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**Reporting on
Conventional Arms Trade:
Synthesis Handbook**

UNIDIR RESOURCES

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About UNIDIR

The United Nations Institute for Disarmament Research (UNIDIR)—an autonomous institute within the United Nations—conducts research on disarmament and security. UNIDIR is based in Geneva, Switzerland, the centre for bilateral and multilateral disarmament and non-proliferation negotiations, and home of the Conference on Disarmament. The Institute explores current issues pertaining to a variety of existing and future armaments, as well as global diplomacy and local tensions and conflicts. Working with researchers, diplomats, government officials, NGOs and other institutions since 1980, UNIDIR acts as a bridge between the research community and Governments. UNIDIR activities are funded by contributions from Governments and donor foundations.

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About the Research Team

The initial drafting of this handbook was undertaken by Rachel Stohl, with research assistance from Shannon Dick and Franziska Seethaler. The drafting of the annexes (“crosswalks”) was undertaken by Shannon Dick, with research support from Franziska Seethaler. Editing support was provided by Sebastian Wilkin. At UNIDIR, this project was managed by Himayu Shiotani.

Rachel Stohl is Managing Director at the Stimson Center and directs the Center’s Conventional Defense Program. Her areas of expertise focus on issues relating to the international arms trade, including drones, small arms and light weapons, and children in armed conflict. Stohl was a consultant to the United Nations Arms Trade Treaty (ATT) process from 2010-2013 and was previously a consultant to the ATT Group of Governmental Experts (GGE) in 2008 and the United Nations Register for Conventional Arms in 2009.

Shannon Dick is Research Associate with the Managing Across Boundaries Initiative at the Stimson Center, where she directly supports the work of the Conventional Defense Program. She holds an MA in Security Studies from Georgetown University and a BA in Political Science and Psychology from the University of California, Berkeley

Franziska Seethaler is a Project Coordinator with UNIDIR’s Conventional Arms Programme. She has previously worked on mediation and disarmament, demobilization and reintegration (DDR) for the United Nations. She has also been an Advisor on Dialogue with Non-State Armed Groups for International Committee of the Red Cross (ICRC). She holds a dual Master's degree in International Security and Conflict Resolution from Columbia University and Sciences Po Paris.

Sebastian Wilkin is an English-qualified lawyer from New Zealand. He has a BA in Law from Oxford University and an Advanced MA in International Public Law from the University of Leiden. He has previously worked as an associate in the London Office of the law firm Freshfields Bruckhaus Deringer LLP and as an intern and consultant with UNDP in Timor-Leste.

Himayu Shiotani is Programme Lead and a focal point for conventional arms control at UNIDIR. He designs, manages and oversees all activities and projects undertaken by the Institute on conventional arms and related control regimes.

List of acronyms and abbreviations

ATT	Arms Trade Treaty
Firearms Protocol	Protocol Against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition
GGE	Group of Governmental Experts
ITI	International Tracing Instrument
PoA	United Nations Programme of Action on the Illicit Trade in Small Arms and Light Weapons in all its Aspects
SALW	Small arms and light weapons
UNODA	United Nations Office for Disarmament Affairs
UNODC	United Nations Office on Drugs and Crime
UNROCA	United Nations Register of Conventional Arms
UNTOC	United Nations Convention against Transnational Organized Crime

I. Introduction

In the late 1990s and early 2000s, the United Nations adopted numerous initiatives and agreements intended to address the uncontrolled proliferation and misuse of small arms and light weapons (SALW). Most notably, these efforts culminated in the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition (Firearms Protocol) and the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in all its Aspects (PoA). At the time, both instruments were seen as complementing the United Nations Register of Conventional Arms (UNROCA) and as an initial step towards addressing larger conventional arms trade issues. A number of initiatives were undertaken in this regard. The result of such efforts was the adoption of the Arms Trade Treaty (ATT) in 2013.¹ Now, more than 15 years after the inception of these early initiatives, States have numerous responsibilities through various international instruments that pertain to improving regulation and transparency of the global trade in conventional weapons. Many of these instruments have cross-cutting obligations and/or commitments for United Nations Member States or States parties. In the intervening years, States have repeatedly expressed a desire to identify synergies in these existing agreements to allow for more effective implementation. This handbook seeks to highlight overlaps in reporting obligations in order to avoid duplication, promote simplified and efficient reporting processes, and thereby reduce the overall reporting burden for States

