



The Arms Trade Treaty Secretariat

# Voluntary Guidance On The Practice Of Annual Reporting





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# Preface

This voluntary guidance document concerns the following activity in the context of the project of the Arms Trade Treaty (ATT) Secretariat regarding capacity-building for ATT reporting, supported by the European Union (EU): <sup>1</sup>

Develop a voluntary guidance document for States Parties with possible measures for the organization of ATT reporting duties (as an elaboration of the currently available summary document with national-level measures to facilitate compliance with reporting).

The development of this voluntary guidance document is one of the activities intended to improve the fulfilment of the ATT reporting obligations by States Parties, including by increasing the rate of submission of ATT annual and initial reports. Concretely, these activities aim to strengthen States Parties' understanding of the ATT reporting obligations and their capacity to meet such obligations. The activities were proposed because at the time of the initiation of the project, the rate of reporting and quality of some reports submitted demonstrated that the ongoing efforts of ATT stakeholders and the ATT Secretariat to support compliance with ATT reporting were not sufficient. The ATT Secretariat believed that focused support and resources would enable it to roll out initiatives that could have a positive impact on the number and quality of ATT reports submitted. In that respect an upgrade of the currently available guidance material on reporting compliance was considered as possibly highly effective in view of the capacity challenges faced by those States Parties that are struggling to comply with the annual reporting obligation.

The other reporting capacity-building activities in this project are the following:

- promoting ATT reporting, packaging and disseminating existing guidance material/tools;
- organizing five (5) practical reporting workshops in targeted regions or subregions with low reporting rates, where feasible, in collaboration with interested States Parties and relevant regional and subregional organizations, as well as civil society;
- preparing training materials for regular online informative sessions for designated reporting contact points and interested stakeholders; and
- exploring coordination and cooperation opportunities with other international assistance providers and bodies of similar international, regional and subregional instruments.

<sup>1</sup> See Council Decision (CFSP) 2023/2296 of 23 October 2023 on Union support for activities of the Arms Trade Treaty Secretariat in support of the implementation of the Arms Trade Treaty, available at: [https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ%3AL\\_202302296](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ%3AL_202302296).





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# List Of Abbreviations

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- ATT: **Arms Trade Treaty**
- ATT-OP: **(European Union Partner-to-Partner) Arms Trade Treaty Outreach Programme**
- CSP: Conference of States Parties
- DIEF: **Diversion Information Exchange Forum**
- ECOWAS: **Economic Community of West African States**
- FAQ: Frequently Asked Questions
- NPC: **ATT National Point of Contact**
- SALW: Small Arms and Light Weapons
- UN PoA: **United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects**
- UNODA: **United Nations Office for Disarmament Affairs**
- UNROCA: **United Nations Register of Conventional Arms**
- UNSCAR: **United Nations Trust Facility Supporting Cooperation on Arms Regulation**
- VTF: **ATT Voluntary Trust Fund**
- WGETI: **ATT Working Group on Effective Treaty Implementation**
- WGTR: **ATT Working Group on Transparency and Reporting**





# Introduction

1. As noted on the cover page, this voluntary guidance document concerns the following activity in the context of the ATT Secretariat project to improve the fulfilment of the ATT reporting obligations through strengthening States Parties' understanding of these obligations and their capacity to meet such obligations:

Develop a voluntary guidance document for States Parties with possible measures for the organization of ATT reporting duties (as an elaboration of the currently available summary document with national-level measures to facilitate compliance with reporting).

2. The currently available summary document with national-level measures to facilitate compliance with reporting ("national measures document") concerns the non-binding document with generic advice on measures that could be taken at a national level to facilitate compliance with different international reporting obligations and commitments that was recommended to States Parties for consideration by the Third Conference of States Parties to the ATT (CSP).<sup>2</sup> This document was presented in the ATT Working Group on Transparency and Reporting (WGTR) to help States Parties meet the challenge of organizing their reporting work in such a way that their reporting obligations and commitments under different international and regional reporting instruments are fulfilled as effectively as possible.<sup>3</sup> The non-binding list of measures in this document consisted of elements from existing national practices, which did not represent an indivisible whole, but rather a menu of suggestions that could prove useful and relevant in a specific national setting.
3. This voluntary guidance document focuses on "creating a national procedures document" and broadens this measure to the establishment (or update) of a national reporting process, of which a "national procedures document" that encapsulates all aspects of the reporting process is the natural output.<sup>4</sup>
4. Before elaborating on this, **Chapter One** of this guidance document provides a basic outline of the three reports that are provided in Article 13 of the Treaty: the initial report, the report on effective measures to address diversion

<sup>2</sup> Annex B to the ATT Working Group on Transparency and Reporting Co-chairs' Draft Report to CSP3 ([ATT/CSP3.WGTR/2017/CHAIR/159/Conf.Rep](https://www.thearmstradetrety.org/working-group-on-transparency-and-reporting-wgtr.html)).

<sup>3</sup> For clarity, the WGTR is a subsidiary body of the ATT CSP, established to undertake tasks defined by the Conference in the general area indicated by its title. (<https://www.thearmstradetrety.org/working-group-on-transparency-and-reporting-wgtr.html>).

<sup>4</sup> The guidance document will consistently use this term "national procedures document", taken from the summary document, as well as the broader term "reporting process". To be clear, this is what in other contexts might be called a Standard Operating Procedure (SOP), or more colloquially, a playbook or manual.

and the annual report. The Chapter also explains why the subsequent focus of the guidance document is on the annual report, and a practical approach to the other reports is not explored further. In the section on the annual report, a number of topics are also addressed in thematic boxes:

- **Box 1.** (Guidance on) substantive issues regarding information to be reported (paragraphs **46-48**)
  - **Box 2.** National choices regarding all aspects of annual reporting (paragraphs **56-57**)
  - **Box 3.** What if the State has had no exports and/or imports (“nil reporting”)? (paragraphs **58-60**)
5. As indicated in detail below, **Chapter Two** deals with the establishment (or update) of a national reporting process and the creation of a national procedures document.
  6. The **first part of Chapter Two** addresses the rationale of establishing a national reporting process and outlines in detail the key elements of an effective and efficient process, to be considered and enshrined in the national procedures document. To determine these key elements, the guidance document builds and elaborates on the aspects listed in the summary document that could be included in a national procedures document. In that respect, the voluntary guidance document also includes questions which States Parties need to consider for each of these elements, as well as references to existing national practices. A number of topics are also addressed in thematic boxes:
    - **Box 4.** Reporting calendar and consolidated/integrated timeline (paragraph **67**)
    - **Box 5.** Decision-making on substantive issues and final endorsement of annual report (paragraphs **87-90**)
    - **Box 6.** Submission of annual reports and diplomatic missions (paragraphs **91-92**)
    - **Box 7.** The role of record-keeping in reporting (paragraphs **97-99**)
    - **Box 8.** Alignment of ATT and UNROCA annual reporting processes (paragraphs **105-109**)
  7. In the **second part of Chapter Two**, the guidance document subsequently focusses on putting the theory into practice and addresses the process of developing/updating a national reporting process and a national procedures document. This part lists a number of key points to consider and discusses the organization of one or more stakeholder workshops and the drafting of the national procedures document. It also contains thematic **Box 9**,



which addresses “Sensitization of political actors and other decision-makers on the rationale and benefits of reporting”. **Annexes A, B and C** operationalize the guidance in the possible measures section, by respectively providing a possible outline of the steps in an annual reporting process, a possible template for a national procedures document and a possible roadmap to establishing the national annual reporting process and creating the national procedures document.

8. The **third and last part of Chapter Two** addresses what in this guidance document are labelled “supporting measures to optimize the annual reporting process”. These supporting measures are also taken from the currently available summary document with national-level measures and are discussed in more detail and systematically linked to the key elements of the main measure, which is to establish/update a national annual reporting process. Throughout these parts, the voluntary guidance document highlights potential synergies that could be obtained with similar reporting obligations and commitments, indicating that this should be a point of attention for States Parties in each step of establishing their national annual reporting process and creating their national procedures document (or optimizing them).
9. **Chapter Three** addresses international assistance opportunities that could be useful in the context of compliance with the ATT reporting obligations. The Chapter describes the available opportunities within the ATT framework, as well external ones. It also provides concrete examples of international reporting assistance.
10. As there is a recommended format for the submission of annual reports, **Chapter Four** concludes the guidance document with basic instructions on how to use the voluntary **ATT Annual Reporting Template** that was developed in the WGTR and subsequently endorsed by the CSP2 and revised by the CSP7. The template itself is available in all UN languages on the Reporting Requirements page of the ATT website (<https://www.thearmstradetreaty.org/reporting.html>) and is also integrated in the ATT online reporting tool. For convenience it is also included in this guidance document as **Annex D**.
11. It is noted that the sections in this voluntary guidance document that focus on annual reporting should be read alongside two other voluntary instruments that were developed within the ATT process to facilitate States Parties’ annual reporting obligation. The first concerns the voluntary **ATT Annual Reporting Template** just mentioned. The second concerns the voluntary guidance document “Reporting Authorized or Actual Exports and Imports of Conventional Arms: Questions & Answers”. This voluntary “FAQ”-type guidance document on the annual reporting obligation (“**FAQ-document on annual reporting**”) was endorsed by the CSP3 as an informative and open-ended reference document for States Parties when

preparing their mandatory annual report. It includes 46 questions and answers about all substantive aspects of the annual reporting obligation, as well as the procedural aspects. Amendments to the document were subsequently endorsed by the CSP5 and the CSP8. This document is also available on the Reporting Requirements page of the ATT website (<https://www.thearmstradetreaty.org/reporting.html>). It is further noted that outside the ATT process, guidance documents and training materials concerning ATT reporting have also been developed. Those that have been considered in drafting this voluntary guidance document are listed in [Annex E](#).



# Chapter 1 – ATT Reporting

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## Article 13 – Reporting

1. Each State Party shall, within the first year after entry into force of this Treaty for that State Party, in accordance with Article 22, provide an initial report to the Secretariat of measures undertaken in order to implement this Treaty, including national laws, national control lists and other regulations and administrative measures. Each State Party shall report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate. Reports shall be made available, and distributed to States Parties by the Secretariat.
  2. States Parties are encouraged to report to other States Parties, through the Secretariat, information on measures taken that have been proven effective in addressing the diversion of transferred conventional arms covered under Article 2 (1).
  3. Each State Party shall submit annually to the Secretariat by 31 May a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2 (1). Reports shall be made available, and distributed to States Parties by the Secretariat. The report submitted to the Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the United Nations Register of Conventional Arms. Reports may exclude commercially sensitive or national security information.
12. Article 13 of the Treaty foresees the submission of three different types of reports to the ATT Secretariat, two that are mandatory and one that is encouraged:
- Implementation: States Parties are **required** to submit an initial report on treaty implementation and to update that report to include any new measures undertaken to implement the Treaty, when appropriate.
  - Diversion: States Parties are **encouraged** to report on measures taken that have proven effective in addressing the diversion of transferred conventional arms covered under Article 2 (1).
  - Transfers: States Parties are **required** to submit an annual report by 31 May every year on exports and imports of conventional arms covered under Article 2 (1) undertaken in the previous calendar year.

13. The "**initial report**", the "**report on effective measures to address diversion**" and the "**annual report**" are unpacked in detail below. The outline of the initial and annual reporting obligations will follow the same structure and address the following aspects:
- nature and the rationale of the report;
  - scope of the report;
  - information to be reported;
  - form of the report;
  - reporting deadline procedures and formalities for submission; and
  - publication and availability of the report.

The encouraged report on effective measures to address diversion is a report of a different nature and therefore its explanation has a simple narrative structure.

14. The initial and diversion reports are not addressed further in subsequent chapters. As they do not involve the systematic collecting, processing and submitting of information every year, they do not necessarily require the establishment of a dedicated national reporting process and the development of a national procedures document. The drafting of these reports should nevertheless be carefully considered. States Parties should take measures to ensure that they are comprehensive and useful. As the nature of these reports is more ad hoc, the measures themselves can also be more ad hoc. For the purposes of the initial report, States Parties could equally benefit from:
- sensitization of decision-makers;
  - conducting a baseline assessment of the current state of laws, regulations, structures and practices governing transfers of conventional arms in the State; and/or
  - organizing one or more stakeholder workshops to discuss, prepare or discuss the initial report (see respectively paragraphs **115-116**, **120-121** and **125-127** on such actions in the context of the annual report); and/or
  - international assistance to support the preparation of the initial report (see paragraphs **144-145**).



## Initial report

### Nature and rationale of the obligation

15. As with the annual report, providing an initial report is a legally binding requirement as Article 13 (1) uses the word “shall”. Both reporting obligations also partially share their rationale and benefits. The initial report builds confidence among States Parties, specifically by producing an indication of how States Parties interpret and implement the Treaty’s obligations and by providing States Parties with the opportunity to share good practices which can be used by other States (or as a basis for discussions in the ATT Working Groups). The process of developing an initial report also provides an opportunity for States Parties to assess where they stand in their implementation of the Treaty and to identify gaps they may need to address (see also paragraph 14). It offers an opportunity for States Parties to indicate their offer or need for international assistance to implement the Treaty, as provided for in Article 16 of the Treaty (see further paragraphs 18 and 144 et seq.). Updates to the initial report can demonstrate progress made in addressing implementation gaps and can also provide the opportunity to share good practices.

### Scope and information to be reported

16. Article 13 (1) of the Treaty requires States Parties to provide an initial report on “measures undertaken in order to implement this Treaty, including national laws, national control lists and other regulations and administrative measures”. After the submission of their initial report, State Parties are also required to report on “any new measures undertaken in order to implement this Treaty, when appropriate”.
17. The Treaty does not expressly list the information that States Parties need to include in their initial report; it is therefore at States Parties’ discretion to determine what constitutes “measures undertaken to implement the Treaty” and what information should be included. As the initial report needs to cover the entirety of the Treaty, States Parties should nevertheless address all the topics that are dealt with in the Treaty. This is reflected as such in the voluntary [ATT Initial Reporting Template](#) (see paragraph 20). This template gives States the opportunity to provide information on measures taken to implement the following topics dealt with in the Treaty:
  1. National Control System and List (Article 5)
  2. Prohibitions (Article 6)

3. Exports (Article 7)
  4. Imports (Article 8)
  5. Transit and Trans-shipment (Article 9)
  6. Brokering (Article 10)
  7. Diversion (Article 11)
  8. Record Keeping (Article 12)
  9. Reporting (Article 13)
  10. Enforcement (Article 14)
  11. International Cooperation (Article 15)
  12. International Assistance (Article 16)
  13. Dispute Settlement (Article 19)
18. Note that the **ATT Initial Reporting Template** provides the opportunity for States Parties to indicate whether they are in a position to provide international assistance to other States Parties with any of these topics, or whether they would like to receive such assistance. This section follows Article 16 of the Treaty, which stipulates that each State Party may seek assistance in implementing the Treaty, including legal or legislative assistance, institutional capacity-building, and technical, material or financial assistance. It also requires State Parties in a position to do so to provide such assistance, upon request; and mandates all States Parties to request, offer or receive assistance through, inter alia, the United Nations, international, regional, subregional or national organizations, non-governmental organizations, or on a bilateral basis.
19. When reporting “new measures”, these should be understood as additions or changes to the measures that were described in the initial report regarding one or more of these topics.

## Form of the initial report and updates to the initial report

20. The Treaty itself does not prescribe a standardized initial reporting form or reporting template. However, an **ATT Initial Reporting Template** was developed in the WGTR and subsequently endorsed and recommended for use by the CSP2 and revised by the CSP7. This template is available in all UN languages, in Word and PDF format, on the Reporting Requirements page of the ATT website (<https://www.thearmstradetreaty.org/reporting.html>). It is also available in the form of an online reporting tool in the Restricted

Area of the ATT website, which can be used by delegates of States Parties who have registered for that purpose. While most States Parties opted to use this template for their initial report, its use is nevertheless at the discretion of each State Party.

21. States Parties are also free to choose the form they use to report new measures to the ATT Secretariat. To facilitate this, States Parties can use the [ATT Initial Reporting Template](#), indicating that their “update” submission only contains information not contained in a previously submitted initial report. This then comes with the request to highlight or track the changes made to the relevant section(s) or provide a brief summary of the updates in a dedicated annex.

## Initial reporting deadline, procedures and formalities

22. The Treaty stipulates that each State Party must submit its initial report to the ATT Secretariat within the first year after entry into force of the Treaty for that State Party. In accordance with the relevant Article 22 of the Treaty, the Treaty entered into force on 24 December 2014, ninety days following the date of the deposit of the fiftieth instrument of ratification, acceptance or approval with the Depositary. For each State that ratified the Treaty before this date, the deadline for submission of its initial report therefore was 23 December 2015. For a State that ratified, accepted, approved or acceded to the Treaty after 24 December 2014, the Treaty enters into force for that State ninety days following the date of deposit of its instrument of ratification, acceptance, approval or accession. The deadline for submission of such State’s initial report is then twelve months after the date of entry into force for that State.
23. There is no deadline or timeframe for reporting “new measures” to the ATT Secretariat. The Treaty simply stipulates that States Parties should report on new measures undertaken when appropriate and relies on States Parties’ discretion as to when this is. States Parties are not limited to submitting only one updated report. States Parties should update their initial report as often as new measures warrant.
24. Concerning the procedure and formalities for submitting initial reports to the ATT Secretariat, States Parties can deliver their initial reports to the Secretariat in one of four ways:
  1. via the online reporting tool in the Restricted Area of the ATT website;
  2. via an email to [info@thearmstradetreaty.org](mailto:info@thearmstradetreaty.org);
  3. via post or courier; or
  4. by hand-delivery to the ATT Secretariat offices.



