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透明度和报告工作组发布

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## 透明度和报告工作组

### 2021 年 4 月 28 日至 29 日会议的联合主席报告

#### 绪言

1. 2021 年 4 月 28 日至 29 日，透明度和报告工作组（WGTR）举行了会议，作为《武器贸易条约》（ATT）第七次缔约国会议（CSP7）筹备进程的一部分。鉴于 2019 冠状病毒病大流行的最新情况，本次会议以虚拟形式组织。
2. WGTR 通过了[会议议程草案（带备注）](#)，该议程基于常设议程项目以及缔约国在 CSP6 上核准的 WGTR 经常性和具体任务，并根据会议特殊且前所未有的形式对其进行了调整，以适应会议会期的缩短。WGTR 还审议了[联合主席的介绍文件](#)，其中介绍了既定任务的背景，总结了过去的审议情况，列出了讨论内容，并提出了供 WGTR 参与者审议的建议。
3. 在下面的报告中，联合主席对会议期间每个议程项目的审议情况进行了总结，并对 WGTR 在 CSP7 之前的闭会期间需要通过远程磋商开展的工作提出了一些建议，包括为 4 月会议产生且将提交给 CSP7 审议以获通过或批准的文件定稿。

#### 议程项目 1：履行报告义务的进展情况

##### 经常性任务：WGTR 将审查报告的状态，重点关注相较于之前所更新的状态取得的进展。

4. 在此议程项目下，ATT 秘书处[概述了报告的状态](#)以及相较于上次更新的状态所取得的进展。
5. 该发言表明，尽管自上次关于此问题的更新以来取得了一些进展，但年度报告率和初次报告率的下降仍然令人担忧。几乎四分之一的缔约国没有报告它们为执行《条约》所采取的初步措施，三分之一以上的缔约国违反了其年度报告义务。此外，该概述确认，私下报告继续构成挑战，损害了条约的透明度目标。在这一背景下，联合主席和一些参与者对报告率低表示关切，并多次呼吁各缔约国公开他们的报告。
6. 一些参与者提请注意，鉴于第 13 条规定缔约国有义务向 ATT 秘书处报告为执行条约而采取的任何新措施，因此缺乏对初次报告的更新，并表示支持 WGTR 为提高对这一义务的认识所做的努力以及对报告模板的拟议调整的好处。
7. ATT 秘书处还介绍了在年度报告网页上新增的功能，以便通过让用户更方便地运用数据来提高其友好度。

## 议程项目 2：报告方面的挑战

### 经常性任务 1：WGTR 将鼓励未履行 ATT 报告义务的缔约国参与者分享其在及时而准确地提交初步和年度报告方面遇到的挑战。

8. 联合主席首先请参与者分享他们在及时和准确地提交初次报告和年度报告方面所面临的问题和困难，并强调这样做将有助于为 WGTR 的工作提供依据，从而能制定高效的举措、资源和工具来支持各国履行其报告义务。

9. 参与者认识到，此次全球大流行给 ATT 的报告工作带来了一系列挑战。这些挑战不仅增加了收集汇编报告所需数据方面的难度，而且还造成了负责汇编报告的人与负责向 ATT 秘书处提交报告的人之间的沟通误解，例如各国首都与各国驻日内瓦代表团之间的沟通误解。联合主席鼓励各缔约国代表核实秘书处是否收到他们的报告并在 ATT 网站上公布。

10. 一位参与者指出，由于可用的信息有限或者数据可能分散在不同的政府机构中，因此许多缔约国面临的主要挑战之一是收集和核实信息。另一位参与者还指出，根据其经验，机构间合作对促进报告工作至关重要，而另一位参与者表示，除此之外，缺乏政治承诺也影响了 ATT 的报告工作。

11. 联合主席呼吁在及时和准确提交报告方面遇到困难的缔约国利用 WGTR 制定的现有援助机制，包括年度报告义务“常见问题解答”式指导文件和关于可在国家一级采取的促进履行报告义务和承诺的措施的文件，以实现全面遵守条约的报告义务。

### 经常性任务 2：WGTR 将监督自愿参加的实用双边和区域报告援助项目（点对点）的实施情况；

12. 在 4 月 28 日至 29 日会议的介绍文件中，联合主席建议鉴于 2019 冠状病毒病大流行的影响，秘书处不可能再举行有意义的后续行动会议，因此将这一议题的讨论推迟到 CSP8 周期。

13. 在本次 4 月会议上，一个缔约国提到了 2020 年 2 月 6 日组织的点对点自愿援助见面会，并提议在虚拟环境中组织类似的活动。

14. 在这方面，联合主席鼓励 ATT 秘书处考虑，如果全球大流行带来的挑战持续存在，并且在 CSP8 周期内难以进行面对面的接触，那么在虚拟环境下组织一次见面会的可能性及好处。

15. 联合主席还邀请参与者在 2021 年 7 月 9 日前以书面形式提交他们希望在 CSP8 周期的 WGTR 会议上讨论的任何意见或具体建议。联合主席在作为本报告附件 C 所附的 CSP7 之后 WGTR 任务草案中包括了对这一主题的讨论。

### 经常性任务 3：WGTR 将让参与者有机会提出和讨论其他手段，以支持缔约国应对其报告挑战。

16. 在 4 月 28 日至 29 日会议的介绍文件中，联合主席建议，由于分配给上述会议的时间减少，并考虑到目前没有正在讨论的具体提案，因此将对这一议题的讨论推迟到 CSP8 周期。