Reporting can be an indicator of effective implementation. National recordkeeping systems can be strengthened from reporting efforts. Indeed, information provided under one instrument may be directly useful to another. For example, information collected for UNROCA may be utilized for the ATT, as noted explicitly in Article 13 (3) of the ATT. More broadly, information reported across instruments can support States in developing a more comprehensive understanding of their transfer control systems, including the identification of potential needs and priorities. In addition, information provided on national control systems (such as under the PoA) can be useful when conducting risk assessments prior to export authorizations as required by the ATT. Information exchanges may also facilitate implementation across instruments, such as sharing points of contacts, as well as identifying methods used to verify end users or conduct license checks. Reported information may also assist States in conducting verification measures as part of their national systems. Reporting can also be an indicator for the level of States' engagement with the instruments themselves. If States are not reporting to an instrument, for example, then the instrument itself may lose its salience in the development of norms or standards. Lastly, if States complete their reporting commitments, analysis of reported information can help develop guidance documents in support of implementation and help States further the object and purpose of the relevant instruments.

¹ Arms Trade Treaty, New York, 2 April 2013, United Nations, *Treaty Series*, No. 52373. Available from <https://unoda-web.s3-accelerate.amazonaws.com/wp-content/uploads/2013/06/English7.pdf>.

Overview of reporting under select multilateral instruments

- ATT initial report: As of 8 March 2018, 62 States parties had submitted an initial report to the ATT Secretariat, representing 68 per cent of the 91 States parties required to do so.²
- ATT annual report: As of 8 March 2018, 55 States parties had submitted at least one annual report on arms exports and imports to the ATT Secretariat.³ 49 States parties had submitted annual reports for 2016 by the same date, representing approximately 65 per cent of the 75 States required to do so.⁴ Further, as of 8 March 2018, out of the 49 ATT States parties that had submitted an annual report on arms exports and imports for 2016, only 31 of them had done so by the 31 May deadline.⁵
- PoA national reports: By the end of 2017, 169 of 193 Member States had submitted a national report at least once since the inception of the instrument.
- UNROCA reports: UNROCA has received reports from more than 170 States since its inception, although reporting rates have decreased markedly over the last 15 years. Only 35 States submitted reports to the Register on their 2016 annual arms exports and imports—representing the lowest reporting rate since UNROCA was established.

This handbook aims to identify reporting synergies across these various instruments to alleviate some of these challenges, identify good practice to better facilitate complimentary reporting efforts, and help States streamline their internal processes and national practices—all of which can support effective and comprehensive implementation of conventional arms trade instruments.

This handbook is not intended to identify every regional or international obligation related to the conventional arms trade, but rather to help States streamline their reporting processes and contribute to more effective and universal reporting related to conventional arms trade agreements. While recognizing that regional reports often influence the processes and types of reports that States produce—both at a national and international level—and that States can use information contained within this handbook to support the completion of multiple reporting obligations as outlined in regional agreements, the handbook only provides detailed analysis of international reporting mechanisms pertaining to global trade in conventional weapons.

Specifically, this handbook reviews the ATT, the Firearms Protocol, the PoA, and UNROCA. This handbook is intended to serve as a guide to foster discussion in national contexts, identify areas of future work for international agreements, and to support existing United Nations and civil society efforts toward universalization and effective implementation of conventional arms trade instruments.

² For more information, visit the Arms Trade Treaty website. Available from <http://www.thearmstradetreaty.org/index.php/en/2017-01-18-12-27-42/reports>.

³ For more information, visit the Arms Trade Treaty website. Available from <http://www.thearmstradetreaty.org/index.php/en/2017-01-18-12-27-42/reports>.

⁴ 50 State parties have submitted annual reports for 2016. However; one of the State parties that submitted a report was not due to report.

⁵ This figure includes those who have submitted the ATT annual reports within a seven-day grace period after the reporting deadline.