These delivery options are the same as those for annual reports. Note that the further guidance described in paragraph 52 regarding annual reports is also applicable to the submission of the initial report.

## Publication and availability

25. The Treaty simply provides that initial reports shall be made available, and distributed to States Parties by the Secretariat. While there is no specific guidance on what this implies in practice for initial reports, in analogy to the guidance regarding annual reports below (see paragraph 53), this is understood to mean that States Parties must decide on the degree of availability of their initial report, thereby taking into account the Treaty's purpose in Article 1 of promoting transparency and carefully considering the balance between legitimate concerns regarding public availability and the public interest of transparency. Depending on the States Parties' choice, initial reports are published on the [public part of the ATT website](#) or in its Restricted Area (where they can only be consulted by registered delegates of other States Parties).

## Report on effective measures to address diversion

26. Under Article 13 (2) of the Treaty, States Parties are encouraged, but not required, to report to other States Parties, through the Secretariat, on measures taken that have proven effective in addressing the diversion of transferred conventional arms covered under Article 2 (1).<sup>5</sup>
27. The provision in Article 13 (2) corresponds to the provision in Article 11 (6), except that it encourages States Parties to report on measures taken that have proven effective in addressing diversion, whereas Article 11 (6) encourages them to report on measures taken in addressing diversion (regardless of whether they have been effective).
28. Article 13 (2) does not specify what measures States Parties might report on, and States have the discretion to determine what constitutes measures taken to (effectively) address diversion. Article 11 gives some examples of diversion measures that States could report on, noting in paragraph 4 that "appropriate measures" to address detected diversion could include "alerting potentially affected States Parties, examining diverted shipments of such conventional arms covered under Article 2 (1), and taking follow-up measures through

<sup>5</sup> While Article 13 (2) itself only refers to conventional arms covered under Article 2 (1) and not to items covered under Article 3 (Ammunition/Munitions) and Article 4 (Parts and Components), Article 5 (3) encourages each State Party to apply the provisions of the Treaty to the broadest range of conventional arms. In that regard States Parties could also consider reporting on effective measures addressing diversion of transferred items covered under Article 3 (Ammunition/Munitions) and Article 4 (Parts and Components). The same applies to the requirements and encouragements in the relevant Article 11 (Diversion) and Article 15 (International Cooperation).

investigation and law enforcement". Furthermore, paragraph 5 encourages States Parties to share relevant information with one another on effective measures to address diversion, noting that such information could include "information on illicit activities including corruption, international trafficking routes, illicit brokers, sources of illicit supply, methods of concealment, common points of dispatch, or destinations used by organized groups engaged in diversion."

29. Article 13 (2) encourages States Parties to exchange information and share best practices on how to prevent and address diversion. Since they are only "encouraged" and not required to submit reports on diversion measures that have proven effective, States Parties will not be in violation of the Treaty if they do not report on such measures (whereas they are in violation of the Treaty if they fail to submit their initial and/or annual reports in accordance with Articles 13 (1) and 13 (3)).
30. In practice, States Parties have not submitted formal, written reports to the ATT Secretariat on measures taken that have proven effective in addressing diversion. However, in the context of the Working Group on Effective Treaty Implementation (WGETI), they have exchanged information on diversion, which has formed the basis for several guidance documents about diversion that are available in the Tools and Guidelines section of the ATT website (<https://www.thearmstradetreaty.org/tools-and-guidelines.html>).<sup>6</sup> Furthermore, the CSP6 established the Diversion Information Exchange Forum (DIEF) as a "sui generis" body for informal voluntary exchanges between States Parties and signatory States concerning concrete cases of detected or suspected diversion and for sharing concrete, operational diversion-related information.<sup>7</sup> This is a form of "reporting" under Article 13 (2), though it is perhaps not what was originally envisaged when the Article was drafted.

<sup>6</sup> The WGETI is a subsidiary body of the ATT CSP, established to serve as an ATT continuous platform to: a) exchange information and challenges on the practical implementation of the Treaty at the national level; b) address, in detail, specific issues set by the CSP as priority areas (topics) to take Treaty implementation forward; and c) identify Treaty implementation priority areas for endorsement by the CSP to be used in Treaty implementation support decisions, e.g., ATT Voluntary Trust Fund (<https://www.thearmstradetreaty.org/working-group-on-effective-treaty-implementation-wgeti.html>).

<sup>7</sup> See <https://www.thearmstradetreaty.org/diversion-information-exchange-forum.html?templateId=1386528>.

## Annual report

As indicated in paragraph 13, the outline below addresses the following aspects of the annual report: nature and rationale; scope; information to be reported; form; deadline, procedures and formalities; and publication and availability. In its description of these aspects, the outline includes the following thematic boxes:

- **Box 1.** (Guidance on) substantive issues regarding information to be reported (paragraphs 46-48)
- **Box 2.** National choices regarding all aspects of annual reporting (paragraphs 56-57)
- **Box 3.** What if the State has had no exports and/or imports ("nil reporting")? (paragraphs 58-60)

## Nature and rationale of the obligation

31. While ATT provisions, including those on reporting, are a mix of obligations and encouragements, the annual reporting obligation in Article 13 (3) is a legally binding requirement. This means that when a State Party does not submit one or more annual reports, it is non-compliant and in violation of its obligations under the Treaty.
32. It is important for all States Parties to understand that transparency is one of the main purposes of the ATT. Article 1 of the Treaty states that the object of the Treaty is to establish the highest possible common international standards for regulating the international arms trade, including on reporting, for the purpose of, inter alia, promoting transparency by States Parties in the international arms trade, thereby building confidence among States Parties. As transparency is a cardinal purpose of the Treaty, States Parties' reporting practices are a reflection of their commitment to the Treaty, and they always need to keep this purpose in consideration when making decisions about their reporting practices.
33. Transparency, including through reporting, is a key purpose of the Treaty for good reasons:
  - First, as indicated, it contributes to confidence-building among States Parties.
  - Second, it allows monitoring of States Parties' implementation of the Treaty and their compliance with its obligations.

- Third, it provides States Parties with the opportunity to demonstrate responsible regulation of international arms transfers and share good practices (regarding their national control system and their transfers).

34. Annual reporting can also:

- enhance awareness of regional and global arms flows, thereby providing a basis for bilateral or multilateral consultation on transfers of potential concern and contributing towards early warning for potential conflicts and conflict prevention; and
- provide information for the transfer risk assessments which (potential) trading partners systematically conduct, inter alia, assessing the reliability of their arms recipients (in accordance with Articles 6, 7 and 11 of the Treaty). This is an important incentive for reporting compliance. Trading partners might take into consideration not only whether the recipient States of their arms participate in the ATT (and similar international instruments) and correctly implement the Treaty in terms of import control and diversion prevention, but also whether they report transparently about their exports and imports. Domestically, reporting about transfers also fosters inter-agency cooperation and ensures accountability regarding the State's transfer decisions.

## Scope (transfers and arms)<sup>8</sup>

35. Article 13 (3) of the Treaty requires States Parties to submit annually a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2 (1). The reporting obligation therefore does not extend to the other types of transfers that are listed in Article 2 (2), i.e., transit, trans-shipment and brokering. Exports and imports need to be reported, regardless of whether the respective recipient and supplier States themselves are States Parties. States Parties can choose to report either authorized exports and imports or actual exports and imports (or both).
36. The Treaty does not include a definition of “**export**” or “**import**” and does not establish what types of exports and imports are covered. The voluntary guidance under question 5 of the [FAQ-document on annual reporting](#) does refer to the practice under the United Nations Register of Conventional Arms (UNROCA), in which there is an understanding that “international arms transfers involve, in addition to the physical movement of equipment into or from national territory, the transfer of title to and control over the equipment”. This approach is also reflected in the [ATT Annual Reporting Template](#).

<sup>8</sup> While the most relevant questions and answers about the scope of the annual reporting obligation are mentioned or integrated into the text of this section, note that the complete guidance on scope in the [FAQ-document on annual reporting](#) comprises questions 4 to 21 in addition to the basic question 1.

At the same time, the guidance emphasizes the flexibility of States Parties and the opportunity to make national choices, for example, to apply their general definitions of exports and imports in accordance with their customs legislation. The guidance under questions 6 to 8 further deals with the handling of specific transactions such as gifts, loans, leases, temporary exports and imports, and exports and imports by private persons.

37. Nor does the Treaty elaborate on what constitutes “**authorized**” exports and imports, and “**actual**” exports and imports. On this topic, guidance is available under questions 9 and 10 of the [FAQ-document on annual reporting](#), indicating that “authorized exports and imports imply that (the competent authorities of) the State Party in question in some way permitted the export or import to take place” and that “actual exports and imports are those that have effectively taken place”. Question 11 clarifies that States Parties can choose to report either authorized exports and imports, or actual exports and imports, or both.
38. The Treaty does define to a certain extent what are to be considered “**conventional arms covered under Article 2 (1)**”. Article 2 (1) lists the specific categories and Article 5 (3) provides the minimum which national definitions of these categories need to cover. For categories (a) to (g) this minimum concerns the descriptions used in the UNROCA at the time of entry into force of the Treaty, i.e., on 24 December 2014. For category (h), the minimum concerns the descriptions used in relevant UN instruments at the same time. The relevant descriptions for categories (a) to (g) are included in Annex 1 of the [ATT Annual Reporting Template](#) and those for category (h) in Annex 3 of the [FAQ-document on annual reporting](#). The latter document also provides some limited guidance on which conventional arms should be included in which category, including a non-exhaustive list of sources concerning their definitions and categorization in Annex 2. This aspect is often overlooked but is important in order to know which transfers to report and how (see further paragraph [141](#) on the provision of training).
39. Article 5 (3) also encourages States Parties to apply the provisions of the Treaty to the “**broadest range of conventional arms**”, hence beyond the categories covered under Article 2 (1) and beyond the minimum definitions for the categories that are covered. In other words, the Treaty encourages States Parties to apply its obligations to additional (national) categories of arms and/or to have broader definitions of the categories in Article 2 (1) than the minimum required. This encouragement also applies to the annual reporting obligation, and this is why the voluntary [ATT Annual Reporting Template](#) provides space to report on exports and imports of additional categories. States Parties could, for example, decide to report on exports and imports of all the conventional arms and items included in their national control list.

40. This topic is also addressed in detail under questions 12 to 21 of the [FAQ-document on annual reporting](#). This guidance clarifies the scope of the categories covered under Article 2 (1) and indicates that in light of the encouragement to report on the broadest range of conventional arms, States Parties could also consider including information items covered under Article 3 (Ammunition/Munitions) and Article 4 (Parts and Components). The questions further deal with specific issues, such as the handling of exports and imports of small arms that are made or modified to civilian specification, second-hand arms and surplus arms.

## Information to be reported<sup>9</sup>

41. The Treaty does not expressly list the information that States Parties need to include in their annual report, it only stipulates that the annual report “may contain the same information submitted [...] to relevant United Nations frameworks, including the United Nations Register of Conventional Arms”.
42. The voluntary [ATT Annual Reporting Template](#) enumerates the information that should be included as a minimum, according to a common understanding among States Parties. This minimum includes:
- whether the State Party in question is reporting authorised or actual exports and imports;
  - the number of items and/or the financial value of the exported and imported conventional arms; and
  - the final importing or exporting States of the conventional arms.

This minimum is further explained in question 1 and questions 22 and 23 of the [FAQ-document on annual reporting](#), while question 24 elaborates on the metric to be used (number of items or financial value). The latter is important because the choice between number of items and financial value in the template differs from the practice under the UNROCA, which only allows for the number of items as a metric. Question 32 also includes a comparison between the information in the UNROCA standardized reporting form and the [ATT Annual Reporting Template](#), indicating the differences between the respective forms (see also paragraphs [105-109](#)).

43. States Parties can obviously also report more information about their exports and imports than this commonly understood minimum, embracing the transparency purpose of the Treaty. In that respect, the [ATT Annual Reporting Template](#) provides space for States Parties to include additional information under the header “Remarks” and its sub-headings “Description of Item” and “Comments on transfer”. Questions 25 to 28 of the [FAQ-document on annual reporting](#)

<sup>9</sup> The complete guidance on information to be reported in the [FAQ-document on annual reporting](#) comprises questions 22 to 33 in addition to basic question 1.

provide some examples of such additional information, including details on the designation, model or type of the arms; details on the nature of consignees and end-users of the arms; and the nature of the exports and imports.

44. In the guidance on the information to be reported, the link is also emphasized between the annual reporting obligation in Article 13 (3) and the provisions on record-keeping in Article 12 of the Treaty. Article 12 requires States Parties to maintain national records of its issuance of export authorizations or its actual exports and encourages them to do so for imports. Concerning the information to include in such records, Article 12 encourages States Parties to include much of the information mentioned above, emphasizing its importance. As record-keeping is intrinsically linked with the information sources that States Parties use to collect the data for their annual reports, this topic is further explored in paragraphs 97-99.
45. Article 13 (3) of the Treaty allows States Parties to exclude commercially sensitive and national security information from their annual reports. Because the Treaty text does not provide any further guidance on this possible exclusion, this topic is also addressed in the [FAQ-document on annual reporting](#) (see box 1 below).

### Box 1. (Guidance on) substantive issues regarding information to be reported

46. As States Parties regularly deal with substantive issues regarding the information to be reported, the relevant section of the [FAQ-document on annual reporting](#) addresses some important questions on this subject. These include the often-raised issues of breakdown or disaggregation of information and the exclusion of commercially sensitive or national security information from the report. These issues are respectively dealt with in question 23 and questions 29 to 31 of the [FAQ-document on annual reporting](#).
47. Because of the impact on transparency, the guidance under these questions generally encourages States Parties to be mindful of the transparency purpose of the Treaty when making decisions on issues like these. In that respect, while this guidance is voluntary, its careful consideration is fundamental when States conduct deliberations on substantive issues like these (for more on this, see paragraphs 56-57).
48. Concretely, the guidance on the breakdown of relevant data per country strongly encourages States Parties to do so, in reference to the UNROCA practice on this point (see paragraph 177 about how to do this [in the ATT Annual Reporting Template](#)). The guidance on the exclusion of commercially sensitive or national security information acknowledges that it is at the

discretion of States Parties to determine whether certain information is commercially sensitive or may affect national security, while also indicating explicitly that blanket omissions would not seem appropriate. To avoid unnecessary questions regarding discrepancies between national reports, the guidance also asks States Parties to indicate voluntarily whether any commercially sensitive and/or national security information has been withheld from their report and, if so, to consider providing more information on this (see paragraph 169 about the relevant box in the [ATT Annual Reporting Template](#)).

## Form of the annual report<sup>10</sup>

49. The Treaty itself does not prescribe a standardized reporting form or reporting template, which means that States Parties may submit their annual reports in the format they choose, including a national format. The above reference to the use of UNROCA information for the ATT annual report implies nevertheless that States Parties can use their submission to the UNROCA to comply with the ATT annual reporting obligation. Question 36 of the [FAQ-document on annual reporting](#) emphasizes that States Parties using their UNROCA submission should make sure that its content complies with the annual reporting obligation of the Treaty (see paragraphs 105-109, which compare the two instruments).
50. As mentioned in paragraph 10, States Parties also endorsed and recommended an ATT-specific voluntary reporting template that States Parties can use for their annual report. This [ATT Annual Reporting Template](#) built on the UNROCA standardized reporting form. Like the Initial Reporting Template, this template is available in all UN languages, in Word and PDF format, on the Reporting Requirements page of the ATT website (<https://www.thearmstradetreaty.org/reporting.html>). It is also available in the form of an online reporting tool in the Restricted Area of the ATT website, which can be used by delegates of States Parties who have registered for that purpose. To facilitate the use of this template for State Party reporting, Chapter Four of this guidance document includes a section-by-section explanation of the template and indicates what reporters are expected or encouraged to fill out. The form of the report is further addressed more generally in question 2 and questions 34 to 36 of the [FAQ-document on annual reporting](#).

<sup>10</sup> The complete guidance on the form of the annual report in the [FAQ-document on annual reporting](#) comprises questions 34 to 36 in addition to basic question 2.



