presented by the Chair of the Working Group on Effective Treaty Implementation (WGETI).

- United Nations Office of the High Commissioner for Human Rights Report, <http://www.ohchr.org>
- United Nations Human Rights Council reports as part of the Universal Periodic Review, <http://www.ohchr.org/EN/HRBodies/HRC/Pages/HRCIndex.aspx>
- United Nations Development Programme (UNDP) Human Development Reports, <http://hdr.undp.org/en>
- Amnesty International Annual Report 'The State of the World's Human Rights' and country reports, <http://www.amnesty.org/en/human-rights>
- Human Rights Watch 'World Report' and country reports, <http://www.hrw.org/home>
- Cingranelli-Richards (CIRI) Human Rights Dataset, <http://ciri.binghamton.edu/>
- Fédération internationale des ligues des droits de l'homme, <http://www.fidh.org>
- Organisation mondiale contre la torture, <http://www.omct.org>
- Association for the Prevention of Torture, <http://www.apt.ch>
- International Commission of Jurists, <http://www.icj.org>
- Political Terror Scale Database, <http://www.politicalterroryscale.org>

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

- UN Security Council Counter Terrorism Committee, <http://www.un.org/en/sc/ctc/>
- UN Office of Counter Terrorism, <http://www.un.org/en/counterterrorism/>
- UNSC 1540 Committee, <http://www.un.org/en/sc/1540/>

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

- United Nations Convention against Transnational Organized Crime
- UN Office on Drugs and Crime, <http://www.unodc.org/>
- Interpol, <https://www.interpol.int/en/Internet>
- Small Arms Survey, <http://www.smallarmssurvey.org/>

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

- UN Security Council resolution 1325 (2000) and related resolutions, for reports on national implementation
- International Convention on the Elimination of Discrimination Against Women (CEDAW) and other relevant UN human rights treaty monitoring bodies, for Reports and concluding observations
- UN Special Rapporteur on violence against women, its causes and consequences
- UN Secretary General annual reports on conflict related sexual violence (pursuant to paragraph 18 of UNSCR 1960 (2010)).
- Office of the Special Representative on Sexual Violence in Conflict, including the early warning matrix for sexual violence and its Annex

#### **H. General information on international arms transfers**

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

#### **I. Other sources of information**

- Judgments and reports by the International Criminal Court and ad hoc tribunals
- International agencies operating in the recipient state
- Local media reports
- Reports by NGOs on country situations, which may include relevant information regarding compliance with international humanitarian law
- Military doctrine, manual and instructions

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