II. Brief overview of instruments

Arms Trade Treaty

The Arms Trade Treaty (ATT) serves as the first legally binding instrument to regulate the global trade in conventional weapons. Adopted in April 2013,⁶ the ATT aims to reduce human suffering and promote cooperation, transparency, and responsible action in the international arms trade by obliging States parties to develop national systems that control—and under certain circumstances prohibit—cross-border transfers of conventional weapons. The ATT entered into force on 24 December 2014 and, as of 1 March 2018, has 94 States parties. An additional 42 States had signed the treaty.

The ATT regulates the export, import, transit/trans-shipment, and brokering of conventional weapons. The treaty applies to eight categories of conventional arms: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft, attack helicopters, warships, missiles and missile launchers, and small arms and light weapons. The treaty also requires States parties to establish and maintain control systems for regulating ammunition/munitions exports as well as exports of parts and components “where the export is in a form that provides the capability to assemble the conventional arms covered” by the treaty.⁷

Firearms Protocol

The Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition (Firearms Protocol) aims to help regulate firearms transfers, prevent the diversion of firearms to illicit markets, and facilitate the development of investigatory and prosecutorial mechanisms to combat illicit trafficking in and manufacturing of firearms, their parts and components, and ammunition. The Protocol was adopted in May 2001 and supplements the United Nations Convention against Transnational Organized Crime (UNTOC). It is the only legally binding instrument that addresses the issue of firearms at a global level.

The Firearms Protocol identifies provisions for States parties to adopt regarding the export, import, and transit of firearms—including those related to security measures, marking, disposal, and confiscation. Furthermore, the Protocol requires States parties to develop, in their own national laws and regulations, criminal offences and procedures to mitigate illicit firearms production and trafficking. Such an approach on crime prevention places particular importance on marking firearms to enable law enforcement officials to adequately trace the weapons throughout their lifespan, and thus also requires States parties to maintain comprehensive records of firearms transfers. The Firearms Protocol entered into force in July 2005 and, had 115 States parties as of 1 January 2018, as well as an additional 52 signatories.⁸

⁶ General Assembly resolution 67/234 B. Available from <http://undocs.org/A/RES/67/234%20B>.

⁷ Arms Trade Treaty, Article 4.

⁸ Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime, New

Programme of Action on Small Arms and Light Weapons

The United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) is a global framework that identifies activities to counter the illegal trade in small arms and light weapons. The PoA was unanimously adopted by United Nations Member States in July 2001 and represents a politically binding international instrument. In aiming to curb the proliferation of illicit small arms and light weapons, the PoA identifies several measures for States to adopt and implement at national, regional, and international levels that range from transfer controls, stockpile management and weapons destruction, to marking and tracing and recordkeeping, among others. States hold biennial meetings to consider the implementation of the PoA, and convene review conferences every six years to review progress made.⁹

United Nations Register of Conventional Arms

The United Nations Register of Conventional Arms (UNROCA) serves as a voluntary mechanism to help build confidence among United Nations Member States by increasing transparency in armament transfers and identifying excessive and/or destabilizing accumulations of conventional arms through the submission of annual reports on arms exports and imports. The UNROCA aims to prevent conflict, promote stability, and maintain international peace and security. UNROCA was established on 1 January 1992 by United Nations General Assembly resolution 46/36 L,¹⁰ and first received information on States' annual arms exports and imports in 1993.

UNROCA defines seven categories of heavy weapon systems: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft and unmanned combat aerial vehicles, attack helicopters, warships, and missiles and missile launchers. Every three years, States convene a Group of Governmental Experts (GGE) to review the scope of UNROCA and provide recommendations for its further development. In 2003, States were encouraged to broaden the scope of their reporting to include information on imports and exports of SALW. States were further encouraged in 2006 to provide such information in standardized reporting templates. In 2016, the GGE recommended that States report on SALW transfers along-side the existing seven categories of conventional weapons covered by UNROCA.

York, 31 May 2001, United Nations, *Treaty Series*, vol. 2326, No. 39574. Available from <http://www.unodc.org/documents/treaties/UNTOC/Publications/A-RES%2055-255/55r255e.pdf>.