## Annual reporting deadline, procedures and formalities<sup>11</sup>

51. The Treaty provides that the annual report needs to be submitted to the ATT Secretariat by 31 May each year. The report should include information on the authorized or actual exports and imports during the previous calendar year. This is explained further under question 3 of the [FAQ-document on annual reporting](#).
52. Question 2 and questions 37 et seq. of the [FAQ-document on annual reporting](#) also address the procedure and formalities for submitting annual reports to the ATT Secretariat. These are the same as for annual reports. The four options that are available for States Parties to deliver the report to the Secretariat therefore are:
  - the online reporting tool in the Restricted Area of the ATT website;
  - an email to [info@thearmstradetreaty.org](mailto:info@thearmstradetreaty.org);
  - post or courier; and
  - hand-delivery to the ATT Secretariat offices.

Questions 37 et seq. include guidance on how the ATT Secretariat requests States Parties to report, which authority should submit the report to the ATT Secretariat, what happens to reports after submission and how inaccuracies or incompleteness can be rectified.

## Publication and availability<sup>12</sup>

53. The Treaty provides that annual reports shall be made available, and distributed to States Parties by the Secretariat. This is understood to mean that States Parties must decide on the degree of availability of their annual reports and whether this entails making them available to the public, as most States Parties have done in view of the Treaty's purpose in Article 1 of promoting transparency. States Parties using the [ATT Annual Reporting Template](#) will be able to indicate their choice in the template for each form separately. This means that States Parties can decide to make both their exports and imports forms publicly available, to restrict access to both to States Parties only, or to restrict access to one of the forms.

<sup>11</sup> The complete guidance on information to be reported in the [FAQ-document on annual reporting](#) comprises questions 34 to 44 in addition to basic questions 2 and 3.

<sup>12</sup> The complete guidance on information to be reported in the [FAQ-document on annual reporting](#) comprises questions 39 to 42.

54. Further guidance on this is available under questions 41 and 42 of the [FAQ-document on annual reporting](#). This includes guidance on the issue of possible pressure of suppliers or recipients of conventional arms not to include transfers in which they are involved in the State's ATT annual report. The guidance under question 42 clarifies in that regard that a State Party does not need the consent of the importing or exporting States to report its exports and imports, nor to make this information publicly available.<sup>13</sup>

It should nonetheless be noted that contact between exporting States Parties and their recipients or between importing States Parties and their suppliers can be useful. Communication before or after the submission of the annual report could, for example, avoid or clear up discrepancies in reporting. If it concerns States Parties using the [ATT Annual Reporting Template](#), such contact is facilitated through the request to provide the National Point of Contact for the Report (see paragraph 160).

55. Depending on the States Parties' choice regarding availability, annual reports are published on the public part of the ATT website (<https://www.thearmstradetreaty.org/annual-reports.html?templateId=209826>) or in its Restricted Area only, where they can only be consulted by registered delegates of other States Parties.<sup>14</sup> In the case of the latter, a notice is nevertheless published on the public part of the website, indicating that the State Party's annual report in question was submitted with the preference that the report be posted only on the Restricted Area of the website.

<sup>13</sup> Regarding this issue, it is also noted that in general a State Party's international legal obligation under the Treaty to report exports and imports is not conditional on the consent of the importing and exporting States and takes precedence over contractual arrangements.

<sup>14</sup> Information on how delegates of States Parties can obtain access to the Restricted Area of the ATT website is available on the website itself (<https://www.thearmstradetreaty.org/registration-to-portal.html>) or can be obtained from the ATT Secretariat by emailing: [info@thearmstradetreaty.org](mailto:info@thearmstradetreaty.org).

## Box 2. National choices regarding all aspects of annual reporting

56. The outline above demonstrates that for all these aspects of the annual reporting obligation, the Treaty provides flexibility to States Parties and the opportunity to make national choices, allowing them to adapt their reporting to their national situation and capacity. It is of vital importance that when States take measures to organize their ATT reporting, they apply this flexibility in a thoughtful manner, bearing in mind the cardinal purpose of transparency in Article 1 of the Treaty (see paragraph 32).
57. It is also important to note in that regard that for some of these aspects it is desirable for the State to make a one-off decision, while flexibility on other aspects should instead be considered annually when the annual report is prepared, relative to the national situation at that moment and the specific exports and imports that are reported on. The former applies, for example, to the choice to report either authorized exports and imports or actual exports and imports (or both), as stability on that aspect is important for consistency and continuity reasons. The latter applies especially to the aspect of exclusion of information due to commercial sensitivity or national security implications and the aspect of public availability, as these require balancing legitimate concerns and the public interest of transparency (see questions 31 and 41 of the [FAQ-document on annual reporting](#)). This balance could differ from year to year. States could nevertheless consider more generally in which instances they would exclude information because of commercial sensitivity or national security concerns and whether making their reports publicly available is feasible.

### Box 3. What if the State has had no exports and/or imports ("nil reporting")?

58. The outline above presupposes the situation that the State has had at least one export and/or import of one of the categories of conventional arms in Article 2 (1) in the preceding year and therefore needs to provide information about this. This may not be the case for every State Party. Some States Parties might not have had any authorized or actual exports in a given year and/or any authorized or actual imports. It needs to be emphasised that this situation does not absolve the State from its reporting obligation; the State still needs to report to the ATT Secretariat that it has had no exports and imports in the preceding calendar year. This requires the double confirmation that no actual exports and/or imports have taken place in the preceding calendar year and that no export and/or import authorizations have been issued in the preceding calendar year. As indicated under question 33 of the [FAQ-document on annual reporting](#), "‘nil reporting’ is important, because it enables States Parties to demonstrate their compliance with the Treaty’s annual reporting obligation even if they have no transfers to report in a given year".
59. To facilitate nil reporting, the voluntary [ATT Annual Reporting Template](#) includes two separate nil reporting forms. Annex 3A contains a form to submit a nil report on exports of conventional arms and Annex 3B for imports. Paragraphs [182-185](#) below include guidance on how to use these forms. As these are voluntary templates, States Parties can also opt to submit their nil reports by means of a national form.
60. Note that nil reporting is only applicable when a State has not had any authorized or actual exports and/or any authorized or actual imports of the categories of conventional arms in Article 2 (1) for a given year. If States Parties do not have any exports and/or imports to report in only certain categories of conventional arms, the guidance under question 33 of the [FAQ-document on annual reporting](#) provides that they should indicate this by entering the word "nil" in the appropriate columns of their report (when using the [ATT Annual Reporting Template](#)).



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## Chapter 2 – Possible Measures For The Organization Of ATT Annual Reporting

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**Main measure: Establish/Update a national annual reporting process and create a national procedures document (or integrate the ATT annual reporting obligation)**

### Rationale

61. Establishing a national reporting process and enshrining that process in a comprehensive national procedures document by way of secondary legislation, or by other means appropriate to national administrative practices, could contribute to stability and continuity in national reporting work. It helps governments produce accurate reports within required deadlines, while at the same time economizing on the resources required for the task. An established process, set out in a national procedures document, could also support more effective collaboration between the different actors involved, and help governments avoid the efficiency losses that take place when experienced personnel familiar with reporting practices retire, are promoted, and/or are replaced by new staff.
62. In that respect, the value of a national process and document for compiling and submitting an ATT annual report is not limited to ensuring compliance with the annual reporting obligation under the ATT. It can also facilitate compliance with similar reporting obligations and commitments under other multilateral instruments and agreements. This concerns first and foremost the commitment of UN Member States to report annually about their exports and imports of conventional arms under the UNROCA, but it also applies to similar regional reporting obligations and commitments which States Parties might have (see examples in paragraph 110).
63. A national reporting process and procedures document bringing all its international reporting obligations and commitments of this kind together allows a State to maintain a clear overview of these and their specifics, identify overlapping information to be reported and organize the data collection, processing and transmission processes to comply with all their



similar reporting obligations and commitments in an efficient and effective manner. It is also for this reason that the national-level measures document, which the CSP3 recommended States Parties consider and which is the basis for this voluntary guidance, consists of measures “to facilitate compliance with different international reporting obligations and commitments”. Concrete guidance on the practice of aligning similar reporting processes is included below, under the specific element of establishing a coordinated collection process (paragraph 103 et seq.).

64. States Parties that already have an established national reporting process and a national procedures document to comply with similar reporting obligations and commitments will benefit from integrating their ATT annual reporting obligation into these. In doing so, those States need to take decisions on the elements of the ATT annual reporting obligation that are open to national choices, identify possible synergies with their similar reporting obligations and commitments, and assess whether their current structures and arrangements for reporting are fit for purpose for ATT reporting.
65. As indicated in paragraph 6, the guidance below builds and elaborates on the key elements of an effective and efficient national reporting process, enshrined in a national procedures document, which are listed in the currently available summary document with national-level measures to facilitate compliance. The following elements will hence be addressed:
  - **Element 1: A comprehensive overview of all similar international and regional reporting obligations and commitments and their respective deadlines and specificities;**
  - **Element 2: A clear outline of the substantive scope of the reporting obligation or commitment and the information to be reported, including national choices;**
  - **Element 3: Clear assignment of specific reporting tasks and responsibilities to specific authorities and positions: inter-agency cooperation;**
  - **Element 4: A clearly defined step-by-step collection process through which information is collected, reviewed, consolidated and processed by designated officers or entities and provided (periodically or on an ongoing basis) to the individuals or entities;**
  - **Element 5: A coordinated collection process that ensures that when the same information is needed for several different reports, it is collected only once; and**
  - **Element 6: Critical deadlines in the process of preparing reports and a system for providing alerts or reminders to relevant information providers.**

In its description of these elements, the guidance below includes the following thematic boxes:

- **Box 4.** Reporting calendar and consolidated/integrated timeline (paragraph **67**)
- **Box 5.** Decision-making on substantive issues and final endorsement of annual report (paragraphs **87-90**)
- **Box 6.** Submission of annual reports and diplomatic missions (paragraphs **91-92**)
- **Box 7.** The role of record-keeping in reporting (paragraphs **97-99**)
- **Box 8.** Alignment of ATT and UNROCA annual reporting processes (paragraphs **105-109**)

## Element 1: A comprehensive overview of all similar international and regional reporting obligations and commitments and their respective deadlines and specificities

66. One element (which is not specifically part of the national reporting process but is essential to allow the State to comply in a coordinated, effective and efficient manner) is to have a comprehensive overview of all its similar international and regional reporting obligations and commitments, including their respective deadlines and specificities. This overview could then be included in the State's national procedures document and used as a basis to identify and apply synergies in collecting, processing and consolidating information between the different reporting obligations and commitments.

### Box 4. Reporting calendar and consolidated/integrated timeline

67. Having an overview of the respective deadlines will also help in drawing up a reporting calendar and setting out a consolidated/integrated timeline for the different steps in the reporting process(es), with deadlines for all entities involved (see further paragraph **111 et seq.** about deadlines).



## Element 2: A clear outline of the substantive scope of the reporting obligation or commitment and the information to be reported, including national choices

68. An effective and efficient national reporting process requires a clear outline of the exact substantive scope of each reporting obligation or commitment, laying out the transfers and equipment that need to be reported on, and what exact information needs to be reported about those transfers.
69. For the ATT annual reporting obligation, reference was made above to the minimum scope and information States Parties need to report, but it was also emphasized that the Treaty allows flexibility and leaves room for national choices. To make reporting meaningful, it is therefore important that when States Parties are developing/updating their national reporting process and national procedures document, they carefully consider the elements where national choices are possible and reflect these choices unambiguously in their national procedures document (see paragraphs [56-57](#) for more on this). In doing so, they should also consider the scope and information of their other reporting obligations and commitments. To facilitate this, below is a list of relevant questions States Parties can consider for each aspect where national choices need to be made or can be made.

### National considerations regarding scope (transfers and arms)

70. Regarding the **types of exports and imports** and the conventional arms and related items which will be reported, relevant questions to be considered include the following:

- Which definition of export and import will be applied?
- Will only permanent exports and imports be reported, or temporary exports and imports as well?
- Will authorised or actual exports and imports be reported (or both)?
- Will UN definitions or national definitions be used for the compulsory categories of conventional arms?
- Will exports and imports of small arms for civilian purposes be included in the report?
- Will additional (national) categories of conventional arms or other items be reported?

71. When States Parties consider these questions, it is appropriate to take into account the above-mentioned guidance in the [FAQ-document on annual reporting](#) (paragraph 35 et seq.), as well as existing national practices. In any case, States should be aware that, at least for certain questions above, this is not a stand-alone decision. For example, the question of whether the State will report authorised or actual exports and imports (or both), is closely interlinked with the information sources that are available or can feasibly be developed. Following from this, the question is also interlinked with entities that will be involved in the reporting process. While the question about reporting additional categories of conventional arms or other items (for example, ammunition) is first and foremost a policy decision, whether the State will effectively be able to do so also depends on such elements. It is noted in that respect, the States Parties which effectively choose to report on additional categories of conventional arms will normally have those categories already included in their national control list(s) and/or report on those categories in the context of other reporting regimes (see examples in paragraph 110).

## National considerations regarding the information to be reported

72. Regarding the **information that will be reported** about these imports and exports, relevant questions to be considered include the following:

- Will the quantity (number of items) or the financial value of exports and imports be reported (or both)?
- Will the information about exports and imports be broken down per country?
- Will the information on small arms and light weapons (SALW) be disaggregated according to type?
- Will certain additional information be provided about (certain types of) exports and imports?
- Does certain information (or type of export/import) have commercial sensitivity or national security implications? If so, can this be reported in a manner that alleviates concerns? In which instances does it need to be excluded from the report?

73. Also on this topic, it is important to take into account the guidance in the [FAQ-document on annual reporting](#) (paragraphs [41-48](#)). This topic is also closely linked with other aspects that need to be considered, especially information sources (see paragraph [95](#)). Concerning decisions on the exclusion of information, see also paragraphs [46-48](#), [56-57](#) and [117-119](#), which address this topic in detail and highlight the transparency purpose of the Treaty, which States Parties need to take into account when making decisions about reporting, especially those that have an impact on transparency.

## National considerations regarding the form of the annual report

74. Regarding the **form in which the report will be submitted**, relevant questions to be considered include the following:

- Is it feasible to use the [ATT Annual Reporting Template](#) or the ATT Online Reporting Tool?
- Is a report submitted to the UNROCA?
- Is another reporting template in use (which complies with the ATT obligations on the annual report)?

75. The reference to the UNROCA in these questions indicates that this aspect is important for States Parties wanting to establish synergies with similar reporting obligations and commitments, such as the UNROCA. In that respect, States Parties could opt to use their submission to the UNROCA as their ATT annual report (see also paragraph [49](#) and question 36 of the [FAQ-document on annual reporting](#)). Conversely, States Parties could also opt to use their ATT annual report as their submission to the UNROCA. This is facilitated in the [ATT Annual Reporting Template](#), which includes a tick box through which States Parties can consent to the information in their report being used as a basis for their report to the UNROCA. If a State ticks this box, following submission of the report to the ATT Secretariat, the Secretariat will transmit a copy of the report to the UN Office for Disarmament Affairs (UNODA) to be used as that State's submission to UNROCA (see also paragraphs [105-109](#) and [162-163](#) on this, including the implications regarding public availability).

## National considerations regarding the availability of the annual report

76. Regarding the **availability of the annual report**, relevant questions to be considered include the following:

- Are exports and/or imports already reported publicly under other instruments, such as the UNROCA?
- Is the information about exports and/or imports already otherwise available in public sources?
- Do the possible concerns regarding public availability outweigh the public interest of transparency and the Treaty's purpose in Article 1 of promoting transparency?
- Can exports and/or imports be reported in a manner that alleviates public availability concerns?

77. On this topic the reference to UNROCA is also important, because unlike the ATT annual reporting, UNROCA does not allow reporting States to restrict the availability of their annual reports to other UN Member States. When considering the availability of their ATT annual reports, ATT States Parties reporting to UNROCA should therefore take into account that the information on their exports and imports will in any case be publicly available by default in the [UNROCA database](#) or the [relevant part of the UNODA website](#). Because of its important impact on transparency, this topic is further explored in paragraphs [53-57](#) and [105-109](#), among others.

## Element 3: Clear assignment of specific reporting tasks and responsibilities to specific authorities and positions: inter-agency cooperation

78. Providing an annual report that complies with the Treaty's annual reporting obligation and the national choices that have been made involves a series of tasks. The importance of clearly agreeing on who-does-what in the reporting process has been acknowledged in several other existing guidance documents that were developed within the ATT process. As well as the national measures document that formed the basis for this voluntary guidance document, the [FAQ-document on annual reporting](#) and the ATT National Points of Contact ("NPC") Guidance Document also address this.<sup>15</sup> This guidance is outlined

<sup>15</sup> The ATT National Points of Contact Guidance Document was developed by the ATT Secretariat as a voluntary, non-prescriptive and living document to help NPCs undertake their roles and responsibilities in accordance with Article 5 (6) of the Treaty. It is available in all UN languages in the National Points of Contact section of the ATT website: <https://www.thearmstradetreaty.org/national-points-of-contact.html>.

below, followed by the relevant questions to be considered. From the outset it needs to be clear that the entities to be involved in the reporting process and other aspects of that process are interlinked, including the information sources to be used and the procedures to be established. If a State Party wishes to use one or more specific sources for their annual report, one way or another, the holder of that information will need to be involved in the process.