17. 在这方面，联合主席鼓励参与者在 2021 年 7 月 9 日前以书面形式提交他们希望在 CSP8 周期的 WGTR 会议上讨论的任何意见或具体建议。联合主席在 CSP7 之后的 WGTR 任务草案中包括了对这一主题的讨论。

**经常性任务 4: WGTR 将鼓励参与者报告为执行《报告外联策略》文件而采取的举措。**

18.关于这项经常性任务，联合主席首先向参与者通报了 CSP6 和 CSP7 会议主席为与拖延报告义务的缔约国进行双边接触而采取的行动（关于这些努力的详情，还可参见联合主席的介绍文件）。联合主席对各会议主席的努力表示肯定，但同时指出，就这一问题联系的国家数量有所增加，对提高报告率的改善似乎没有重大影响。因此，联合主席鼓励收到信函的缔约国分享其在提交报告方面的挑战和困难，并要求参与者继续寻找提高报告率的方法和机制。

**19.ATT 秘书处将继续监测针对 CSP7 主席所发单独信函的回应，联合主席的目的是在 CSP8 周期向 WGTR 参与者简要介绍工作成果。**

20.会议听取了一个缔约国的经验介绍，自愿信托基金就一个旨在加强其报告能力、提升报告质量和改善机构间合作的项目为该缔约国提供了资金。联合主席认为，该国的经验可以为其他正在努力履行其报告义务的缔约国提供一个良好的范例，并会鼓励这些缔约国考虑利用自愿信托基金获得援助，以提高其报告能力。

21.之后，缔约国、民间社会和区域组织按要求需向 WGTR 简要介绍它们自 CSP6 以来举行的关于报告情况的任何情况介绍会或推广活动，以及旨在加强履行报告职责的任何其他倡议。在此背景下，一个区域组织向 WGTR 通报了其外联方案的扩展情况，即按照《条约》的规定支持旨在加强国家报告能力和使国家报告程序更有效的举措。两个缔约国向工作组介绍了其今年开展的外联工作的最新情况，即为拉丁美洲国家组织了一次关于报告专题的虚拟活动，以及举办了一次网络研讨会，专门讨论 ATT 年度报告和关于如何编写报告的现有援助。

**22.联合主席认为，仍然需要加大努力，提高对报告强制性的认识，因此他们敦促所有缔约国和 ATT 的利益攸关方继续执行关于报告的外联战略。在这方面，执行外联战略将继续列入 CSP7 之后的 WGTR 任务草案。****经常性任务 5: WGTR 让参与者有机会讨论提交的变更建议或有关 CSP3 通过的年度报告义务“常见问题解答”式指导文件的其他问题和答案。**

23.参与者有机会提交变更建议或对年度报告义务“常见问题解答”式指导文件的增加问题或答案。无论是在会议期间，还是之前通过电子邮件或信息交流平台，都没有就该文件提出具体建议。考虑到任何新提交的建议都将在 CSP8 周期内讨论，联合主席决定让参与者在 2021 年 7 月 9 日前通过电子邮件或信息交流平台提交建议或意见。

**特定任务 6: WGTR 将努力完成对初步和年度报告模板的拟议修订草案（以附件 B 和附件 C 的形式纳入联合主席向 CSP6 提交的报告中）的讨论，同时考虑缔约国和其他利益攸关方的意见（已纳入联合主席提交的报告及其附件中）。**

24.联合主席首先概述了对初次报告和年度报告模板的拟议修改的最相关解释，这些解释载于其介绍文件附件 A 和 B 的解释性说明中，并请参与者分享他们对此事项的看法。

25.大多数发言的代表团对解释性说明表示赞赏，并对建议的调整表示赞同，指出这些调整有助于解决当前模板中的不一致和差距，能提升其清晰度。有人强调，拟议的修改也有助于提高透明度。关于公开、与联合国常规武器登记册的协同作用、自愿性质以及与性别和基于性别的暴力问题相一致等方面的变化，尤其受到欢迎。

26.两个缔约国表示，应慎重考虑不对缔约国的报告义务施加额外负担。其中一个国家还强调，频繁的更新会使按时间顺序比较数据变得困难。联合主席注意到这一观点，并指出他们的意图是，一旦 WGTR 就拟议的调整达成协议，就向 CSP 建议长期使用经修订的模板。正因为如此，联合主席强烈认为，WGTR 必须确保在这一调整过程中，报告模板中影响报告质量的所有或至少是最紧迫和最相关的不确定性和不一致性得到解决，所以至少在调整的好处和效果得到证明之前，不宜重新讨论修改报告模板的话题。

27.一位参与者表示，对需要报告的武器类别缺乏通行定义，可能会妨碍适当的报告，并可能使缔约国不愿意实际提交报告。联合主席希望指出，关于武器定义的讨论超出了 WGTR 的任务范围，不能在报告模板中涉及。条约本身没有对其适用的常规武器类别作出定义，但规定国家定义所涵盖的内容不得少于 ATT 生效时联合国常规武器登记册中使用的描述，特别是对于“小武器和轻武器”类别，其涵盖的内容不得少于 ATT 生效时相关联合国文书中使用的描述。此外，条约鼓励每个缔约国将条约的规定适用于最多类别的常规武器。