⁹ United Nations, *Report of the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects*, United Nations Document A/Conf.192/15, 9-20 July, 2001. Available from [https://www.un.org/events/smallarms2006/pdf/192.15%20\(E\).pdf](https://www.un.org/events/smallarms2006/pdf/192.15%20(E).pdf). The next review conference for the PoA will take place in New York from 18-29 June 2018. For more information, see: United Nations Office for Disarmament Affairs, "Third Review Conference on the Programme of Action". Available from <https://www.un.org/disarmament/convarms/revcon3/>.

¹⁰ United Nations General Assembly, *Transparency in Armaments*, United Nations Document A/RES/46/36/ L, 6 December 1991. Available from <http://www.un.org/Depts/ddar/Register/4636.html>.

III. Synergies in approach and scope

The international agreements described in this handbook have similarities in terms of their approach and scope, and in the interconnectedness of the definitions (or descriptions) of the items covered in the agreements.

Each of the four instruments examined here contains a commitment to increasing transparency and responsibility in the global arms trade and mitigating the negative impacts of illicit and/or irresponsible arms transfers. All of them focus on different categories of conventional arms, with some solely focused on small arms and light weapons. Each instrument emphasizes a State-led approach to addressing conventional weapons, wherein States ultimately determine implementation measures that work with their national transfer control systems. Moreover, each instrument reinforces the importance and impact of existing international treaties and multilateral regimes, and aims to support them.

The instruments covered by this handbook are practical in nature. They seek to develop oversight mechanisms for transfers of conventional weapons and encourage the development and strengthening of global norms and standards for responsible arms transfers. These instruments also promote the development of national infrastructure to facilitate compliance. Although these instruments reinforce State responsibility, they do call for engagement with multiple stakeholders (including regional/subregional organizations, industry and civil society) to increase collaboration and cooperation.

The instruments are linked in terms of the definitions and descriptions of the types of weapons covered. For example, while the ATT does not provide specific definitions for the items covered in its scope, with regard to the heavy weapons specified in Article 2 (1) (a)-(g), the treaty text states “National definitions...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.”¹¹ The categories described in General Assembly resolution 46/36 L are identical to those set out in the ATT: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft, attack helicopters, warships, and missiles and missile launchers. Therefore, under the ATT, any national definition relating to the heavy weapons categories specified in the ATT must be at least as comprehensive as the descriptions found in resolution 46/36 L.

With regard to SALW, specified in Article 2 (1) (h), the ATT states that “national definitions shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force”¹² (which occurred on 24 December 2014). The relevant descriptions include those provided in the Firearms Protocol, as well as the International Tracing Instrument (ITI).¹³ While the Firearms Protocol provides a more specific definition of firearms than the broader SALW category used in the ATT or the ITI, its definition and scope

¹¹ Article 5 (3) of the Arms Trade Treaty.

¹² Article 5 (3) of the Arms Trade Treaty.

¹³ For more detailed analysis of the overlap in definitions between the ATT, the Firearms Protocol and the International Tracing Instrument (as it relates to the PoA), see: UNODC, “Comparative Analysis of Global Instruments on Firearms and other Conventional Arms: Synergies for Implementation,” 2016, pp. 19-22.

overlaps considerably with other understandings of SALW captured in other international instruments.

Therefore, any national definition relating to SALW under the ATT shall be at least as comprehensive as the definitions found in the “relevant United Nations instruments”¹⁴, which may include the Firearms Protocol and the ITI.

Definitions related to small arms and light weapons, and firearms

- **Firearms Protocol, Article 3:**

For the purposes of this Protocol: (a) “Firearm” shall mean any portable barrelled weapon that expels, is designed to expel or may be readily converted to expel a shot, bullet or projectile by the action of an explosive, excluding antique firearms or their replicas. Antique firearms and their replicas shall be defined in accordance with domestic law. In no case, however, shall antique firearms include firearms manufactured after 1899;

(b) “Parts and components” shall mean any element or replacement element specifically designed for a firearm and essential to its operation, including a barrel, frame or receiver, slide or cylinder, bolt or breech block, and any device designed or adapted to diminish the sound caused by firing a firearm;