79. In that respect, this element of assigning tasks and responsibilities needs to be considered in conjunction with the next element of defining the step-by-step reporting process. While the section on this element will address the relevant considerations for the possible steps in the reporting process (see paragraph [94 et seq.](#)), this section on assigning tasks and responsibilities will benefit from an overview of these possible steps. The graphic representation in [Annex A](#) lists the following possible steps that could be assigned to the ministries/agencies/departments and/or persons that are charged with reporting:
1. Initiate the annual reporting process.
  2. Collect the relevant information.
  3. Review the collected information.
  4. Consolidate the collected information.
  5. Decide on aggregation/availability/exclusion of information (if applicable).
  6. Finalize the information to be reported.
  7. Process the information to be reported into the reporting format.
  8. Final decision on report and transmission to submitter of the report.
  9. Submit the report to ATT Secretariat.
  10. (Address queries of the ATT Secretariat).

## ATT guidance on assigning tasks and responsibilities

80. Question 38 of the [FAQ-document on annual reporting](#) specifically deals with which authority should submit the report to the ATT Secretariat. The guidance indicates that the competent national authorities which States Parties should designate for compliance with Treaty obligations – in accordance with Article 5 (5) – “could include a specially designated authority” directly responsible for compliance with the annual reporting obligation. It continues that ideally, “the national point of contact responsible for reporting would also be the person who is registered as the person authorized by the State

Party to access the online reporting tool" and submit reports via the online platform on behalf of the State, and this person would hold that State's credentials for accessing the online reporting tool.

81. The **ATT NPC Guidance Document** provides a central role for the NPC in reporting and serving as the liaison on matters related to the State Party's reporting under the ATT:

Even if the NPC does not have responsibility for completing a State Party's ATT reports, the "NPC could help coordinate the preparation and submission" of a State Party's ATT reports to the ATT Secretariat, including "ensuring that the deadlines for submission are met." The NPC is expected to have knowledge of which State agencies and departments are responsible for preparing a State Party's ATT reports, and what the status of the preparation of reports is. If the ATT Secretariat has questions regarding the status of ATT reports or requires clarification regarding information included in reports that have been submitted by a State, the NPC is expected to "be in a position to respond to the ATT Secretariat's queries or direct the ATT Secretariat to the appropriate person or agency" to address the matter.

More on the role of the NPC in reporting is available in section 7.6 of the **NPC Guidance Document**.

82. Reporting is typically a task that requires cooperation/coordination between various ministries/agencies/departments. For the reporting process to be efficient, it is essential that the right structures and arrangements are in place, allowing this cooperation/coordination to run smoothly. This was also mentioned in the Voluntary Basic Guide to Establishing a National Control System, when addressing the role of record-keeping in reporting:

As noted above, it is likely that relevant records for reporting purposes will be maintained by different government ministries and agencies. Therefore, a division of competences and inter-ministry and/or inter-agency cooperation is necessary to gather all relevant data from national records in order to compile annual reports on authorised or actual arms exports and imports. "With regards to inter-agency cooperation to fulfil reporting requirements under the ATT, the central collection point for the relevant data should also be responsible for the preparation of the annual report".<sup>16</sup>

83. Inter-agency cooperation in reporting was also addressed in the ATT process as part of the CSP10 President's priority theme of The Role of Inter-agency Cooperation in the Effective Implementation of ATT Provisions.

<sup>16</sup> See "What is the role of record-keeping in reporting?" on page 19 of the Voluntary Basic Guide. This Guide was welcomed at CSP5 as Annex A of the WGETI Chair's Draft Report to CSP5 ([ATT/CSP5.WGETI/2019/CHAIR/529/Conf.Rep](https://www.wgeti.org/2019/CHAIR/529/Conf.Rep)) and is available in the Tools and Guidelines section of the ATT website: <https://www.thearmstradetreaty.org/tools-and-guidelines.html>.

During the brainstorming workshop on the topic, participants discussed national approaches for inter-agency cooperation:

It was noted that while some States have formal mechanisms in place to facilitate the exchange of reporting information, informal and ad hoc information exchanges can be an important – and more efficient – means of sharing data for inclusion in ATT reports. Information sharing processes do not have to be complex and could, for example, simply be a matter of sharing draft reports for approval through bilateral discussions.<sup>17</sup>

## Relevant questions for assigning tasks and responsibilities

84. Taking into account the above, relevant questions to be considered include the following:

- Which ministries/agencies/departments or inter-agency committees are currently charged with ATT reporting or similar international reporting duties (e.g., UNROCA)? Can synergies be obtained?
- Which ministries/agencies/departments handle relevant documents or databases (see paragraph 95 et seq. on “information sources”) and can be charged with collecting and providing the relevant information?
- Will one ministry/agency/department act as coordinator of the reporting process or will a specific inter-agency committee be established or charged? In the case of the latter, which ministries/agencies/departments need to be part of the committee? Which one will lead?
- Who will have decision-making authority on the (final) content of the report?
- Who will act as the reporting focal point for the ATT Secretariat?
- How will personnel changes be dealt with?

85. These questions are intended for States Parties to look at what structures and/or arrangements are already in place to deal with reporting (see paragraphs 120-121 on the value of conducting a baseline assessment when developing the reporting process). This is important, because this element is very much country-specific, closely linked to the particular national set-up of government and the broader national division of responsibilities over different government ministries, departments and agencies, in general and in terms of ATT implementation. When considering these questions, States Parties could nevertheless take guidance from existing national practices on this aspect.

<sup>17</sup> See UNIDIR, “The Role of Interagency Cooperation in the Effective Implementation of Arms Trade Treaty Provisions: Brainstorming Workshop Summary”, 2024, available at <https://unidir.org/publication/the-role-of-interagency-cooperation-in-the-effective-implementation-of-arms-trade-treaty-provisions-brainstorming-workshop-summary/>.



86. Looking at States Parties' initial and annual reports, ministries, departments or agencies that are commonly involved in the reporting process are the Ministry of Defence, the Ministry of Foreign Affairs, the Ministry of Economy, the transfer (or export) control agency, the customs authorities, the police and the small arms and light weapons coordination body.
- The **Ministry of Defence** is mentioned first because major conventional arms that are imported are mostly like for use by the State's armed forces. This means that there should always be an entity within the Ministry of Defence that keeps records of such imports or, at least, has relevant information about these imports, both authorized and actual. This could be, for example, the entity in charge of procurement or stockpile management. On the exports side, the Ministry of Defence might also be the most relevant actor to have information about the export of surplus conventional arms.
  - The **Ministry of Foreign Affairs** is often involved as a coordinator of the reporting process or in specific steps such as consolidating information, processing information into the reporting format or submitting the report to the ATT Secretariat. It often has this role because it is generally charged with the State's compliance with relevant international instruments or has been specifically designated as the State's NPC for the ATT or related instruments (see paragraphs [78-79](#), [81](#), [91-92](#) and [133-134](#) regarding NPCs).
  - The **Ministry of Economy** is sometimes involved in cases where it controls commercial exports and imports of conventional arms, for example, exports and imports by public or private defence industry actors. Through its licensing procedures, it would then retain information about authorized exports and imports. It might also retain information about actual exports and imports in cases where holders of export and import authorizations are required to keep records and report on the use of their export and import authorizations.
  - What applies to the Ministry of Economy also applies to the **transfer (or export) control agency**, in cases where States have opted to establish a dedicated agency to control the export and import of conventional arms, either as an independent entity, or as an entity within a ministry such as the Ministry of Defence, the Ministry of Foreign Affairs or the Ministry of Economy (with dedicated staff and/or representatives from different relevant authorities).

- As **customs authorities** are generally tasked with enforcing controls regarding cross-border movements of goods, they will often also have a role in monitoring exports and imports of conventional arms. In such cases, they will usually also retain information about actual exports and imports, for example, on the basis of customs declarations. Because of their operational role in monitoring exports and imports, customs authorities might also act as the transfer (or export) control agency, in charge of licensing, which emphasises its potential important role in the national reporting process.
- The **police**, in turn, might be relevant for two reasons. Firstly, the police might keep records of the conventional arms (mostly small arms and light weapons) it procures from abroad for its own use. This applies to all law enforcement entities that operate in the State. Secondly, the police might also have a role in controlling imports of firearms that are destined for private use and retain relevant information about these imports.
- The **small arms and light weapons coordination body** is an entity which all UN Member States undertook to establish or designate in the context of the UN Programme of Action (PoA) on SALW. This body, bringing together all SALW-relevant authorities in the State, is sometimes involved in the ATT reporting process as a coordinator or in specific steps, because it is a pre-existing body that is familiar with relevant international reporting obligations and commitments. If this body acts as the coordinator in the ATT reporting process, it should naturally expand its reach to the other categories of conventional arms that are in the scope of the ATT, or it should be supplemented with another entity coordinating reporting on those other categories.

## Box 5. Decision-making on substantive issues and final endorsement of annual report

87. The entities that have been addressed in paragraph 86 are those likely to be involved in tasks of a more administrative nature, such as collecting and consolidating the relevant information and processing it into the reporting format. The officials that have been designated to conduct these tasks will not necessarily make decisions on substantive issues or on the final content of the annual report. This might require the involvement of senior management or even political actors.
88. While paragraphs 115 et seq. below discuss the importance of involving such actors in the establishment of the annual reporting process and sensitizing them about ATT reporting, these types of actors could, or in some instances even should, have a role in the actual annual reporting process. In paragraph 102 this is mentioned regarding decisions on substantive issues such as public availability and exclusion of data because of commercial sensitivity or national security concerns. There it is indicated that in view of the transparency impact of such decisions, it is preferable that they be made by senior officials.
89. For some States Parties it will be natural that the decision-making authority on the final content of the report more generally lies with the senior management of the entities that are involved in the process, of the lead entity or of the dedicated inter-agency committee, if applicable. Some States Parties might even place this role at the political level, where the report as such, the relevant information and/or certain decisions on the report's content need to be endorsed by the responsible minister(s). In the same regard, some States Parties might provide that the ATT annual report can only be submitted after the report or relevant information from it is discussed in or endorsed by Parliament (or a dedicated parliamentary committee).
90. These are obviously determinations that each State Party can make, but it is important that in doing so, States Parties also factor in the implications of senior-level involvement in the reporting process, in terms of inter-agency arrangements, procedures and timelines. The involvement of senior officials and political actors in the actual reporting process also increases the importance of their sensitization (see paragraph 116).

## Box 6. Submission of annual reports and diplomatic missions

91. An entity which has not been mentioned in the list above is the State Party's permanent mission to the UN and other international organizations in Geneva, Switzerland, which is the seat of the ATT Secretariat. For a significant number of States Parties who do not submit their reports via the online reporting tool (see paragraphs 50 and 74-75), their permanent mission is charged with submitting the report to the ATT Secretariat (by e-mail), despite the mission not having any other role in the reporting process.
  92. It should be clear that while States Parties are free to decide on their submission procedure, it is not a requirement nor an expectation that the report is submitted by the mission. As indicated in paragraphs 80-81, it is helpful to the Secretariat that the person or entity submitting the report can also act as the focal point for possible queries in the report. That is also why the Treaty includes the requirement to designate NPCs and why the [NPC Guidance Document](#) indicates that the NPC could help coordinating the preparation and submission of the annual report. The ATT Secretariat considers the NPC as a reliable source from whom to receive reports, as an NPC needs to be designated via an official document such as a note verbale.
93. As indicated before, when considering the relevant authorities to be involved in the national reporting process, States also need to take into account aspects under the following element, as they are interlinked. While some of these aspects (e.g., the chosen information sources) might determine which entities are involved, States Parties should also keep in mind the feasibility of effective and efficient inter-agency arrangements and procedures, for which trust, sound agreement on the division of tasks and open communication are key factors.

## Element 4: A clearly defined step-by-step collection process through which information is collected, reviewed, consolidated and processed by designated officers or entities and provided (periodically or on an ongoing basis) to the individuals or entities responsible for preparing and submitting the national reports

94. Element 4 requires consideration of a number of aspects, which in turn interact with the previous element (deciding on which entities will be involved in the reporting process). Aspects to consider include the sources of information that will or can be used to collect the information to be reported and the procedures and timelines that need to be put in place to cover the different steps in the reporting process. These aspects are unpacked below on the basis of relevant questions to consider for each element. The role of record-keeping with regard to information sources is also explored.

### Information sources

95. Regarding **information sources**, relevant questions to be considered include the following:

- In which documents or databases is information about exports and imports currently recorded?
- From which of these documents or databases can the relevant information for the annual report be extracted and processed in an efficient manner?
- Which ministries/agencies/departments maintain these documents or databases?
- Do new requirements/processes for record-keeping about exports and imports need to be introduced to generate the relevant information? Do existing requirements/processes need to be updated?
- Does a new database for collecting and processing the relevant information need to be developed?

96. Below are some concrete examples of possible information sources for reporting purposes. The question of which sources to use or develop is very country-specific and, as indicated before, interacts with other key elements, such as the State's national choices in terms of the scope and the information to be reported. For example, sources for authorized exports and imports are, or can be, different from the sources for actual exports and imports. Also, the choices that States have made in regulating exports and imports can play a role:

- For example, the use of open licence types for exports might mean that export licences themselves lack the information that is necessary for reporting purposes, but that the records exporters are required to keep are a comprehensive source of information.
- The import-export profile of the State and its capacity can also be a determining factor. Especially when transfers are limited, it is often not necessary to develop a fully-fledged automated licensing and information collection system, and States will be able to rely more easily on simpler sources (see more on this in paragraph [135 et seq.](#) about repositories).
- A related factor is also the ease with which the relevant information can be extracted from the source in question and subsequently processed and consolidated. This has to do with the format of the source, but also the information itself. For example, in customs declarations and trade statistics, both mentioned below, exports and imports of conventional arms might not always be easy to identify, as they might be included in broader categories of goods.
- A determining factor to consider is also that the choice of which information sources to use or develop is naturally interlinked with the authorities that will play a role in the reporting process; every source has its "owner". Regardless of all these factors, States should always aim to identify possible synergies with information collection for similar reporting obligations and commitments.



Possible information sources for reporting purposes	
Authorized Exports	
<u>Source</u>	<u>Possible Information holder(s)</u>
Export authorizations	Export control agency or other entity/ entities in charge of export licensing
End-user documentation	
Records/databases with licensing data	
Actual Exports	
<u>Source</u>	<u>Possible Information holder(s)</u>
Customs reports/declarations	Customs authorities
Trade statistics	Ministry of Economy/Trade, Ministry of Finance
Delivery verification certificates	Export control agency or other entity/ entities in charge of export licensing
Records/databases of military aid, surplus equipment sales, or government-to-government transfers	Ministry of Defence
Records/reports from exporters	Export control agency or other entity/ entities in charge of export licensing
Authorized Imports	
<u>Source</u>	<u>Possible Information holder(s)</u>
Import authorizations	Import control agency or other entity/ entities in charge of import licensing
International Import Certificates	
End-user documentation	
Records/databases with licensing data	
Actual Imports	
<u>Source</u>	<u>Possible Information holder(s)</u>
Customs reports/declarations	Customs authorities
Trade statistics	Ministry of Economy/Trade, Ministry of Finance
Delivery verification certificates	Import control agency or other entity/ entities in charge of import licensing

Records/databases of procured arms	Ministry of Defence, Ministry of Interior, Ministry of Internal Security, national police
Records/databases of registered arms	Ministry of Interior, Ministry of Internal Security, national police
Records/reports from importers	Import control agency or other entity/entities in charge of import licensing

## Box 7. The role of record-keeping in reporting

97. The questions in paragraph 95 bring to light the role of record-keeping for the purpose of reporting. As previously mentioned in paragraph 44, Article 12 of the Treaty requires States Parties to maintain national records of its issuance of export authorizations or its actual exports for a minimum of ten years and encourages States Parties to do the same for conventional arms that are transferred to its territory as the final destination. In terms of information, Article 12 encourages States Parties to include in those records: the quantity, value, model/type, authorized international transfers of conventional arms covered under Article 2 (1), conventional arms actually transferred, details of exporting State(s), importing State(s), transit and trans-shipment State(s), and end users, as appropriate. While the [FAQ-document on annual reporting](#) makes it clear under question 1 that this list does not apply to the annual reporting obligation, it also states that this list indicates the importance of certain basic information.
98. It is also clear more generally that good record-keeping of exports and imports can greatly facilitate reporting on these exports and imports, be it on the authorizations which they have issued or about the exports and imports that have actually taken place. In that respect, the format of record-keeping needs to be well considered, making the extraction and processing of information for the annual report as efficient as possible. This is especially important if the information for the annual report needs to be extracted from different sources of record-keeping. In such cases, the entities involved could benefit from aligning their record-keeping practices, as this will facilitate processing the information into the format of the annual report. This might involve some regulatory work. From a practical perspective, a holistic inter-agency electronic database is naturally an optimal instrument for such a purpose, but less sophisticated methods could prove equally effective (see paragraph 135 et seq. about repositories).