28.一些代表团解释说，他们仍在评估拟议修正案，他们将以书面形式提出具体意见。截至本报告提交之日，只有一个代表团提交了书面建议。

29.考虑到 4 月 28 日至 29 日会议期间提出的意见以及会后收到的书面意见，联合主席编写了初次报告和年度报告模板的修订版，并作为附件 A 和附件 B 列入本报告。联合主席请参与者审议这些经修订的报告模板。考虑到 CSP6 通过的 WGTR 任务致力于完成对提及报告模板的拟议修正草案的讨论，联合主席邀请 ATT 利益攸关方参加将于 2021 年 6 月 29 日和 30 日日内瓦时间（CEST）12 时至 14 时举行虚拟磋商，以起草将提交 CSP7 进行审议和批准的模板经修订版。会议的详情，包括报名情况，将由 ATT 秘书处在适当时候分发给 ATT 利益攸关者。

### 议程项目 3：重大报告和透明度问题

*经常性任务 1：WGTR 让参与者有机会提出和讨论有关报告义务的重大问题，WGTR 的审议对于解决这类问题有帮助；*

30.在 4 月 28 日至 29 日会议的介绍文件中，联合主席建议，由于分配给上述会议的时间减少，因此将对这一议题的讨论推迟到 CSP8 周期。

31.在这方面，联合主席鼓励参与者在 2021 年 7 月 9 日前以书面形式提交他们希望在 CSP8 周期的 WGTR 会议上讨论的任何意见或具体建议。联合主席在 CSP7 之后的 WGTR 任务草案中包括了对这一主题的讨论。

*经常性任务 2：WGTR 将监督和协调该项目的后续工作，以促进世界海关组织（WCO）“协调制度”（HS）识别《条约》第 2 条第 1 款中所述的常规武器；*

32.在 4 月 28 日至 29 日会议的介绍文件中，联合主席表示，自 2018 年 5 月以来，这个项目一直在 WGTR 每次会议的议程上，但没有采取具体步骤。由于已告知联合主席，比利时关于该议题的概念说明草案仍在制定中，并且所述文件将在定稿后提交给 WGTR 审议，因此联合主席建议将该议题的讨论推迟到 CSP8 周期。为些，联合主席在 CSP7 之后的 WGTR 任务草案中包括了对这一主题的讨论。



### 特定任务 3：WGTR 将交流有关公开年度和初步报告的做法、挑战和限制

33.在这一议程项目下，WGTR 的参与者首次就公开提供年度报告和初次报告进行了讨论，以便更全面地了解部分缔约国选择只向缔约国提供报告的原因。

34.应联合主席的邀请，一个缔约国分享了其决定在《条约》缔约国之间保持报告的前提。该国解释说，在多个论坛上做了关于武器转让的报告，至少提交了四份这样的报告，~~向~~向 ATT、欧盟、联合国常规武器登记册和欧安组织，而且其中一些报告已公开。从该国的角度来看，与联合国常规武器登记册（出于透明度目的的自愿报告文书）不同的是，ATT 是一个具有法律约束力的条约，其互动机制旨在，除其他外，通过报告简化缔约国之间的出口管制准则。该国认为，ATT 能力建设的基础是双边信息交流，或在秘书处的支持和协作下，努力在共享或努力执行共同的国际军事产品出口管制原则的国家之间建立共同的军事产品转让程序。该国认为，在 ATT 缔约国之间进行秘密报告这一选项是 ATT 内部能力建设的组成部分之一，加强了普遍加入条约的前景。

35.联合主席完全承认缔约国有权决定是否公开其报告，但要指出的是，公开报告有助于提高透明度，支持普遍加入的能力建设，并可能有助于解决非法武器贩运和武器转用。例如，努力建设自己执行条约规定的能力的签署国可以从学习其他缔约国采取的措施中受益，但仅在有国家公开自身报告时，他们才能这样做。

36.鉴于对这一问题的讨论有限，并考虑到一些参与者表示的关切，即选择向缔约国提供报告的国家数量逐年增加（根据 ATT 秘书处提供的概述，几乎有五分之二的缔约国选择这一选项），联合主席建议在 CSP7 之后阶段的 WGTR 任务中包括了对这一主题的讨论，以便让参与者有机会分享他们在公开提供初次报告和年度报告方面的做法、挑战和限制。

### 特定任务 4：WGTR 将交流有关汇总年度报告数据的做法、挑战和限制。

37.WGTR 参与者还首次交流了有关汇总年度报告数据的做法、挑战和限制。讨论中听取了[联合国裁军研究所的发言](#)，该发言涉及现有的自愿性指导意见，解释了各国在数据汇总方面的做法以及在国家层面遇到的主要挑战，并提出了继续就这一主题进行对话的可能机会领域。

38.在随后的讨论中，一些参与者强调了分类数据的重要性，解释说只有这种数据提供的详细程度才能对年度报告中的信息进行有意义的评估，并强调这有利于进行比较分析和提高透明度。一位参与者通过分享自己在利用 ATT 报告方面的经验，说明了分类数据的重要性。这位参与者解释说，ATT 年度报告中的数据被用于研究、准备公开讲话和国家宣传工作。这位参与者还强调，一些在收集和集中所有必要信息方面能力较弱的缔约国在汇编此类详细报告时可能会遇到一些困难，这也是在发展能力时必须考虑的一个方面。