(c) “Ammunition” shall mean the complete round or its components, including cartridge cases, primers, propellant powder, bullets or projectiles, that are used in a firearm, provided that those components are themselves subject to authorization in the respective State Party;

- **International Tracing Instrument, Article 4:**

For the purposes of this instrument, “small arms and light weapons” will mean any man-portable lethal weapon that expels or launches, is designed to expel or launch, or may be readily converted to expel or launch a shot, bullet or projectile by the action of an explosive, excluding antique small arms and light weapons or their replicas. Antique small arms and light weapons and their replicas will be defined in accordance with domestic law. In no case will antique small arms and light weapons include those manufactured after 1899:

(a) “Small arms” are, broadly speaking, weapons designed for individual use. They include, inter alia, revolvers and self-loading pistols, rifles and carbines, sub-machine guns, assault rifles and light machine guns;

(b) “Light weapons” are, broadly speaking, weapons designed for use by two or three persons serving as a crew, although some may be carried and used by a single person. They include, inter alia, heavy machine guns, hand-held under-barrel and mounted grenade launchers, portable anti-aircraft guns, portable anti-tank guns, recoilless rifles, portable launchers of anti-tank missile and rocket systems, portable launchers of anti-aircraft missile systems, and mortars of a calibre of less than 100 millimetres

¹⁴ As described in Article 5 (3), with respect to the category covered under Article 2 (1) (h) of the Arms Trade Treaty.

IV. Reporting obligations and objectives

The following section outlines the reporting commitments related to international transfers, as well as information to be maintained at the national level on international transfers that may facilitate preparation of national reports under select multilateral agreements and instruments. In many cases, reporting commitments are aligned with information to be kept at the national level as required and/or encouraged by a multilateral agreement/instrument, reflecting consistency between data to be maintained and to be reported on. In other cases, reporting and recordkeeping commitments under a multilateral agreement/instrument may not overlap, where information is required and/or encouraged to be kept at the national level while no reporting commitments may exist for such information. In a few cases, reporting templates or forms request States to provide information on measures that may not be explicitly referenced as a reporting commitment under a multilateral agreement/instrument. In this regard, in gaining a comparative overview of reporting commitments among select multilateral agreements and instrument, this section presents a basic overview of reporting commitments and information to be kept at the national level, as required or encouraged by the agreement/instrument. At the end of this section, a comparative overview of information to be kept (required and/or encouraged) at the national level is presented as a reference to facilitate reporting under select multilateral conventional arms agreements and instruments. A detailed comparative overview between reporting templates is provided in the form of “crosswalk” documents annexed to this handbook.

Arms Trade Treaty

The ATT requires States parties to complete two types of reports: (1) an initial report on treaty implementation and (2) annual reports on arms exports and imports. The initial report is intended to capture information on States parties’ national arms transfer control systems, and identify the legislative frameworks and national policies and processes in place that enable ATT implementation. States parties are only required to submit an initial report once to the ATT Secretariat, but are required to provide updated information should changes be made to their national control systems. The annual reports on arms exports and imports, by comparison, are meant to capture information on authorizations and/or actual exports and imports of the eight categories of conventional arms contained within Article 2(1) of the treaty. The annual reports are due each year to the ATT Secretariat by 31 May and contain information for the preceding calendar year. The 31 May deadline is the same submission date as UNROCA and is intended to encourage States to report to both instruments.

Table 1: Overview of reporting among select conventional arms instruments						
Instrument	Reporting Deadline	Frequency in reporting	Nature of reporting	Reporting template exists?	Custodian Organization	Reports available publicly?
ATT initial report	Within one year of entry into force for the State Party	One time, updated when national controls have been revised	Legal obligation	Yes	ATT Secretariat	Yes, with exceptions
ATT annual report	31 May	Annual	Legal obligation	Yes	ATT Secretariat	Yes, with exceptions
PoA	Dates of submission vary each biennial period	Biennial (once every two years)	Voluntary	Yes	UNODA	Yes
UNROCA	31 May	Annual	Voluntary	Yes	UNODA	Yes
Firearms Protocol	n/a	n/a	No reporting requirement	n/a	UNODC	n/a