99. In addition to record-keeping by relevant authorities, record-keeping by exporters and importers themselves can contribute to annual reporting, in particular if States Parties wish to report actual exports and imports. In such case, it is useful to have a regulatory framework in place that sets out the record-keeping requirements, in particular the information to be recorded, and the format in which the recorded information needs to be transmitted to the relevant authority.

## Inter-agency arrangements, procedures and timelines

100. On the basis of who will be involved in the reporting process and the sources that will be used to collect information, **inter-agency arrangements, procedures and timelines** need to be put in place to cover the steps from initiating the reporting process to submitting the report to the ATT Secretariat and addressing queries the Secretariat might have. [Annex A](#) of this guidance document contains a graphic representation of all the possible steps in the annual reporting process. Each of these steps could be specifically assigned to the ministries/agencies/departments and/or persons charged with reporting, with the necessary instructions and deadlines. Relevant questions to be considered include the following:

- When and how will the reporting process be initiated?
- How will information be collected and transmitted to the coordinating agency/department or the specific inter-agency committee?
- How will the relevant information be processed and consolidated in the annual report?
- Which deadlines will apply to each step in order to comply with the deadline of 31 May for the submission of the report to the ATT Secretariat?
- If necessary, when and how will case-by-case decisions be made concerning public availability, aggregation of data and exclusion of data because of commercial sensitivity or national security concerns?
- Who will transmit the annual report to the ATT Secretariat? How will requests for clarification by the ATT Secretariat be dealt with?

101. In this process, efficiency relies on good communication between the ministries/departments/agencies involved, or within the structure that was specifically established to deal with reporting (see paragraph [84 et seq.](#)). This was also acknowledged during the aforementioned brainstorming workshop (see paragraph [83](#)), where participants described similar measures to facilitate inter-agency cooperation as those mentioned throughout this

guidance document, including clearly established reporting calendars and written procedures, which are shared with all parties involved, and notifications to inter-agency partners regarding upcoming reporting deadlines, including informal, internal deadlines.

102. An important step in the reporting process also concerns decision-making on substantive issues such as public availability and exclusion of data because of commercial sensitivity or national security concerns. As indicated in paragraph 57, while it can be useful to develop a general framework or criteria on these issues, they should be carefully considered each year in light of the specific exports and imports that are reported. Given their possible impact on transparency, it is preferable that such decisions be made by senior officials.

### Element 5: A coordinated collection process that ensures that when the same information is needed for several different reports, it is collected only once

103. As indicated several times in this guidance document, States Parties can benefit from identifying synergies between their similar reporting obligations and commitments and integrating the information collection for these commitments into one process (see, in particular, paragraphs 61-64 on the rationale of establishing an annual reporting process, as well as paragraphs 75, 84 and 96 on relevant considerations on the form of the report, inter-agency cooperation and information sources, and paragraphs 120-121 and 128 on the steps towards a national annual reporting process and national procedures document). As synergies save time and resources and ensure consistency between reports, they need to be a point of attention at each step of establishing the national annual reporting process and creating the national procedures document.
104. It is clear that the most benefit can be drawn from a coordinated collection process. As is indicated above in terms of scope and information to be reported, there are differences between similar obligations and commitments. States Parties that are optimizing synergies will obviously need to respect the divergent requirements of each reporting obligation and commitment and to align their national choices, where these are available. This will also have a bearing on the collection of information and the sources of information, which in turn might have an impact on the entities that are involved and the procedures that are established.

## Box 8. Alignment of ATT and UNROCA annual reporting processes

105. The most important reporting commitment that is similar to the ATT annual reporting obligation is the UNROCA, which has been mentioned many times (see, in particular, paragraphs 41-45 on the information to be reported, paragraphs 49-50 on the form of the report, paragraphs 62-64 on the rationale of establishing an annual reporting process, paragraphs 74-75 and 84 on relevant considerations on the form of the report and inter-agency cooperation). Aligning the reporting processes to comply fully with both the ATT obligation and the UNROCA commitment has an impact on (national choices regarding) the scope of the report, the information to be reported and the form and availability of the report.<sup>18</sup>
106. Concerning the **scope of the report**, it would mean that a State Party needs to report on the categories of conventional arms covered under Article 2 (1) (a) to (g) according to the most recent descriptions used in the UNROCA and not just those at the time of entry into force of the ATT, because otherwise it would not comply with its UNROCA reporting commitment. As this is a requirement under the ATT, a State Party will be obliged to include information on small arms and light weapons in its report, which is still not a full category under the UNROCA. Aligning both processes would, in principle, also oblige a State Party to report on actual exports and imports, because unlike the option provided to ATT States Parties to report on "authorised" or "actual" exports and imports in Article 13 (3) of the Treaty, the UNROCA focuses on "actual" transfers (with reporting about authorized transfers only as the fallback option).
107. Concerning the **information to be reported**, States Parties would need to report on the quantity of exports and imports (number of items), because the possibility in the **ATT Annual Reporting Template** of reporting on the financial value does not apply to the UNROCA. In principle, nor would States be able to exclude commercially sensitive or national security information from their reports, because this possibility in Article 13 (3) of the ATT does not explicitly apply to the UNROCA.
108. Concerning **submission and the form of the report**, the Treaty itself and the **ATT Annual Reporting Template** have made aligning both reporting processes appealing to ATT States Parties. As indicated in paragraph 41, Article 13 (3) provides that "the report submitted to the ATT Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the UNROCA".

<sup>18</sup> For guidance on these and other elements of the UNROCA see "The Global Reported Arms Trade – Transparency in Armaments Through the UN Register of Conventional Arms: A Guide to Assist National Points of Contact in Submitting Their National Reports", available at <https://disarmament.unoda.org/unoda-occasional-papers-no-39-april-2023/>.

This means in practice that States can submit their UNROCA reporting form as their ATT annual report. As mentioned before, this does require that this UNROCA submission also complies with the specific requirements of the ATT annual reporting obligation, including in terms of scope. Conversely a decision by ATT States Parties has made it possible for States Parties to use their ATT annual report as their UNROCA submission. For that purpose, States Parties introduced a tick-box in the revised [ATT Annual Reporting Template](#) that was endorsed and recommended for use by the CSP7, through which a State Party can give its consent for the ATT Secretariat to send the State's ATT annual report to UNODA for use of the reported information as the State Party's submission to the UNROCA (see also paragraphs 75 and 162). This means that the State Party is responsible for ensuring that its ATT annual report also complies with the specific requirements of the UNROCA annual reporting commitment.<sup>19</sup>

109. Concerning **availability of the report**, States Parties need to be aware that unlike the ATT, the UNROCA does not allow States to restrict access to the reported information. In the UNROCA context, the reported information is made publicly available by default in the [UNROCA database](#) or the [relevant part of the UNODA website](#). States Parties should therefore consider this when deciding whether or not to allow transmission of their report to UNODA, especially if they opt not to make their ATT annual report publicly available and thus restrict access to their ATT annual report to other States Parties only.

110. There are also other reporting obligations and commitments that are similar to the ATT annual reporting obligation:<sup>20</sup>

- For example, in the context of the **Economic Community of Central African States (ECCAS)** there is the Central African Convention for the Control of Small Arms and Light Weapons, Their Ammunition, Parts and Components that Can Be Used for Their Manufacture, Repair or Assembly

<sup>19</sup> It is noted that the scope of UNROCA reporting goes beyond reporting on international transfers, as UN Member States are also encouraged to provide information on procurement through national production, military holdings and national policies related to the transfer of arms. As these elements are not within the scope of the ATT annual reporting obligation, the [ATT Annual Reporting Template](#) does not include a section for States Parties to provide such "additional background information". States Parties that want to use their ATT annual report as their UNROCA submission, but at the same time provide this additional background information should submit the relevant forms directly to the the UN Office for Disarmament Affairs (UNODA).

<sup>20</sup> While this list only includes instruments that are similar to the annual reporting obligation, thus involving reporting on transfers of conventional arms, there are also several instruments that are similar to the initial reporting obligation of the ATT, thus involving reporting on measures to implement the instrument in question. These instruments mostly concern Small Arms and Light Weapons. Examples of international and regional instruments include the UN Programme of Action (PoA) on Small Arms and Light Weapons, the Nairobi Protocol for the Prevention, Control, and Reduction of Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa, the ECOWAS Convention on Small Arms and Light Weapons, Their Ammunition, and Other Related Materials and the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials (CIFTA).



(known as the “Kinshasa Convention”).<sup>21</sup> This convention, limited in scope to SALW (and their ammunition and parts and components), requires its States Parties to prepare an annual national report on requests for transfer authorizations (and end-user certificates) that have been accepted or denied by the competent national authorities and to submit the report on transfers to the UNROCA and to the subregional electronic database that is maintained by ECCAS (Article 24.7-9). The information to be provided is broad; in addition to the type and number of items, the name and address of the applicant must also be given, as well as the number and reasons for denial or acceptance of the transfer. The reports are not made publicly available.

- In the context of the **Organization of American States (OAS)**, there is the Inter-American Convention on Transparency in Conventional Weapons Acquisitions.<sup>22</sup> This convention obliges its States Parties to report annually to the depositary (the General Secretariat of the OAS) on their imports and exports of the original seven categories of conventional weapons in the UNROCA during the preceding calendar year, providing information on the exporting or importing State and the quantity and type of conventional weapons imported or exported (Article III). The convention also includes a specific format for this report. The reports are made publicly available.
- In the context of the **Organization for Security and Co-operation in Europe (OSCE)**, the respective documents on Small Arms and Light Weapons and on Conventional Arms Transfers require participating States to exchange information annually on their exports and imports of SALW and on their transfers of major conventional weapons systems. The reports on transfers of major conventional weapons systems are made publicly available, but those on exports and imports of SALW are restricted to only OSCE participating States.
- In the context of the **European Union (EU)**, the EU Common Position on Arms Exports (2008/944/CFSP) requires EU Member States to submit to the EU information for the preceding calendar year on their exports of the military technology and equipment in the EU Common Military List (article 8).<sup>23</sup> The information to be reported includes details on the number and value of licenses granted and the value of actual exports. An EU Annual Report, based on contributions from all EU Member States, is made publicly available in the format of a narrative report and a **searchable online database** on the website of the European External Action Service ([https://www.eeas.europa.eu/eeas/disarmament-non-proliferation-and-arms-export-control-0\\_en](https://www.eeas.europa.eu/eeas/disarmament-non-proliferation-and-arms-export-control-0_en)).

<sup>21</sup> The text of the Kinshasa Convention is available at [https://treaties.un.org/Pages/ViewDetails.aspx?src=IND&mtmsg\\_no=XXVI-7&chapter=26&clang=en](https://treaties.un.org/Pages/ViewDetails.aspx?src=IND&mtmsg_no=XXVI-7&chapter=26&clang=en).

<sup>22</sup> The text of this Inter-American Convention is available at [https://www.oas.org/en/sla/dil/inter\\_american\\_treaties\\_A-64\\_transparency\\_conventional\\_weapons\\_acquisitions.asp](https://www.oas.org/en/sla/dil/inter_american_treaties_A-64_transparency_conventional_weapons_acquisitions.asp).

<sup>23</sup> The text of the EU Common Position on Arms Exports is available at <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02008E0944-20190917>.

## Element 6: Critical deadlines in the process of preparing reports and a system for providing alerts or reminders to relevant information providers

111. This element was included as a separate element in the national measures document that formed the basis for this voluntary guidance document. While in this guidance document the need for timelines has already been addressed above in conjunction with procedures (see paragraphs 100-102), Element 6 has been kept separate to emphasize its importance. Internal deadlines for each step in the national annual reporting process need to be well considered, with the ultimate purpose to enable the entity that is charged with submitting the annual report to the ATT Secretariat to do so by the Treaty deadline of 31 May. As the report should include information on the authorized or actual exports and imports during the previous calendar year, in principle this 31 May deadline gives States Parties five months to prepare their annual report, given that States Parties initiate their reporting process on 1 January. For these five months, the reporting process and national procedures document which set out the steps and designate responsible entities should include a calendar, clearly indicating the deadline for each step, starting with the initiation of the process by the person or entity that is coordinating the reporting process and ending with the submission of the report by the person or entity charged with this task.
112. The importance of clear deadlines applies especially to the information collection process. This is often not only the most extensive and complex step in the reporting process, but generally also involves multiple entities that need to provide the relevant data to the entity charged with reviewing and consolidating the collected information. Deadlines for this step should therefore be relatively substantial.
113. A system for providing alerts or reminders to relevant information providers does not have to be complicated. States Parties with a holistic inter-agency electronic database for reporting purposes (see paragraph 135) could build in automatic reminders to be sent to the persons or entities involved, but simple e-mail alerts sent manually by the coordinator of the reporting process can be equally effective, on the condition that the list of contact points is up-to-date (see paragraphs 133-134). What is important is that the reporting process is initiated early enough in the year to allow all persons and entities involved to do their task correctly and comprehensively.

## Putting theory into practice: Establishing the national annual reporting process and creating the national procedures document

### Key points

114. In order to establish a national annual reporting process and create a national procedures document that are both effective, each of the key elements and the related questions outlined above must be carefully considered. To successfully conduct such an exercise, the following points are important:
- **Awareness of obligations (incl. rationale) and political commitment / sign-off**
  - **Needs assessment or baseline assessment of current reporting obligations and commitments, practices, information sources and procedures**
  - **Consultation and coordination between all relevant ministries/agencies/departments**
  - **Inter-agency agreement on key elements of the national reporting process and practical implementation**

### Awareness of obligations (incl. rationale) and political commitment / sign-off

115. A prerequisite for the success of ATT implementation is that key decision-makers on ATT matters are aware of the Treaty's obligations in general, as well as their purpose. It is important that implementation efforts, including the establishment of a national reporting process, have support at a political level, so that measures requiring political action, such as adopting regulations or creating an inter-agency committee, can be taken when necessary. It is also likely that political actors will be involved in substantive decision-making on reporting and transparency in general (see paragraphs [87-90](#) and [102](#)). This makes sensitization on the rationale and the substance of the annual reporting obligation important.

## Box 9. Sensitization of political actors and other decision-makers on the rationale and benefits of reporting

116. Sensitization of political actors and other decision-makers goes beyond conveying the simple fact that reporting under the ATT is a legal requirement. The actors who make decisions on ATT reporting also need to be (made) aware of the rationale and the benefits of reporting, as explained in paragraphs 33-34. Relevant considerations that are outlined in those paragraphs affirm that annual reporting:
- builds confidence between States Parties, as it allows monitoring of their Treaty implementation and compliance and provides States with the opportunity to demonstrate responsible regulation of transfers;
  - enhances awareness of regional and global arms flows, thereby providing a basis for consultation on transfers of potential concern and contributing to conflict prevention;
  - provides information for transfer risk assessments by (potential) trading partners when assessing the reliability of their arms recipients; and
  - fosters inter-agency cooperation and ensures accountability on the domestic level.
117. Regarding the substance of reporting, it is important that decision-makers are aware of the common understanding of what information States Parties should include as a minimum in their annual reports (see paragraphs 41-42). Secondly, a basic understanding of substantive reporting issues is important, so that decision-makers are aware of the possibilities and the limitations that the Treaty provides to alleviate concerns about reporting. After all, as mentioned in paragraphs 57, 77 and 102, decisions on issues such as aggregation of data, exclusion of information for commercial sensitivity or national security reasons and availability of reports can have a big impact on transparency and are therefore best made by senior officials. This applies both to the stage where a State Party develops a general framework or criteria on these issues as part of its national procedures document and to the stage where decisions are made each year in light of the specific exports and imports that are reported. With that in mind, an understanding of the various aspects of these issues is vital.
118. Sensitization is nevertheless important at all levels of the entities involved in the reporting process, as well as for external actors that might be called on to provide information, such as exporters about their actual exports. In order to create support for transparency, it is important to address any misunderstandings about ATT reporting.

119. To assist sensitization on substantive reporting issues, an indispensable tool is the aforementioned [FAQ-document on annual reporting](#) (see paragraph 11). This voluntary guidance document not only explains all aspects of the annual reporting obligation in great detail, but also addresses important issues such as those mentioned in paragraph 117, and frames these issues within the broader Treaty purpose in Article 1 of promoting transparency.

### Needs or baseline assessment of current reporting obligations and commitments, practices, information sources and procedures

120. To consider and make decisions on all relevant elements of reporting, it is important to know where the State currently stands in terms of its reporting obligations, commitments, practices, information sources, procedures and what its needs are, in order to be able to comply with its ATT annual reporting obligation. A useful first or preliminary step in the process of establishing a national reporting process is therefore conducting a needs or baseline assessment. The benefit of such an exercise is that it will help identify synergies with other reporting obligations, commitments and processes and allow the State to develop an integrated reporting process that ensures compliance with different obligations and commitments at once.
121. Such an assessment concerning annual reporting on arms transfers could be part of the broader assessment which every State Party needs to conduct to comply with its obligation to provide an initial report on the measures a State has undertaken to implement the Treaty (which is due within the first year after entry into force of the Treaty for that State Party; see further paragraphs 14-25).