39.根据联合国裁军研究所的建议，联合主席认为，WGTR 的参与者可以从分享以下方面的做法中受益：收集和管理的分类数据类型、有用的国家程序、数据库和数据分类工具、国家协调经验、分类数据的去敏感化、分类数据在国内的使用、收集和报告的数据类型的一致性、国内数据管理需求和分类援助、小武器和轻武器类别的分类数据、以及涉及行业的数据访问、收集和管理。在这方面，联合主席建议在 CSP7 之后的 WGTR 任务中纳入关于交流年度报告中数据汇总的做法、挑战和限制的讨论。

## 议程项目 4：信息交流的组织手段

**经常性任务 1: WGTR 参与者有机会提出和讨论结构化的机制、过程或形式, 促进开展《条约》所要求或鼓励的政策层级和业务层级的信息交流**

40.联合主席提醒参与者, 在 CSP6 的筹备过程中, WGTR 将重点放在两种机制上, 即 ATT 网站限制区域的信息交流平台, 以及缔约国与签署国之间的专用信息交流论坛。就信息交流平台来说, 联合主席回顾说, 该平台在加强缔约国和签署国的闭会期间对话方面具有巨大潜力, 并敦促各国更多地利用该平台, 尤其在这一具有挑战性且各国间互动机会有限的时期更是如此。

41.在 4 月 28 日至 29 日会议召开之前, 联合主席在平台上发布要求就若干议题提供意见、建议和评论的公告, 包括要求就其他结构化机制、程序或格式提出建议, 以促进条约所要求或鼓励的信息交流的公告。联合主席报告说, 没有人通过电子邮件或信息交流平台提交关于该专题的具体建议。

42.在会议期间, 一个缔约国建议, 是否有可能在 ATT 网站的限制性区域内的信息交流平台上增加一个公开区域功能, 以便在 ATT 的所有利益攸关方之间进行更广泛和更具包容性的交流, 包括为闭会期间的工作进行交流, 但是需要谅解的是, 此类信息技术项目必须顾及信息技术需求的优先顺序和专项预算。

**43.考虑到这一特征有助于提高 ATT 的透明度和包容性, 联合主席请参与者在 2021 年 6 月 18 日之前以书面形式就增加上述功能应考虑的事项提出意见, 包括使用的参数、可交流的信息类型、项目的成本效益以及认为相关的内容等。联合主席将根据收到的意见, 准备一份关于如何推进的建议。**

**经常性任务 2: WGTR 将监督在 CSP4 上通过的共享转用信息的三级方法的实施情况。**

44.就此经常性任务来说, 联合主席回顾说, WGTR 的任务仍然包括监督共享转用信息的三级方法的实施情况, 因为该方法是 WGTR 制定的, 而且该工作组发挥着重要的作用, 需要在考虑三级方法的背景下, 监测该方法的有效性和价值。联合主席回顾说, WGTR 为在 CSP6 上通过转用信息交流论坛 (DIEF) 付出了大量努力, 从而实现了转用信息交流三级方法的支柱之一。

45.应联合主席的邀请, DIEF 主席向 WGTR 参与者介绍了论坛第一次会议安排的最新情况以及在当前 CSP7 周期内实现这一目标的前景, 报告了 [ATT 网站上专门用于论坛的新公开网页](#) (其上载有论坛的[职权范围](#)), 并鼓励通过信息交流平台等其他机制持续交流信息。

**46.联合主席请参与者思考这一话题, 并在 2021 年 6 月 18 日之前以书面形式提交意见和建议, 说明可采取哪些措施来改进交流转用信息的三级方法的实施。联合主席将考虑所收到的意见, 以便编写一份提案, 供 CSP8 周期讨论。**

**议程项目 5: IT 平台的报告和透明度功能**

**经常性任务 1: WGTR 将让参与者有机会上报有关 IT 平台的任何问题或不便之处**

47.会议期间, 没有发现有关信息技术平台或在线报告工具的特别问题或不便之处。这可能与秘书处报告的这些工具“很少被使用”有关。在这方面, 联合主席仍请各缔约国在 2021 年 6 月 18 日前就使用这些工具的任何问题或不便提出书面意见。

**经常性任务 2：WGTR 将让参与者有机会提出和讨论 IT 平台的改进意见，以提高透明度并促进履行《条约》规定的报告和信息交换义务，其中包括允许利用初步和年度报告中的信息来跟进这些报告的提议**

48.在 4 月 28 日至 29 日会议的介绍文件中，联合主席建议，由于分配给上述会议的时间减少，因此将对这一议题的讨论推迟到 CSP8 周期。

**49.在这方面，联合主席鼓励参与者在 2021 年 7 月 9 日前以书面形式提交他们希望在 CSP8 周期的 WGTR 会议上讨论的任何意见或具体建议。联合主席在 CSP7 之后的 WGTR 任务草案中包括了对这一主题的讨论。**

**经常性任务 3：WGTR 将监督和评估 ATT 网站的在线报告功能和信息交流平台的使用情况。**

50.在 4 月 28 日至 29 日的会议期间，联合主席表示，他们在信息交流平台上发布了六份公告，要求对 4 月会议议程上的各个议题提供意见，但在会议开始前没有看到参与者的任何后续行动。秘书处告知，截至 2021 年 5 月 31 日，该 IT 平台的注册用户数量为 123 个，代表 48 个缔约国和 3 个签署国，自在线报告工具建立以来，填写和提交的年度报告总数为 32 份。