Information contained within the ATT initial report shares many overlaps with other reporting mechanisms, including the PoA. The ATT initial report template contains 13 sections that reflect various components of treaty implementation, including questions pertaining to States parties' national control systems and lists, arms transfer activities (i.e. exports, imports, transit/trans-shipment, and brokering efforts to mitigate the threat of weapons diversion), and enforcement.¹⁵

It should be noted that brokering is the only international transfer activity with no explicit reference (requirement or encouragement) for recordkeeping and reporting under the ATT. Some experts have argued that the term "transferred" in Article 12 (2) may imply that States parties are encouraged to record information on brokering activities that lead to the import of weapons to its territory, since the term 'transfer' is described under the ATT as including 'brokering' (Article 2 (2)).¹⁶ The ATT initial report template does, however, request

¹⁵ For ATT reporting template, see Arms Trade Treaty Secretariat, Reporting, "Reporting Template: Initial Report on Measures Undertaken to Implement the Arms Trade Treaty, in Accordance with Article 13(1)," http://thearmstradetreaty.org/images/ATT_documents/ATT_Reporting_Templates/Initial_Reporting_Template_English.pdf. PoA reporting templates are only made available to official national points of contact of a State for the PoA.

¹⁶ See chapter on brokering in Casey-Maslen, S., Clapham, A., Giacca, G. and Parker, S., *The Arms Trade Treaty: A Commentary*, Oxford University Press, 2016.

information to be provided by States parties on measures to regulate brokering activities in their jurisdiction.

The ATT initial report template also prompts States parties to provide information on international cooperation efforts, reporting and record-keeping practices, and provisions of international assistance to support treaty implementation. For greater detail, see Annex 1, which contains a detailed comparison of the ATT initial report template and the PoA reporting template.

Information contained within ATT annual reports on arms exports and imports shares several commonalities with other instruments, particularly with UNROCA. Indeed, the ATT annual report template is based on the standardized UNROCA templates for reporting on international transfers of seven categories of conventional arms and for providing

Table 2: Information to be kept (required and encouraged) at the national level related to international transfers applicable to reporting under the ATT		
Information to be kept	Relevant references	Remarks
International transfers of conventional arms		
Export: Records of issuance of export authorizations or its actual exports of conventional arms covered under Article 2 (1)	Article 12 (1); Article 13 (3)	Mandatory for State parties to keep records (Article 12, (1)) and to report on under the ATT annual report (Article 13, (3))
Import: Records of issuance of import authorizations or its actual imports of conventional arms covered under Article 2 (1)	Article 12 (2); Article 13 (3)	A recordkeeping encouragement (Article 12, (2)) but mandatory for States parties to report on under the ATT annual report (Article 13, (3))
Content of records		
<ul style="list-style-type: none"> • Quantity • Value • Model/Type • Authorized international transfers of conventional arms covered under Article 2 (1) • Conventional arms actually transferred • Details of exporting State • Details of importing State • Details of transit and trans-shipment and end users, as appropriate* 	Article 12 (3)	*While a recordkeeping encouragement (Article 12, (2), (3)), States parties are not required nor requested to report on details of transit and trans-shipment under the ATT annual report

information on international transfers of SALW.¹⁷ The ATT annual report template allows States to provide background information on international transfers of SALW and contains six subcategories for small arms and seven subcategories for light weapons. These subcategories originated in the 1997 GGE report on small arms.¹⁸ The ATT annual report template uses shading for these subcategories, indicating that States can choose to use them. For greater detail, see Annex 2, which contains a detailed comparison of the ATT annual report template and the UNROCA reporting form.