### Consultation and coordination between all relevant ministries/agencies/departments

122. The importance of smooth inter-agency cooperation in the reporting process itself has already been emphasized above. To ensure this, it is vital that all the relevant actors are also involved in establishing the process. Their involvement is important to make sure that the established process lines up with the State's national situation concerning arms exports and imports and the capacity of the various actors involved. For the process to be sustainable over time, it needs the support of all actors involved.
123. Relevant ministries/agencies/departments in this context means those that might have a practical role to play in the reporting process, as well as those that will be making decisions on its content, in particular on important issues such as the scope of the report, availability and the exclusion of certain information.

## Inter-agency agreement on key elements of the national reporting process and practical implementation

124. All consultation and coordination between the relevant ministries/agencies/departments must have the clear primary goal of obtaining an agreement on the key elements of the national reporting process that is being developed or updated. The actors involved should also be clear about the practical implementation of that agreement. This would include putting in place or adjusting the arrangements (regulations, procedures, structures, instruments) and drawing up the national procedures document.

## Stakeholder workshop(s) and objectives

125. A possible method to facilitate the establishment or update of a national reporting process is to organize one or more dedicated workshops that bring together all relevant actors in an existing structure or in an ad hoc meeting that is set up for this purpose.
126. In planning such workshops, the key elements above are important. In reference to paragraph 81, the State's NPC could be the natural initiator, preferably working with the support of decision-makers at the political level to ensure commitment from the start of the process. Participation needs to be well considered, targeting only those who are projected to have a say on reporting and those that will have a role to play in the reporting process. Ideally, preparation for the workshop(s) would take as a starting point for discussion the needs or baseline assessment mentioned in paragraphs 120-121.
127. The objectives of these workshops and their frequency will depend on the national situation of the State, the stage of Treaty implementation it is at and whether there is already a national reporting process in place. For a State that already has an established reporting process, one workshop could suffice, with the objective to agree on the specific elements of ATT reporting, to identify possible synergies with other obligations and commitments and/or to include these aspects in the national procedures document. For States that do not have an established process, the objective of a kick-off workshop could be to develop a roadmap to establishing a national annual reporting process or drafting or adopting a national procedures document, including a schedule of follow-up sessions. Where necessary, a kick-off workshop could also be used to undertake or finalize the needs or baseline assessment.



## National procedures document

128. As indicated above, developing/updating a national procedures document is a useful output of the (discussions on) the establishment/update of the national reporting process. In paragraph 66, it was suggested that such a document should start with a comprehensive overview of all similar international and regional reporting obligations and commitments and their respective deadlines and specificities. This would then be followed by a dedicated section for every distinct reporting obligation and commitment, which encapsulates all the elements of the national reporting process and, if applicable, the national choices regarding these elements. A step-by-step description of the reporting process could then be included as a second part of the dedicated section for every distinct reporting obligation and commitment or as a separate section, if States opt to have an integrated reporting process that covers more than one reporting obligation or commitment (for example, the annual reports of the ATT and the UNROCA). Concretely, the section per respective reporting obligation and commitment could include the following elements:

### Part 1 – General requirements and national choices

- Outline of reporting obligation or commitment
- Related obligations and/or commitments
- Scope and availability of the report
- Information to be reported
- Format of the report
- Reporting deadline
- Information sources
- Coordinator – contact point
- Entities involved

### Part 2 – Step-by-step reporting process

129. A possible template for the national procedures document is attached as [Annex B](#). A possible roadmap to establishing the national annual reporting process and creating the national procedures document is attached as [Annex C](#).

## Supporting measures to optimize the annual reporting process

130. As indicated in the introduction, the currently available summary document with national-level measures includes a number of measures which could facilitate the different steps in the national annual reporting process, in addition to the creation of a national procedures document. The following supporting measures are discussed below and systematically linked to the key elements of a national annual reporting process:
- **Supporting measure 1: Create a regularly updated list of contact points covering the functions/persons involved in the process of generating reports**
  - **Supporting measure 2: Appoint a single contact point responsible for coordinating the efforts of the different functions involved in the reporting process and communicating with the relevant international or regional reporting instruments**
  - **Supporting measure 3: Create and maintain a repository, electronic or otherwise, for all reporting data**
  - **Supporting measure 4: Provide training for officers involved in the collection and compilation of reporting data**
  - **Supporting measure 5: Provide training for additional staff to ensure some level of redundancy**

### Supporting measure 1: Create a regularly updated list of contact points covering the functions/persons involved in the process of generating reports

131. This supporting measure relates to the above element of task assignment and inter-agency cooperation. While the national procedures document might list the ministries/departments/agencies involved in the reporting process, it might not list individual people or functions with their contact details. This might especially be the case if the national procedures document is adopted as a formal (administrative) decree.
132. In order to ensure a smooth process, it is crucial that all the designated officials within the relevant ministries/departments/agencies are aware of each other's roles and can contact one another directly if needed. This is facilitated by maintaining a regularly updated contact list. If there is a coordination committee, this could be done within the context of that committee. If not, this is a relevant task for the entity or person coordinating

the reporting process. In any case, the list needs to be kept up-to-date and be accessible to all the responsible officials in the ministries/departments/agencies that are involved in the reporting process.

## Supporting measure 2: Appoint a single contact point responsible for coordinating the efforts of the different functions involved in the reporting process and communicating with the relevant international or regional reporting instruments

133. This supporting measure also relates to the element above of the assignment of tasks and inter-agency cooperation and was already addressed in paragraph **78 et seq.** In that section reference is made, inter alia, to the **ATT NPC Guidance Document**, in which it is suggested that “even if the NPC does not have responsibility for completing a State Party’s ATT reports, the NPC could help coordinate the preparation and submission of a State Party’s ATT report”. In that regard, it is noted that a State Party can designate more than one NPC and could therefore designate a dedicated national point of contact responsible for reporting. Potential benefits are explored in paragraphs **80-81** and **92**.
134. At the same time, it needs to be reiterated that it is not obligatory for this single contact point to be a formally designated as NPC. It can be any person or entity with a role in the national reporting process, for example, the authority that is directly responsible for compiling the annual report. If the designated NPC is nevertheless nominated to act as the national point of contact for reporting, s/he needs to be able to respond to the ATT Secretariat’s queries or direct the ATT Secretariat to the appropriate person or entity (see paragraph **81**).

## Supporting measure 3: Create and maintain a repository, electronic or otherwise, for all reporting data

135. This supporting measure relates to the element of collecting and processing the concrete data to go into the annual report. Regarding these steps in the reporting process, databases were already mentioned in paragraphs **84, 95-96, 98** and **113**, listing considerations on the assignment of tasks and responsibilities, which information sources to use or develop for reporting purposes, the role of record-keeping, and systems for reminding relevant officials. In the **box** on record-keeping, it was indicated that careful consideration should be given to the format for storing information,

to allow for efficient processing and the extraction of relevant information for the annual report. As said above, this is especially the case when there are different information sources and/or repositories in use, for example, for different types of exports and imports, or for different categories of conventional arms. It was also mentioned that seeking ways to align collecting and storing practices could be beneficial and that having a holistic inter-agency electronic database would be optimal. Note that such a database could also serve additional purposes than simply reporting, as it allows efficient and effective management of a State's national control system, in particular its transfer authorization requirements.

136. Nevertheless, less sophisticated methods can prove equally effective. What is essential is storing and making available all the relevant information so that the entity responsible for compiling the annual report can process and consolidate the information in an efficient manner. This means that at some point in the reporting process, the relevant information needs to be centralized in one repository.
137. Electronic repositories do not have to take the form of a comprehensive arms transfer management system. States can also use spreadsheets or a simple database solution specifically designed for recording the relevant information for ATT reporting (and, possibly, other reporting obligations and commitments, such as the UNROCA). States should choose a solution that suits their own situation best in terms of their capacity and resources, as well as their export and import profile. There is no one-size-fits-all solution, and existing mechanisms could still prove valuable (which is why the considerations in paragraphs 95-99 and in paragraphs 120-121 are important).
138. Developing a dedicated national database for reporting purposes is a practical measure where implementation support through the ATT Voluntary Trust Fund (VTF) or other international assistance providers, including non-State actors, can contribute in a very concrete manner. This is elaborated below (see paragraph 156).

## Supporting measure 4: Provide training for officers involved in the collection and compilation of reporting data

139. It is obvious that those officials who are involved in the national annual reporting process need to have a good command of their reporting task, in particular those who are collecting and processing the relevant information. In that respect, there are two complementary levels of training that can be useful.

140. In order to have a comprehensive understanding of a State's reporting obligations and commitments and a broad perspective of their practical implementation, key officials with a coordinating role in the reporting process could take part in workshops organized by the ATT Secretariat or other relevant ATT stakeholders, such as regional organizations or international assistance providers. Such international assistance opportunities are addressed below (see paragraph [144 et seq.](#)). For such officials, participation in the work of the WGTR could be useful.
141. In order to effectively conduct the reporting in practice, those involved in collecting, processing and consolidating information for the annual report need to be trained internally to learn the ins and outs of the national reporting process, including the inter-agency arrangements made, and their role in it. The national procedures document is an indispensable tool for that training. If relevant in view of the national situation, the training could also include a more technical component on which arms should be included in which category, using the limited guidance on this mentioned in paragraph [38](#).

## Supporting measure 5: Provide training for additional staff to ensure some level of redundancy

142. One of the biggest risks for consistent and sustainable reporting concerns staff turnover within the entities responsible for the national annual reporting process. A similar risk concerns the frequently encountered situation of staff shortages and designated reporting officials with burdensome workloads within these entities. To counter these risks, it is important that not only the designated officials receive relevant training regarding the annual reporting process, but also other staff members of the relevant entities. Such broader training ensures that sufficient capacity for the continued fulfilment of reporting obligations and commitments is available in the event of the temporary absence or permanent departure of key officials and avoids situations where carefully accumulated expertise is lost.
143. Also in this context, the national procedures document plays a role, not only as a training tool, but also in providing instructions for designated reporting officials on the handover of their reporting duties when they leave their position.





## Chapter 3 – International Assistance Opportunities

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144. As indicated in paragraph 18, Article 16 of the Treaty mandates States Parties to seek international assistance in implementing the Treaty and to request and receive such assistance through, inter alia, the United Nations, international, regional, subregional or national organizations, non-governmental organizations, or on a bilateral basis. This support could be especially helpful for States Parties that are only in the beginning stages of establishing a national reporting process.
145. International assistance can be useful in various stages. States could apply for support in conducting a needs or baseline assessment, in developing their national reporting process or aspects thereof, in outlining their process in a national procedures document, or to provide the necessary means to actually collect the information for their reports and to process and consolidate that information into a format that can be submitted to the ATT Secretariat. If necessary, a State can apply for support throughout these various stages, proposing a sequence of activities. In such a case, support in sensitization of the political and high-level officials likely to have a say or to be involved in the report process could be a good starting point. As these steps all involve the bringing together of relevant stakeholders, external support could be beneficial in terms of resources, as well as encourage open discussions between various government entities.

### Available opportunities

#### ATT framework

146. The most important instrument for international assistance on ATT implementation is the VTF, which is provided in the Treaty itself and funded by ATT States Parties themselves (Article 16 (3)).<sup>24</sup> Under the VTF, States can submit proposals for ATT implementation projects on all Treaty obligations and receive funding with respect to legal or legislative assistance, institutional capacity building, and technical, material and financial assistance. While the VTF is administered by the ATT Secretariat, decisions are made by the VTF Selection Committee, which consists of up to 15 States Parties. Since the

<sup>24</sup> Information on all aspects of the VTF, including its Terms of Reference, Administrative Rules and guidance on how to apply and donate, is available in the VTF section of the ATT website: <https://www.thearmstradetreaty.org/voluntary.html>.



formal establishment of the VTF in 2016, several projects have been approved that aimed to build or strengthen States Parties' capacity to report under the ATT (see examples in paragraphs 154-157).

147. Another relevant instrument concerns the ATT Needs and Resources Matching Database of the ATT Secretariat, also known as the ATT International Assistance Database, which is available on the ATT website.<sup>25</sup> This database, developed with the support of the European Union, is a secure web-based platform that enables States to submit requests and offers for assistance for Treaty implementation on a voluntary basis.<sup>26</sup> It was developed by the Secretariat in light of its responsibility under Article 18 (3) (c) of the Treaty to "facilitate the matching of offers of and requests for assistance for Treaty implementation and promote international cooperation as requested". The database allows States to submit requests and offers for assistance regarding all Treaty obligations, including those for reporting in Article 13. While the database is primarily intended for States Parties to upload requests and offers themselves, the ATT Secretariat will also work with States Parties to populate the database. This applies in particular to States Parties that are new to the ATT and have used the opportunity in their initial report to indicate that they would like to receive assistance with the implementation of certain Treaty obligations, and also to those who are in a position to provide such assistance.
148. With support from the European Union, the Secretariat is also conducting other activities to build capacity for reporting, including:
  - practical reporting workshops in targeted regions or subregions with low reporting rates; and
  - the preparation of training materials for regular online informative sessions for designated reporting contact points and interested stakeholders.<sup>27</sup>
149. Other than these formal mechanisms, there are also initiatives taken under the umbrella of the aforementioned WGTR (see paragraph 2) to enhance reporting compliance and support States Parties with reporting challenges. To facilitate bilateral assistance between States Parties, the ATT Secretariat introduced the "project of voluntary practical bilateral and regional assistance with reporting (peer-to-peer)". This project aims to facilitate practical exchanges between delegates from States Parties facing challenges in complying with the ATT reporting obligations and their peers in States Parties with experience on this subject. The centrepiece of this project is the "regional reporting champions initiative", under which a number of States

<sup>25</sup> The database is available in the Matching Database section of the ATT website: <https://database.thearmstradetreaty.org/>.

<sup>26</sup> See Council Decision (CFSP) 2021/649 of 16 April 2021 on Union support for activities of the ATT Secretariat in support of the implementation of the Arms Trade Treaty, available at <https://eur-lex.europa.eu/eli/dec/2021/649/oj?eliuri=eli%3Adec%3A2021%3A649%3Aoj&locale=en>.

<sup>27</sup> See further footnote 1.

Parties assumed the role of “regional reporting champion” and committed to engage with States Parties in their region who have experienced challenges with their reporting duties and to offer their assistance. At the time of writing, these are as follows:

- For the Africa region **Benin**, supported by France, for French-speaking States Parties and **Sierra Leone** for English-speaking States Parties
  - For the Americas region, **Mexico** for Spanish-speaking States Parties and **Jamaica** for English-speaking States Parties
  - For the Asia and Oceania regions, **Japan**
  - For the Europe region, **France** and **Romania**
150. The reporting focal points of these States Parties are available to provide advice to the peers in their region on how to gather and process relevant information for the ATT annual report and how to submit the report. For that purpose, the ATT Secretariat was mandated to share the contact details of these reporting focal points with States Parties in need of assistance.
151. Next to this specific project encouraging bilateral and regional exchanges, the WGTR more generally conducts discussions to support compliance with the Treaty’s reporting obligations, including addressing substantive issues. Furthermore, the WGTR holds sessions where States Parties present their national reporting practices and challenges, on the basis of its Multi-Year Workplan (and practical questions) for the WGTR Exchange of National Implementation Practices regarding Transparency, which is available in the Tools and Guidelines section of the ATT website (<https://www.thearmstradetreaty.org/tools-and-guidelines.html>).

## Other international assistance opportunities

152. Beyond the ATT framework, the European Union is a major international assistance provider concerning ATT implementation, including on reporting. In addition to its support for activities of the ATT Secretariat, the EU has its own EUP2P Arms Trade Treaty Outreach Programme (ATT-OP; <https://www.eup2p.eu/home-common>), implemented by the German Federal Office for Economic Affairs and Export Control (BAFA) and the French public agency for the design and implementation of international technical cooperation projects (Expertise France). The ATT-OP aims to provide technical support for beneficiary countries in order to help establish and enhance national legislation and enforcement measures in the field of arms export control.
153. States Parties could also look at implementation support opportunities by non-State actors. In that regard it is noted that civil society organizations,

research institutes, UN partners and international/regional organizations can obtain funding through the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) to support States' implementation of relevant international instruments on arms regulations, including the ATT (<https://disarmament.unoda.org/unscar/>).