51.鉴于上述工具的使用有限，联合主席继续鼓励各缔约国和签署国：1）在线注册以访问 ATT 网站的限制区域；2）考虑使用在线报告工具提交年度报告；3）就信息交流平台上发布的公告进行讨论。

**52.在这方面，联合主席在 CSP7 之后的 WGTR 任务草案中纳入了关于这一主题的讨论。**

**特定任务 4：WGTR 将讨论开发一项搜索功能的需求，包括预算需求，该功能使年度报告中的信息可在可搜索的数据库中使用，允许查询和提取数据。**

53 ATT 秘书处提交了一份背景文件（作为附件 C 列入联合主席的介绍文件），概述了缔约国在确定可搜索在线数据库（允许查询和从年度报告中提取数据）的参数和特点时可以考虑的问题，以促进 WGTR 参与者之间的讨论，确定他们对可能开发这种可搜索在线数据库的期望和偏好。

54.该文件得到了参与者的普遍好评。一位参与者认为，缔约国有必要确定上述数据库的目的，以便推动该项目的发展。另一位参与者强调，目的应该是提供一个工具，最终成为全球武器转让的标准参考，并指出与现有的其他数据库相比，ATT 可搜索数据库中的信息将不限区域限制。

55.考虑到秘书处提交的背景文件具有重要价值，可以促使人们对在线可搜索数据库项目进行更多的思考和讨论，而且 4 月 28 日至 29 日会议对上述文件的讨论并不详尽，**联合主席请参与者在 2021 年 6 月 18 日前以书面形式对秘书处编写的背景文件（联合主席介绍文件附件 C）中的问题作出答复。所提供的答复将作为确定拟议数据库的相关参数和功能的基础，这反过来将使秘书处能够编制项目的成本效益分析。然后将由缔约国评估投资开发该工具的成本效益，考虑这对 ATT 成本预算的影响，决定是否要继续开发该工具。**

**后续步骤**

56.根据就提交给 CSP7 的文件与 ATT 利益攸关者进行远程磋商的决定，联合主席希望提交以下文件供 WGTR 参与者审议：

- a. 对初次报告模板的拟议调整草案 - 本报告附件 A。
- b. 对年度报告模板的拟议调整草案 - 本报告附件 B。
- c. CSP7 和 CSP8 之间的 WGTR 拟议任务草案 - 本报告附件 C。

**57.请所有参与者通过发送电子邮件给 ATT 秘书处（[info@thearmstradetreaty.org](mailto:info@thearmstradetreaty.org)）就上述文件以及本报告中的具体和经常性任务提交评论、意见和建议；在 2021 年 6 月 18 日之前，就目前 CSP7 周期正在讨论的议题；在 2021 年 7 月 9 日之前，就迟到至 CSP8 周期的议题。我们鼓励有能力的缔约国和签署国通过位于 ATT 网站受限区的信息交流平台提交评论。**

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

# THE ARMS TRADE TREATY

## REPORTING TEMPLATE

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

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

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

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

The division of obligations into binding and non-binding has been undertaken - solely for the purpose of this Template - on the basis of a strict observance of the qualifiers included in the text of the Treaty. Thus, if a provision in the text is prefaced with “shall” only, it is considered binding and information on that topic should be provided in the initial report.

if a provision in the text has qualifiers, such as “shall...subject to its national laws”, or “shall...pursuant to national law”, or “shall...consistent with national law”, or “shall...where necessary/appropriate”, then a binding obligation is deemed to exist if certain pre-requisites are fulfilled. In this case, information on the topic should be provided in the initial report. If the pre-requisites are not fulfilled, the provision is deemed to be non-binding. In this case information need not be provided unless measures have in fact been taken in the national context to comply with such a provision.

if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding. This category also includes qualifiers such as “may include...” or actions to be initiated “by mutual consent” with another State Party. Information should be provided if measures have been taken in the national context that fulfil this type of provision.

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

Please note that Article 13.1 also requires States Parties to “*report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate*”. This template may be used to supply such updates as well. Only changes need then be indicated either by highlighting, tracking or marking up changes made in each section OR providing a summary description of the updates made in Annex A.

GOVERNMENT OF \_\_\_\_\_

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

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

This Initial Report <del>may be made publicly available</del> <u>is available only to States Parties</u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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<p>This Report contains only updates to a previously submitted initial report dated _____</p> <p><u>(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)</u></p>	<input type="checkbox"/>
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### 1. NATIONAL CONTROL SYSTEM AND LIST

<b><u>1.1 GENERAL OVERVIEW</u></b>			
<p><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)</p>			
<b>B. The national control system includes the following:</b>		Yes	No
i)	a national control list [Article 5(2)] <del>competent national authorities (further specified below) [Article 5(5)]</del>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	a control list [Article 5(2)] <del>competent national authorities [Article 5(5)]</del>	<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"/>
<p>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>.</p>			
<p><b><u>C. Additional voluntary information about the national control system</u></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)</p>			
<b><u>1.2 NATIONAL CONTROL LIST</u></b>			
<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"/>
The national control list also includes the following <u>items</u> , in order to enable the application of Articles 3 and 4:		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>
	Parts and components in a form that provides the capability to assemble the x) conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please <u>explain in more detail</u> <u>provide background</u> below			
<b>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) &amp; 5(2)]:</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>		
<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)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
<b>E. The national control list has been provided to the Secretariat of the Treaty</b> [Article 5.4] (if 'No', please elaborate further below)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
		—	—
<b>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]</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>HG. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</b> (If 'Yes', please specify below <u>what the additional categories are</u> )		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
<b>I. Control list definitions are supplemented by more detailed definitions not in the control list itself</b> <u>Are items on the national control list defined? [Article 5(3)]</u> (If 'Yes', please provide further information below) <u>if</u> <u>yes</u> , which definition(s) or descriptions do you use: <u>? (e.g. Wassenaar, United Nations Register of Conventional</u>		Yes	No