Table 3: Other relevant information to be kept (required and encouraged) at the national level with explicit references to reporting under the ATT

Information to be kept	Relevant references	Remarks
National control system, including a national control list		
Information on national control list pursuant to national laws	Article 5 (2), (4); Article 13 (1)	Mandatory for States parties to establish (Article 5 (2)), to share with other States parties (via the Secretariat) (Article 5 (4)), and to report (Article 13 (1)) on national control lists in their ATT initial reports
Information related to prevention of diversion in arms transfers		
Information on measures taken that have been proven effective in addressing the diversion of transferred conventional arms covered under Article 2 (1)	Article 11 (6) Article 13 (2)	States parties are encouraged, both under Article 11 (6) and Article 13 (2), to report on measures taken to address diversion in arms transfers. The ATT does not elaborate on how and what should be reported and there is no reporting template for reporting on prevention of diversion at this time

The ATT annual report template is not identical to the UNROCA reporting form, however, and contains several types of information that are not captured in the UNROCA reporting

¹⁷ ATT-Baseline Assessment Project (ATT-BAP), *Reviewing 2016 ATT Annual Reports on Arms Exports and Imports: Analysis and Good Practice*, October 2016. Available from http://www.armstrade.info/wp-content/uploads/2016/10/ATT-BAP_Reviewing-2016-ATT-Annual-Reports-on-Arms-Exports-and-Imports.pdf

¹⁸ *Report of the Panel of Governmental Experts on Small Arms*, as contained in United Nations Document A/52/298, 27 August 1997. Available from <https://documents-dds-ny.un.org/doc/UNDOC/GEN/N97/226/20/pdf/N9722620.pdf?OpenElement>.

form.¹⁹ For example, the ATT annual report template offers States parties the opportunity to report on authorizations and/or actual arms exports and imports, while UNROCA asks Member States to submit information only on actual arms exports and imports. Authorized arms exports/imports are those that have been licensed or given permission to be transferred. Such transfers are not required to occur in the same calendar year as the granted authorization, or at all. Actual arms exports/imports are those transfers that are exported/imported/delivered, and the value and/or quantity of authorizations may therefore differ from actual transfers in a given year. The ATT annual report template allows States parties to report on the number of items exported/imported and/or on the value of those items. The UNROCA reporting form provides information only on the number of items exported/imported. Thus, ATT annual reports could supplement information provided in UNROCA reports and contribute to the promotion of greater transparency for the international arms trade for conventional arms, including with respect to SALW.

Firearms Protocol

Though the Firearms Protocol was negotiated and adopted to mitigate the negative consequences of illicit arms manufacturing and trafficking, it shares many commonalities with other arms transfer control regimes. With regard to reporting, the Firearms Protocol does not have an official reporting requirement and it does not oblige States parties to submit national reports. The Protocol does, however, require States parties to share information on “relevant case-specific” issues such as importers, exporters, producers, dealers, and/or carriers of firearms, as well as on the nature and operations of criminal groups that participate (or are suspected of participating) in illicit activities related to manufacturing of or trafficking in firearms, their parts and components, and ammunition.²⁰ States are further required to share technical information that may assist in detection and prevention of illegal firearms transfers, as well as assist in firearms tracing efforts.²¹ Information contained in such records could support reporting processes for other international agreements, including for the ATT and the PoA.

Furthermore, the Firearms Protocol requires States parties to maintain comprehensive records of information on transnational movements of firearms. Article 7 of the Protocol calls on States parties to keep records for no less than 10 years in order to support efforts to trace and identify, as well as detect and prevent, illicitly manufactured and trafficked firearms.²² Such records are required to include information on appropriate markings as well as detailed information on international transaction (see table 4).

¹⁹ For a descriptive list of differences between the ATT annual report template and the UNROCA reporting form, see: ATT-BAP, *Reviewing 2016 ATT Annual Reports*, p. 14.

²⁰ Firearms Protocol, Article 12, Paragraphs 1 and 2.

²¹ Firearms Protocol, Article 12, Paragraphs 3 and 4.

²² Firearms Protocol, Article 7.

Table 4: Information to be kept (required and encouraged) at the national level related to international transfers under the Firearms Protocol

Information to be kept	Relevant references
International transactions in firearms	
<ul style="list-style-type: none"> • Issuance and expiration dates of the appropriate licences or authorizations • Country of export • Country of import • Transit countries, where appropriate • Final recipient • Description and quantity of the articles 	Article 7 (b); Article 10 (1)
Brokering	
Records regarding brokers and brokering in accordance with Article 7	Article 15 (2) Article 15 (1)
Information related to prevention of diversion in arms transfers	
Information on marking of imported firearms at the time of import	Article 7 (a); Article 8, 1 (b)
Information on end use/user documentation	Article 7 (b) Article 10 (3), (5)
Information on security measures on firearms at the time of import, export and transit through its territory ²³	Article 11 (a), (b) Article 10 (4)
Information on measures to prevent and/or address illicit trafficking and actors in firearms ²⁴	Article 12 (2) (a), (b), (c), (d)