## Concrete examples of international reporting assistance funded by the VTF

154. Throughout the first eight cycles of VTF funding (2017–2024), at least 12 projects that were approved for funding concerned in whole or in part support for compliance with the ATT reporting obligations. These involved the following States, listed by funding cycle: In the 2018 cycle Samoa; in the 2019 cycle Antigua and Barbuda, Fiji, Palau, Vanuatu and Zambia; in the 2020 cycle Nigeria; in the 2021 cycle Liberia; in the 2022 cycle Cote d'Ivoire, in the 2023 cycle Central African Republic and Togo; and in the 2024 cycle Cameroon. Even though not all of the States Parties in this list have progressed to full reporting compliance following the implementation of these projects, overall, the reporting support has proven its value.<sup>28</sup> Details of these projects, including final reports, are available at <https://www.thearmstradetreaty.org/voluntary.html?tab=tab2>. This information is included here as it is useful for all States Parties in need of reporting assistance that are considering applying for VTF funding.
155. A good example of a comprehensive support package concerns the support which Zambia obtained through the VTF in 2019. Supported by the Small Arms Survey, Zambia implemented a capacity-building project to enable it to submit its initial report on measures to implement the ATT and establish procedures to ensure the timely submission of annual reports, sharing lessons learned on developing national procedures for ATT reporting (see <https://www.smallarmssurvey.org/project/building-capacity-fulfil-zambias-att-reporting-obligations>).
156. In terms of providing means to actually carry out the reporting requirements, assistance regarding the abovementioned practical measure of creating and maintaining a repository for reporting data provides a good example. In that respect, several of the abovementioned States obtained funding through the VTF to implement the ArmsTracker Database that was designed by the Centre for Armed Violence Reduction (CAVR) for low-capacity states. This database is an inexpensive arms management system that is tailor-made for each individual State and allows the generation of national reports that can be used for the purpose of ATT reporting (see <https://armstracker.org/>).

<sup>28</sup> Note that Fiji and Vanuatu are not yet States Parties and are therefore not yet required to submit initial and annual reports.

157. States can also apply for VTF funding for regional activities. In that regard, Cote d'Ivoire received funding in 2022 to organize a regional workshop on the reporting obligations for ECOWAS member states and strengthen their capacity to report under the ATT. This workshop was facilitated by the ATT Secretariat and provided a deep dive into ATT reporting, unpacking all relevant aspects of the annual and initial reporting obligations, and focusing on practical measures to comply with these obligations. As part of the workshop, the participating States presented their current national reporting practices and challenges and conducted an exercise which involved the consideration and drafting of an outline of a national procedures document for their State. This workshop provided the blueprint for the current practical reporting workshops of the ATT Secretariat mentioned in the [preface](#) and in paragraph [148](#). During the CSP10 meeting of the WGTR, Cote d'Ivoire also gave a [presentation](#) about the workshop.





## Chapter 4 – Instructions On The Use Of The ATT Annual Reporting Template

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158. As explained in paragraphs 10 and 50, a voluntary **ATT Annual Reporting Template** for submitting the annual report is available in all UN languages on the Reporting Requirements page of the ATT website (<https://www.thearmstradetreaty.org/reporting.html>), as well as in the ATT online reporting tool in the Restricted Area of the ATT website. The template includes some instructions on its use, most notably on its cover page and in the explanatory notes at the end of the main document, but it is useful to go through the document section by section, in order to provide a basic explanation and indicate what reporters are expected or encouraged to fill out. The overview also shows the relevant boxes in the template, with fictitious information included to complement the explanation where necessary.

### Shaded columns and rows

- 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-

159. It is important to highlight from the outset that there is a difference between boxes in the template that are shaded (in grey) and boxes that are not shaded. As explained under the title of the reporting forms for exports and imports (on pages 3 and 6 of the template), “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”. In other words, when they use the template, States Parties are expected to fill out all the boxes that are not shaded and are encouraged to fill out the boxes that are shaded. It is noted that the shading reflects what is explained regarding scope, information to be reported and availability in the section on the annual reporting obligation of this guidance document, as well as the relevant questions in the **FAQ-document on annual reporting**.

## Title page (page 2 of the template)

### National Point of Contact for the 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>			

160. In this box, reporters need to provide the contact details of a person or entity who the ATT Secretariat can contact in case the Secretariat requires clarification on information included in the report. As mentioned in paragraph [134](#), this nomination is not to be confused with the Treaty obligation in Article 5 (6) to designate “one or more national points of contact to exchange information on matters related to the implementation of the Treaty” and can be any person or entity involved in the reporting process. This is further explored in paragraphs [133-134](#), as well as paragraphs [81](#) and [91-92](#)). As indicated in paragraph [54](#), the mention of the National Point of Contact for the Report can also facilitate communication between States about the report.

### Date of report

<b>Date of Report :</b>	
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161. As explained in question 1 of the [FAQ-document on annual reporting](#), by “Date of Report”, it is meant the date it was drafted or finalised by the reporting State, not the date it was submitted to the ATT Secretariat.



## Use of information for the UN Register of Conventional Arms (UNROCA)

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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162. This box relates to the possibility for States Parties to use their ATT annual report as their submission to the UNROCA, thereby complying with two reporting obligations at once (see paragraphs [75](#) and [105-109](#)). Concretely, by checking the relevant tick-box, a State Party gives its permission to the ATT Secretariat to send its ATT annual report to UNODA, who will then take the reported information as the State Party's submission to the UNROCA.
163. As indicated in paragraph [109](#), States Parties do need to be aware that unlike the ATT, the UNROCA does not allow States to restrict access to the reported information. In the UNROCA context, the reported information is made publicly available by default in the [UNROCA database](#) or the [relevant part of the UNODA website](#). States Parties should therefore consider this when deciding whether to allow transmission of their report to UNODA, especially if they opt not to make their ATT annual report publicly available and thus restrict access to their ATT annual report to other States Parties only.

## Contents of report

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"/>

164. This section contains a "table of contents" in tick-box form, where reporters need to indicate which of the different available reporting forms have been filled out and included in the final document that they are submitting to the ATT Secretariat.

165. The available reporting forms are the following:
- Nil report on exports of conventional arms (annex 3A, page 15 of the template)
  - Nil report on imports of conventional arms (annex 3B, page 16 of the template)
  - Annual report on exports of conventional arms (reporting table on pages 3 to 5 of the template)
  - Annual report on imports of conventional arms (reporting table on pages 6 to 8 of the template)
166. It is essential to understand that submitting an annual report on exports and submitting a nil report on exports are mutually exclusive. If actual exports have taken place during the reported period and/or export authorizations have been issued during the reporting period, the State Party needs to submit an annual report on exports and not a nil report on exports. And vice versa; if no actual exports have taken place during the reported period and/or no export authorizations have been issued during the reporting period, the State Party needs to submit a nil report on exports. Hence, if reporters tick the “yes” box for nil report on export of conventional arms, they need to automatically tick the “no” box for annual report on export of conventional arms.
167. For the purpose of clarity, the State Party should only fill out those reporting forms it has ticked “yes” to and only submit those to the ATT Secretariat. In practice, when reporters fill out the template in Word format, they should only fill in the forms that they are submitting and preferably delete those that are not applicable from the final document they submit to the ATT Secretariat. Hence, a State Party that is submitting annual reports on both exports and imports should only submit the title page (page 2 of the template) and the reporting table on exports (pages 3 to 5 of the template) and imports (pages 6 to 8 of the template). A State Party that is submitting nil reports on both exports and imports should only submit the title page (page 2 of the template) and the nil reports on exports (annex 3A, page 15 of the template) and imports (annex 3B, page 16 of the template).
168. The “table of contents” in this section also asks reporters to indicate whether “national definitions of categories of conventional arms” are reported. Reporters only need to tick the “yes” box in two instances:
- The State Party uses specific national definitions of categories I to VIII of conventional arms, diverging from those in Annex I of the template (see paragraphs [39-40](#) and [70-71](#)). In that case reporters need to describe these specific definitions in Annex 2 of the template.

- The State Party is reporting on exports and imports of additional national categories of conventional arms, i.e., categories that are not covered under Article 2 (1). In that case reporters need to report on these exports and imports in section C of the respective exports and imports reporting tables and describe the definitions of these additional national categories in Annex 2 of the template.

## Scope of report

Scope of report	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"/>

169. This section relates to the possible exclusion of commercially sensitive or national security information from the report (see paragraphs [45-48](#), [56-57](#), [88](#), [102](#) and [117-119](#)). As indicated in paragraph [48](#), while this exclusion is explicitly permitted in Article 13 of the Treaty, this section encourages States Parties to indicate in their report that they have effectively done so and to consider providing more information about this on a voluntary basis (which is the reason why this box is shaded). States Parties are encouraged to do so in light of the broader transparency purpose and to provide clarity on the comprehensiveness of their report and to avoid unnecessary questions regarding discrepancies between national reports.

## Reporting form for exports of conventional arms (pages 3 to 5 of the template)

### ! Important Information:

This reporting form only needs to be filled in if the State Party is effectively submitting an annual report on exports and not a nil report (see "Contents of report"). If the State Party is submitting a nil report on exports, it should leave this reporting form on exports blank and preferably delete it from the final document it submits to the ATT Secretariat.

## Definition of the term “export”

<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"/>

170. This box is included in the template because the Treaty itself does not include a definition of “export” (see paragraphs [36](#) and [70-71](#)). Instructions for this box are included in explanatory note 2 on page 9 of the template.

## Calendar year and cutoff date

Reporting country :		Calendar Year :	Cutoff date <sup>5</sup> :
---------------------	--	-----------------	----------------------------

171. Calendar year means the year being reported on, which is the preceding calendar year. Question 3 of the [FAQ-document on annual reporting](#) illustrates this with the example of a report submitted to the Secretariat by 31 May 2017, which will contain information on authorized or actual exports and imports that took place during the period 1 January to 31 December 2016. Explanatory note 3 on page 9 of the template explains the cutoff date as “the date for collected statistics”.

## Public availability

This Annual Report on exports may be made publicly available <sup>5</sup>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
---	------------------------------	-----------------------------

172. This box is included in the template to instruct the ATT Secretariat in a clear and transparent manner to post the annual report in the public part or the Restricted Area of the ATT website. For further information, see paragraphs [53-57](#), [76-77](#), [109](#) and [163](#), as well as explanatory note 5 on page 9 of the template.

## Exports reporting table

173. This table is the core of the export reporting form. The table includes the aforementioned minimum scope of arms which needs to be reported on and the minimum information that needs to be included in the report (see paragraphs 38, 42 and 70-73). At the same time, in the shaded boxes, the table also provides space for arms and information that go beyond that minimum (see paragraphs 39-40, 43 and 72-73). All the elements in this table are further explained in the explanatory notes on pages 9 to 11 of the template.

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></b> (national definitions shall not cover less than the definitions provided in Annex I <sup>15</sup> )								
1. Battle tanks	<input type="checkbox"/>	<input checked="" type="checkbox"/>	10		State A	State D	MBT Z1	For armed forces
			5		State B	State D	MBT Z1	For armed forces
			7		State C	State E	MBT Lion	For armed forces

174. The reporting table is divided in three sections, for different categories of conventional arms. **Section A ("I-VII UN Register Categories")** deals with the categories covered under Article 2 (1) (a) to (g) of the Treaty, which correspond to categories I to VII of the UNROCA. The minimum definitions of these categories are included in Annex I on pages 12 to 13 of the template. States Parties applying specific (diverging or more detailed) national definitions of these categories are requested to provide a description of these national definitions in the first table of Annex 2 of the template.

<b>B. VIII. Small Arms and Light Weapons<sup>16,17</sup></b>								
Small Arms (aggregated) <sup>18</sup>		<input type="checkbox"/>	<input type="checkbox"/>					
1. Revolvers and self-loading pistols	<input type="checkbox"/>	<input checked="" type="checkbox"/>	150		State D		9mm pistols	For police forces
2. Rifles and carbines	<input type="checkbox"/>	<input checked="" type="checkbox"/>	1000		State F		semi-automatic rifles	For armed forces
			200		State F		semi-automatic rifles	For sport shooting
3. Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>	Nil					
4. Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>	Nil					
5. Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>	Nil					
6. Others	<input type="checkbox"/>	<input type="checkbox"/>	Nil					
Light Weapons (aggregated) <sup>19</sup>		<input type="checkbox"/>	<input checked="" type="checkbox"/>	300	State G			For State use
			550		State H			For State use

175. **Section B (“VIII. Small Arms and Light Weapons”)** deals with the category covered under Article 2 (1) (h). The minimum definitions of this category are not included in the template, but are available in Annex 3 of the [FAQ-document on annual reporting](#). As with the previous Section A, States Parties applying specific (diverging or more detailed) national definitions for this category are requested to provide a description of these in the first table of Annex 2 of the template. Specific to this section and category is that the template provides a breakdown in sub-categories for respectively “small arms” and “light weapons”, which reflects the UNROCA approach. The shading of the sub-categories indicates that States Parties are “expected” to provide information about their exports of “small arms” and “light weapons” as separate aggregates and are encouraged to provide this information broken down (further) by sub-category.

C. National Categories <sup>20</sup> (please define in Annex 2)									
1	Ammunition	<input type="checkbox"/>	<input checked="" type="checkbox"/>	20000		State D		For 9mm pistols	For police forces

176. **Section C (“National Categories”)** is only relevant for those States Parties wishing to report on additional national categories of conventional arms, hence on categories that are not covered under Article 2 (1). Those States Parties are then also requested to provide a description of the definitions of these national categories in the second table of Annex 2 of the template. States Parties that are not reporting on additional national categories, should leave this section C blank.

### **! Important Information:**

177. As indicated in explanatory note 11 on page 10 of the template and in the answer to questions 22 and 23 of the [FAQ-document on annual reporting](#), States Parties are strongly encouraged to break down the relevant data per country to which exports were authorized or effected. For States Parties to be able to do so in a transparent manner, the template is made available in Word format. This allows reporters to add additional rows in the reporting table and to provide the relevant information broken down by the respective final importing States.

## Reporting form for imports of conventional arms (pages 6 to 8 of the template)

### ! Important Information:

This reporting form only needs to be filled in if the State Party is effectively submitting an annual report on imports and not a nil report (see “Contents of report”). If the State Party is submitting a nil report on imports, it should leave this reporting form on imports blank and preferably delete it from the final document it submits to the ATT Secretariat.

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
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>								
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>					

178. The reporting form for imports of conventional arms mirrors the reporting form for exports of conventional arms. The instructions in the previous section on the reporting form for exports therefore apply to this section as well.

## Explanatory notes (pages 9 to 11 of the template)

### EXPLANATORY NOTES

- 1) See questions 29 to 31 in the ‘FAQ’-type guidance document on the annual reporting obligation.

179. The explanatory notes seek to provide clarification on many elements of the annual reporting obligation and the reporting template itself. As indicated in the notes, most of them have their origins in UNROCA practice and/or the ATT [FAQ-document on annual reporting](#). As these notes only provide guidance to States Parties in preparing their annual reports, it is preferable that States Parties delete these pages from the final document they submit to the ATT Secretariat.



## Annex 1: UN Register Definitions of Categories I to VII (pages 12 to 13 of the template)

180. This Annex contains the minimum definitions of the categories of conventional arms covered under Article 2 (1) (a) to (g) of the Treaty. The title of the Annex refers to the UNROCA, because these definitions correspond to the definitions of categories I to VII of the UNROCA, in line with the provision in Article 5 (3) of the Treaty, which stipulates 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 [UNROCA] at the time of entry into force of the Treaty”. Footnote 1 in Annex 1 clarifies that these definitions are “excerpted from the 2014 UN Register reporting template”, taking into account that the Treaty entered into force on 24 December 2014. As this Annex only provides useful information to States Parties in preparing their annual reports, it is preferable that States Parties delete this Annex from the final document they submit to the ATT Secretariat.

## Annex 2: Specific national definitions of categories I to VIII and definitions of additional national categories (page 14 of the template)

### ! Important Information:

This Annex only needs to be filled in if the State Party uses specific national definitions of categories I to VIII of conventional arms or is reporting on exports and imports of additional national categories of conventional arms. If not, it is preferable that this Annex be deleted from the final document that is submitted to the ATT Secretariat.

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

No	Description
1	Ammunition for revolvers and self-loading pistols, rifles and carbines, sub-machine guns, assault rifles, light machine guns and other small arms

181. This Annex 2 is included directly following Annex 1 because its purpose is for States to describe their diverging definitions of categories I to VII to those in Annex 1 and/or their definitions of additional national categories of conventional arms beyond those included in Annex 1.

## Annex 3A: Nil report on exports of conventional arms (page 15 of the template)

### ! Important Information:

This nil reporting form only needs to be filled in if the State Party is effectively submitting a nil report on exports and not an annual report (see "Contents of report"). If the State Party is submitting an annual report on exports, it should leave this reporting form on exports blank and preferably delete it from the final document it submits to the ATT Secretariat. Please also note that a State Party should only submit this nil report on exports if it did not have any authorized or actual exports of the categories of conventional arms in Article 2 (1) in the preceding year. If the State Party did not have any exports to report in only certain categories of conventional arms, it should indicate this by entering the word "nil" in the appropriate columns of the exports reporting table.

## Calendar Year

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

182. Calendar year means the year being reported on, which is the preceding calendar year. For example, a nil report on exports submitted to the Secretariat by 31 May 2017 will confirm that during the period 1 January to 31 December 2016 no actual exports took place, and no export authorizations were issued.

## Tick-boxes

<input checked="" 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 checked="" 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.