<del>Arms, National definitions, etc.</del>					
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"/>

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

grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party [Article 6(3)]			
(If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)			
<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 <a href="#">non exhaustive</a> 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 <a href="#">[insert link##]</a> . 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 <a href="#">[insert link##]</a> . 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; <a href="#">the national interpretation of key concepts in Article 6</a> )			

### 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)]		
ii)	export assessment criteria [Article 7]		
iii)	a risk assessment procedure [Article 7]		
If 'No' to any of the items above, please <a href="#">explain in more detail</a> <del>provide background</del> below			
<b>B. National legislation 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 ☐No ☐



<p><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)</p>		
<p><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)</p>		
<p><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)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>GF.</b> If a risk is identified, <u>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)]</u> (If 'Yes' please elaborate below, including an indication of give examples when mitigation measures are considered and of the types of risk mitigation measures that are most often used)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><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)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><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)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><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)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><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)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>KI.</b> The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.E above (If 'Yes' please specify below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><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)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>MK.</b> An export authorization can be reassessed if new relevant information becomes available [Article 7(7)]</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

(If 'Yes', please provide further information below. <del>Are there also legal provisions for suspension or withdrawal of a license?</del> )		
<b>N. There are legal provisions for suspension or withdrawal of 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>OL. Information / documentation included in an application for an export authorization</b> (Please specify below)		
<b>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)]</b> (Please specify below)		
<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"/>
<b>OR. 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 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)]</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 includes 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>ED. The national control system allows the State to provide for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist another State Party that is conducting an export assessment by a potential exporting State Party [Article 8(1)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>DE.</b> Imports of conventional arms subject to <del>control</del> <u>regulation</u> are, under specific circumstances, permitted without <del>regulation</del> <u>specific authorization</u> or under simplified procedure (If 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>FE.</b> Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (If 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>GF.</b> Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)] (Please specify below)		
<b>HG.</b> Information / documentation required for an import authorization (Please specify below)		
<b>IH.</b> Additional voluntary information relevant to national import controls (Please specify below)		

## 5. TRANSIT & TRANS-SHIPMENT

<b>A.</b> 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)] (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.</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)] (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.</b> National legislation includes a definition of transit [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D.</b> National legislation includes a definition of trans-shipment [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b><del>EC. Control measures for the regulation of to regulate</del> transit and/or trans-shipment cover : Yes No</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?)			
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><del>ED. Does your State only apply control measures to prevent transit and trans-shipment other than in violation of the prohibitions in Article 6?</del></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><del>EG. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]</del></b> (Please specify below)			
<b><del>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)</del></b> (If 'Yes' please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><del>FI. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty</del></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><del>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)]</del></b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><del>IH. 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)]</del></b> (Please specify below)			
<b><del>II. Information / documentation required in an application for a transit / trans-shipment authorization</del></b> (Please specify below)			
<b><del>IJ. Additional voluntary information relevant to national transit / trans-shipment controls</del></b> (Please specify below)			

## 6. BROKERING

<b>A. The national control system includes measures to prevent the 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 <u>in violation of the prohibitions in Article 6.</u> [ <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
		<input type="checkbox"/>	<input type="checkbox"/>
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)		
<b>C. National legislation includes a definition of brokering [Articles 6(1) to 6(3) and Article 10]</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
(If 'Yes', please specify. If 'No', please explain.)			
<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 <u>other than</u> in violation of the prohibitions in Article 6?</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
(If 'Yes', please specify the other control measures that your States applies to brokering)			
<b>CE. The competent national authority(-ies) for the regulation of brokering [Article 5(5)]</b> (Please specify below)			
<b>DE. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 &amp; 10]</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
(If 'Yes', please provide further information below)			
<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>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
(If 'Yes', please elaborate below)			
<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)			

**I.J. Additional voluntary information relevant to national brokering controls**  
(~~P~~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> ( <del>if</del> '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
<del>ii</del> i)	establishment of mitigation measures [Article 11(2)]		
<del>iv</del> <del>ii</del>	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]		
<del>v</del> <del>iii</del>	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]		
<del>iv</del> <del>i</del> )	examination, where appropriate, of parties involved in a transfer [Article 11(2)]		
v <del>iii</del> )	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]		
<del>ix</del> <del>vi</del>	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)]		
<del>x</del> <del>vii</del>	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)]		
<del>x</del> <del>i</del> <del>viii</del>	other measures [Article 11(1)] (if 'Yes', please specify below)		
<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		

ii)	investigative and law enforcement measures at the national level		
iii)	using international tracing mechanisms to identify points of diversion		
iv)	other measures (if 'Yes', please specify below)		
<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) <del>of the Treaty</del> [Article 12(1)]	<input type="checkbox"/>	<input type="checkbox"/>
actual exports of conventional arms covered under Article 2(1) <del>of the Treaty</del> ii) [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) <del>of the Treaty</del> 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) <del>of the Treaty</del> [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' 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</b> [Article 14] (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</b> [Article 15(5)] (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</b> [Article 15(6)] (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</b> [Article 15(1)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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**B. Additional voluntary information relevant to participation in international cooperation**

(Please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)

**12. INTERNATIONAL ASSISTANCE**

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

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

xii)	<u>Other</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<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) (If 'No', please elaborate below)</b>		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 B TO WGTR CO-CHAIRS' REPORT OF 28-29 APRIL 2021 MEETING  
DRAFT PROPOSED AMENDMENTS TO THE ANNUAL REPORTING TEMPLATE**

# THE ARMS TRADE TREATY

## REPORTING TEMPLATE

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

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

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

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

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

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

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

On the title page of each of the four reporting forms (exports, imports, nil exports, nil imports) a State Party needs to indicate whether the form may be made publicly available in order to instruct the ATT Secretariat where to upload the report on the ATT website ~~has the option of indicating that the form is for distribution only to other States Parties to the Treaty must indicate whether the form may be made publicly available~~. 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>		<u>Mr.</u> <input type="checkbox"/>	<u>Ms.</u> <input type="checkbox"/>
<b><u>Position/Job title :</u></b>			
<b>Organisation :</b>			
<b>Fixed Phone :</b>			
<b>Mobile Phone :</b>			
<b><u>Fax :</u></b>			
<b>E-mail :</b>			

<b>Date of <u>Submission 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 Nations Register of 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"/>

<b>Scope of report (<del>voluntary information</del>)</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 explaining why and what kind of information was withheld)		

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

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

Reporting country :		Calendar Year :	Cutoff date <sup>23</sup> :
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<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"/>
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Category of [I-VIII]	Authorized or actual  <u>exports<sup>5</sup> export<sup>7</sup></u>		Extent of <u>exports<sup>6</sup> exports<sup>8</sup></u> (choose one or both)		Final importing  State <u>9</u>	State of origin (if not exporter) <u>11 12</u>	<u>Remarks<sup>13</sup></u>	
	Auth.	Act.	Number of items <u>9</u>	Value <u>10</u>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9

**A. I-VII UN Register ~~7~~ Categories<sup>1 42</sup>** (national definitions shall not cover less than the definitions provided in Annex 1 <sup>1 5</sup> <sub>3</sub>)

Category of <u>arms</u> <sup>6</sup> [I-VIII]		Authorised or actual <u>exports</u> <sup>7</sup> <u>export</u>		Extent of <u>exports</u> <sup>8</sup> (choose one or both)		Final importing State <sup>9</sup>	State of origin (if not exporter) <sup>12</sup> <sub>0</sub>	<u>Remarks</u> <sup>13</sup>		
		Auth.	Act.	Number of items <sup>10</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer	
1		2	3	4	5	6	7	8	9	
I.	Battle tanks									
II.	Armoured combat vehicles									
III.	Large-calibre artillery systems									
IV.	Combat Aircraft	a) manned								
		b) unmanned								
V.	Attack helicopters	a) manned								
		b) unmanned								
VI.	Warships									
VII.	Missiles & missile launchers	a) Missiles etc								
		b) MANPADS								
<b>B. VIII. Small Arms and Light Weapons</b> <sup>1</sup> <sup>6</sup> <sub>4, 15</sub> <sup>7</sup>										
Small Arms (aggregated) <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"/>							

Category of <sup>arms</sup> [I-VIII]		Authorised or actual <sup>exports</sup> <sub>5</sub> <sup>export</sup> <sup>7</sup>		Extent of <sup>exports</sup> <sub>6</sub> <sup>exports</sup> <sup>8</sup> (choose one or both)		Final importing State <sup>9</sup>	State of origin (if not exporter) <sup>12</sup> <sub>0</sub>	<sup>Remark</sup> <sub>s</sub>	<sup>Remarks</sup> <sub>13</sub>
		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
6.	Others								
<b>Light Weapons (aggregated)</b> <sup>197</sup>		<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. <del>Voluntary</del> National Categories</b> <sup>1820</sup> (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>12</sup>

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

Reporting country :		Calendar Year :	Cutoff date <sup>23</sup> :
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<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"/>
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Category of arms [I-VIII] <sup>46</sup>	Authorised or actual imports <sup>57</sup>		Extent of imports <sup>68</sup> <small>(choose one or both)</small>		Exporting State <sup>9, 1</sup>	State of origin (if not exporter) <sup>12, 10</sup>	Remarks <sup>13</sup>	— <sup>44</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</b> <sup>142</sup> <del>Categories</del> (national definitions shall not cover less than the definitions provided in Annex 1) <sup>53</sup>								

I. Battle tanks

Category of arms [I-VIII] <sup>46</sup>			Authorised or actual imports <sup>57</sup>		Extent of imports (choose one or both) <sup>6,8</sup>		Exporting State <sup>9, 1</sup>	State of origin (if not exporter) <sup>4,12, 0</sup>	Remarks <sup>13</sup> <sup>11</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
II.	Armoured combat vehicles									
III.	Large-calibre artillery systems									
IV.	Combat aircraft	a) manned								
		b) unmanned								
V.	Attack helicopters	a) manned								
		b) unmanned								
VI.	Warships									
VII.	Missiles & missile launchers	a) Missiles etc								
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>						