183. The tick-boxes in the nil reporting form basically request the State Party to confirm that it effectively has no exports and imports to report on the preceding calendar year. This requires the double confirmation that no actual exports have taken place in the preceding calendar year and that no export authorizations have been issued in the preceding calendar year (for further information, see paragraphs [58-60](#)).

## Public availability

This nil report on exports may be made publicly available <sup>5</sup>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
--	------------------------------	-----------------------------

184. This box is included in the template to instruct the ATT Secretariat in a clear and transparent manner to post the report the annual report in the public part or the Restricted Area of the ATT website. For further information, see paragraphs [53-57](#), [76-77](#), [109](#) and [163](#), as well as explanatory note 5 on page 9 of the template.

## Annex 3B: Nil report on imports of conventional arms (page 16 of the template)

### **! Important Information:**

This nil reporting form only needs to be filled in if the State Party is effectively submitting a nil report on imports and not an annual report (see “Contents of report”). If the State Party is submitting an annual report on imports, it should leave this reporting form on imports blank and preferably delete it from the final document it submits to the ATT Secretariat.

185. The nil reporting form for imports mirrors the nil reporting form for exports. The instructions in the previous section about the nil reporting form for exports therefore apply to this section as well.



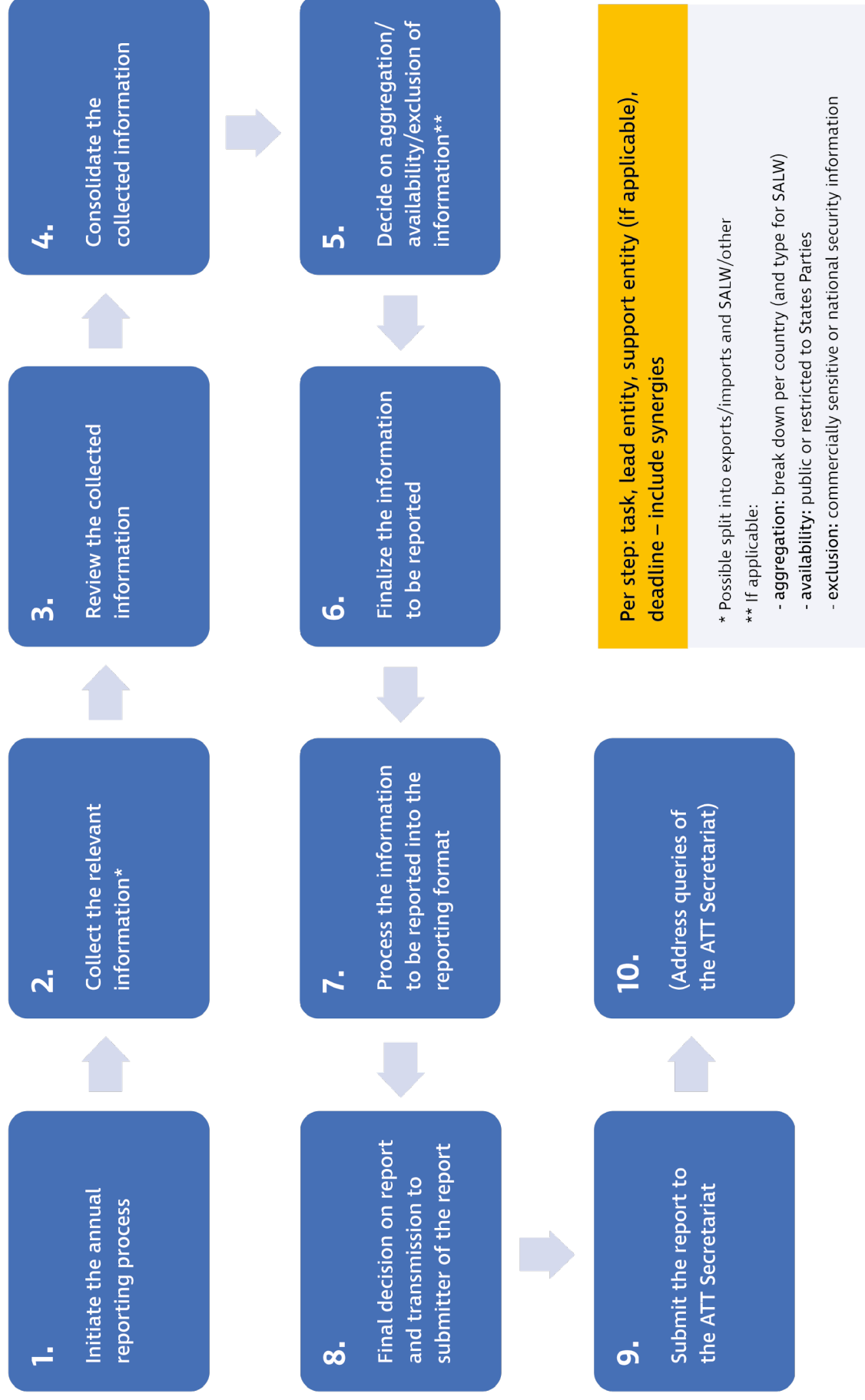
# Annexes

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- **ANNEX A.**  
Possible steps in annual reporting process
- **ANNEX B.**  
Possible template for national procedures document
- **ANNEX C.**  
Possible roadmap to establishing the national annual reporting process and creating the national procedures document
- **ANNEX D.**  
ATT Annual Reporting Template
- **ANNEX E.**  
List of additional guidance documents

## **ANNEX A -**

Possible steps in annual reporting process





## **ANNEX B -**

Possible template for  
national procedures  
document

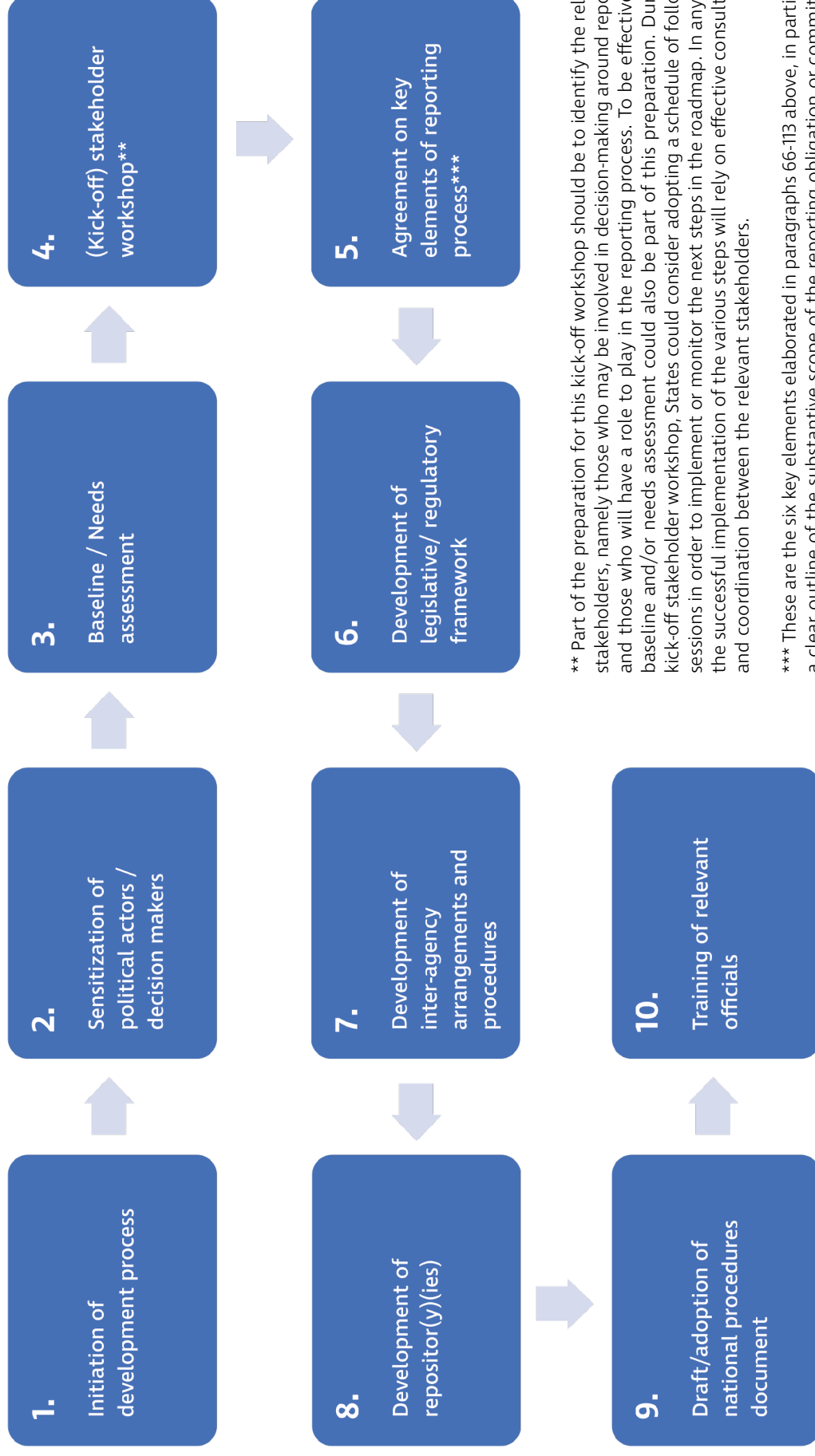
ARMS TRADE TREATY ANNUAL REPORT	
General requirements and national choices	
<b>Outline of reporting obligation or commitment</b>	Article 13 (3): Each State Party shall submit annually to the Secretariat by 31 May a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2 (1). Reports shall be made available, and distributed to States Parties by the Secretariat. The report submitted to the Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the United Nations Register of Conventional Arms. Reports may exclude commercially sensitive or national security information.
<b>Related obligations and/or commitments</b>	
<b>Scope and availability of the report</b>	
<b>Information to be reported</b>	
<b>Format of the report</b>	
<b>Reporting deadline</b>	31 May
<b>Information sources</b>	
<b>Coordinator – contact point</b>	
<b>Entities involved</b>	

Step-by-step reporting process			
Task	Lead entity	Support entity (if applicable)	Deadline
Initiate the reporting process – request collection of the relevant information			
Collect the relevant information on imports of SALW			
Collect the relevant information on imports of other conventional arms			

Collect the relevant information on exports of SALW				
Collect the relevant information on exports of other conventional arms				
Review the collected information				
Consolidate the collected information				
Decide on aggregation/availability/exclusion of information (if applicable)				
Finalize the information to be reported				
Process the information to be reported into the reporting format				
Final decision on report and transmission to submitter of the report				
Submit the report to ATT Secretariat				

## **ANNEX C -**

Possible roadmap to  
— establishing the national  
annual reporting process  
and creating the national  
procedures document\*



\*\* Part of the preparation for this kick-off workshop should be to identify the relevant stakeholders, namely those who may be involved in decision-making around reporting and those who will have a role to play in the reporting process. To be effective, the baseline and/or needs assessment could also be part of this preparation. During a kick-off stakeholder workshop, States could consider adopting a schedule of follow-up sessions in order to implement or monitor the next steps in the roadmap. In any case, the successful implementation of the various steps will rely on effective consultation and coordination between the relevant stakeholders.

\*\*\* These are the six key elements elaborated in paragraphs 66-113 above, in particular: a clear outline of the substantive scope of the reporting obligation or commitment and the information to be reported, including national choices; clear assignment of specific reporting tasks and responsibilities; a clearly defined step-by-step collection process through which information is collected reviewed, consolidated and processed, and critical deadlines in the process of preBparing reports.

\* The sequence of steps in this possible roadmap is not imperative. States should adapt this to their own national situation. Additionally, not all States will have to implement all the steps that are presented here. A baseline and/or needs assessment serves to identify the steps that are actually necessary.

# **ANNEX D -**

## ATT Annual Reporting Template

Download this document at:

<https://www.thearmstradetreaty.org/reporting.html>

ANNUAL REPORTING TEMPLATE  
16 July 2021

**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.



**ANNUAL REPORTING TEMPLATE**  
16 July 2021

**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"/>
---	--------------------------

<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"/>

# ANNUAL REPORTING TEMPLATE

16 July 2021

## 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-

Reporting country :	Calendar Year :	Cutoff date <sup>3</sup> :
---------------------	-----------------	----------------------------

<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"/>

This Annual Report on exports may be made publicly available <sup>5</sup>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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# ANNUAL REPORTING TEMPLATE

16 July 2021

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></b> (national definitions shall not cover less than the definitions provided in Annex 1 <sup>15</sup> )								
I. Battle tanks	<input type="checkbox"/>	<input checked="" type="checkbox"/>	10		State A	State D	MBT Z1	For armed forces
			5		State B	State D	MBT Z1	For armed forces
			7		State C	State E	MBT Lion	For armed forces
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"/>						
	b) unmanned	<input type="checkbox"/>						
V. Attack helicopters	a) manned	<input type="checkbox"/>						
	b) unmanned	<input type="checkbox"/>						
VI. Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII. Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>						
	b) MANPADS	<input type="checkbox"/>						

# ANNUAL REPORTING TEMPLATE

16 July 2021

B. VIII. Small Arms and Light Weapons <sup>16, 17</sup>										
Small Arms (aggregated) <sup>18</sup>		<input type="checkbox"/>	<input type="checkbox"/>				State D			
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input checked="" type="checkbox"/>	150					9mm pistols	For police forces
2.	Rifles and carbines	<input type="checkbox"/>	<input checked="" type="checkbox"/>	1000			State F		semi-automatic rifles	For armed forces
				200			State F		semi-automatic rifles	For sport shooting
3.	Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>	Nil						
4.	Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>	Nil						
5.	Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>	Nil						
6.	Others	<input type="checkbox"/>	<input type="checkbox"/>	Nil						
Light Weapons (aggregated) <sup>19</sup>		<input type="checkbox"/>	<input checked="" type="checkbox"/>	300			State G			For State use
				550			State H			For State use

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"/>							

ANNUAL REPORTING TEMPLATE

16 July 2021

C. National Categories <sup>20</sup> (please define in Annex 2)									
1	Ammunition	<input type="checkbox"/>	<input checked="" type="checkbox"/>	20000		State D		For 9mm pistols	For police forces

# ANNUAL REPORTING TEMPLATE

16 July 2021

## 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 -

Reporting country :	Calendar Year :	Cutoff date <sup>3</sup> :
---------------------	-----------------	----------------------------

<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"/>

This Annual Report on imports may be made publicly available <sup>5</sup>	Yes <input type="checkbox"/>	No <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
<b>A. I-VII UN Register Categories<sup>14</sup></b> (national definitions shall not cover less than the definitions provided in Annex 1) <sup>15</sup>								
I.	<input type="checkbox"/>	<input type="checkbox"/>						
Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						

# ANNUAL REPORTING TEMPLATE

16 July 2021

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>	
								Description of Item	Comments on the transfer
		Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>				
I		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.	a) manned	<input type="checkbox"/>	<input type="checkbox"/>						
	b) unmanned	<input type="checkbox"/>	<input type="checkbox"/>						
V.	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.	a) Missiles etc	<input type="checkbox"/>	<input type="checkbox"/>						
	b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>						
B. VIII. Small Arms and Light Weapons <sup>16, 17</sup>									
Small Arms (aggregated) <sup>18</sup>									
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"/>						
Light Weapons (aggregated) <sup>19</sup>									



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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>	6	7	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"/>						
C. National Categories <sup>20</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"/>						

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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).

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- 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](#).

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- 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>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 Register reporting template

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## 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.

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**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)

<b>No</b>	<b>Description</b>
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)

<b>No</b>	<b>Description</b>
1	<b>Ammunition for revolvers and self-loading pistols, rifles and carbines, sub-machine guns, assault rifles, light machine guns and other small arms</b>



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**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 checked="" 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 checked="" 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>	
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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 may be made publicly available<sup>5</sup></b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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## **ANNEX E -**

List of additional  
guidance documents

## Developed within the ATT process

- Guidance for completing annual reports:  
FAQ (2022, <https://www.thearmstradetreaty.org/reporting.html>)
- ATT National Points of Contact Guidance Document (2022, <https://www.thearmstradetreaty.org/national-points-of-contact.html>)

## Developed outside the ATT process

- The Global Reported Arms Trade - Transparency in Armaments Through the UN Register of Conventional Arms: A Guide to Assist National Points of Contact in Submitting Their National Reports (2023, <https://disarmament.unoda.org/unoda-occasional-papers-no-39-april-2023/>)
- UNODA ATT Implementation Toolkit - Module 3 - Reporting Requirements (2015, <https://disarmament.unoda.org/convarms/arms-trade-treaty-2/>)
- UNIDIR Reporting on Conventional Arms Trade: Synthesis Handbook (2018, <https://unidir.org/publication/reporting-on-conventional-arms-trade-synthesis-handbook/>)
- ATT Baseline Assessment Project Annual Report Guidance Booklet (2015, <https://www.stimson.org/2015/annual-report-guidance-booklet/>)
- ATT Monitor Practical guidelines to prepare and submit annual reports on arms exports and imports (2024, <https://attmonitor.org/en/practical-guidelines-to-prepare-and-submit-annual-reports-on-arms-exports-and-imports/>)



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