### B. VIII. Small Arms and Light Weapons <sup>164, 157</sup>

Small Arms (aggregated) <sup>186</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"/>						
6.	Others		<input type="checkbox"/>	<input type="checkbox"/>						

Category of arms [I-VIII]	Authorised or actual imports <sup>57</sup>		Extent of imports (choose one or both)		Exporting State <sup>1</sup>	State of origin (if not exporter) <sup>112</sup>	Remarks <sup>13</sup>	
	Auth.	Act.	Number of items <sup>9</sup>	Value <sup>8,10</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>Light Weapons (aggregated)</b> <sup>127</sup>	<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. <del>Voluntary</del> National Categories</b> <sup>1820</sup> (please define in Annex 2)								
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						
	<input type="checkbox"/>	<input type="checkbox"/>						



## EXPLANATORY NOTES

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

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

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

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

## ANNEX 1

### UN Registry Definitions of Categories I-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.

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

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

## ANNEX 2

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

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

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

No	Description

## ANNEX 3 A

## NIL REPORT

Exports of Conventional 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.

This nil report on exports <a href="#">may be made publicly available<sup>5</sup></a> <del>is available only to States Parties</del>	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>	
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The Government of \_\_\_\_\_,

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

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

This nil report on imports <u>may be made publicly available</u> <sup>5</sup> <del>is available only to States Parties</del>	<input type="checkbox"/> 是	<input type="checkbox"/> 否
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**WGTR 联合主席 2021 年 4 月 28 日至 29 日会议报告的附件 C**  
**2021 年 9 月至 2022 年 8 月期间 WGTR 的擬議任務**

根据其职权范围和 ATT 议事规则第 42(2)条，工作组希望提出以下任务供 CSP7 审议，以便在 CSP7 和 CSP8 之间进一步开展工作。

1. WGTR 应继续就履行 ATT 条款中的报告义务以及常规武器国际贸易的透明度这一更广泛的问题进行交流。在其会议上，WGTR 至少应处理以下常设议程项目和下述经常性具体任务<sup>1</sup>：

- a. 履行报告义务的进展情况；
- b. 报告方面的挑战；
- c. 重大报告和透明度问题；
- d. 信息交流的组织手段；
- e. IT 平台：报告和透明度功能；以及
- f. WGTR 在 CSP8 和 CSP9 之间的任务。

2. 关于履行报告义务的进展情况，WGTR 在每次会议上都会审查报告的状态，重点关注相较于之前所更新的状态取得的进展。

3. 关于报告方面的挑战，WGTR 将至少：

- a. 鼓励未履行 ATT 报告义务的缔约国参与者分享其在及时而准确地提交初步和年度报告方面遇到的挑战；
- b. 监督自愿参加的实用双边和区域报告援助项目（点对点）的实施情况；
- c. 让参与者有机会提出和讨论其他手段，以支持缔约国应对其报告挑战；
- d. 鼓励参与者报告为执行 CSP4 通过的《报告外联策略》文件而采取的举措；
- e. 让参与者有机会讨论提交的变更建议或有关 CSP3 通过的年度报告义务“常见问题解答”式指导文件的其他问题和答案；以及
- f. 监测拟在 CSP7 上获批准的经更新初次报告模板的影响和作用（*这项任务可根据 CSP7 关于报告模板的相关决定进行调整*）。

4. 关于重大报告和透明度问题，WGTR 将至少：

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<sup>1</sup> 具体任务是指专门列入 CSP7 和 CSP8 期间讨论的 WGTR 任务的具体任务，而经常性任务是指系统地列入 WGTR 以前所有或大多数任务的任务。

- a. 让参与者有机会提出和讨论有关报告义务的重大问题，WGTR 的审议对于解决这类问题有帮助；
- b. 监督和协调该项目的后续工作，以促进世界海关组织（WCO）“协调制度”（HS）识别《条约》第 2 条第 1 款中所述的常规武器；
- c. 交流有关公开年度和初步报告的做法、挑战和限制；以及
- d. 交流有关汇总年度报告数据的做法、挑战和限制。

5. 关于交流信息的组织手段，WGTR 将至少：

- a. 让参与者有机会提出和讨论结构化的机制、过程或形式，促进开展《条约》所要求或鼓励的政策层级和业务层级的信息交流；
- b. 跟进在 CSP4 上通过的共享转用信息的三级方法的实施情况。

6. 关于IT 平台的报告和透明度功能，WGTR 至少应：

- a. 让参与者有机会上报有关 IT 平台的任何问题或不便之处；
- b. 让参与者有机会提出和讨论 IT 平台的改进意见，以提高透明度并促进履行《条约》规定的报告和信息交换义务，其中包括允许利用初步和年度报告中的信息来跟进这些报告的提议；
- c. 监督和评估 ATT 网站的在线报告功能和信息交流平台的使用情况；以及
- d. 讨论开发一项使年度报告中的信息可在可搜索的数据库中使用，允许查询和提取数据的功能。

7. 关于 **WGTR 在 CSP8 和 CSP9 之间的任务**，WGTR 将根据 ATT 透明度和报告工作的进展情况，审查上述常设议程项目和经常性任务的相关性，以期编写提案供 CSP8 审议。

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