Article 15 of the Protocol also encourages States parties to retain records of firearms brokers and brokering activities, as well as to share such information with other States so as to support comprehensive implementation of the Protocol and strengthen prevention efforts. Such information could also be provided in a description of national measures in the ATT initial report and in national reports on PoA implementation. For greater detail on the applicability of the Firearms Protocol provision on international transfer to reporting under other multilateral agreements and instruments—notably the PoA, and in some areas the ATT—see Annex 1.

Programme of Action on Small Arms and Light Weapons

While the PoA does not explicitly require States to submit national reports, Section II, Paragraph 23 of the instrument encourages States to “make public national laws,

²³ Information management on this measure is not explicitly required or encouraged by the Firearms Protocol. However, in order to exchange information among States parties, as required by Article 12 (2) (d), keeping information on this measure at the national level is a pre-requisite.

²⁴ Information exchange on Article 12 (2) (a-d) implicitly entails that States parties should keep related information at the national level.

regulations and procedures that impact on the prevention, combating and eradicating of the illicit trade in small arms and light weapons in all its aspects” and voluntarily provide information on:

- (a) small arms and light weapons confiscated or destroyed within [a State’s] jurisdiction submit information regarding the confiscation, destruction, techniques of acquisition; and
- (b) other relevant information such as illicit trade routes and techniques of acquisition that can contribute to the eradication of the illicit trade in small arms and light weapons.²⁵

Further, under the PoA, States have committed to maintain comprehensive and accurate records for as long as possible on the manufacture, holding and transfer of small arms and light weapons under their jurisdiction.²⁶ Additionally, under the ITI, States have committed to maintain records of import and export of SALW for at least 20 years, or to the extent possible, indefinitely.²⁷

Since the adoption of the PoA, United Nations Member States have agreed to provide, on a voluntary basis, biennial reports on national implementation of the PoA. The submission of these reports is not a legal requirement, but a political commitment. In 2010, States welcomed a standardized reporting template developed by the United Nations Office for Disarmament Affairs (UNODA) to support PoA implementation and allow Governments to submit their national reports online.²⁸ The original template was subsequently revised and the latest version (2016) contains 10 sections on a range of issues:

- National points of contact
- SALW manufacturing
- International transfers
- Brokering
- Stockpile management
- SALW collection
- Marking and recordkeeping
- International tracing
- International cooperation and assistance
- Additional information (which includes information on national marking practices, how gender is taken into consideration in implementing the PoA, and an opportunity for States to provide any other additional information that States think might be relevant to provide).

The PoA reports allow States to provide insight on their national control systems with regard to regulations surrounding the life cycle of SALW. States are requested to provide

²⁵ United Nations Programme of Action, Section II, Paragraph 23.

²⁶ United Nations Programme of Action, Section II, Paragraph 9.

²⁷ ITI, Section IV, Paragraph 12 (b).

²⁸ Report of the Fourth Biennial Meeting of States to Consider the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, United Nations Document A/CONF.192/BMS/2010/3, 30 June 2010. Available from <http://www.poa-iss.org/BMS4/Outcome/BMS4-Outcome-E.pdf>.

information regarding transfer control measures at the national level. For example, for international transfers, States are asked to provide information on legislation, licensing and authorization, including on documentation (such as end user certificates), verification of documentation, measures against misuse of end user certificates, post-delivery controls, marking at import, and records on transfers, including on type of data and length of recordkeeping transfers. Although this information is requested specifically for SALW, such information could be applicable to other agreements, such as the ATT initial reports or the Firearms Protocol.

Table 5: Suggested information to be kept at the national level related to international transfers applicable to reporting under the PoA²⁹	
Information to be kept	Relevant references
International transfers of SALW	
Information on laws, regulations and administrative procedures on: <ul style="list-style-type: none"> • Export • Import • Transit • Retransfer 	PoA reporting template question 5
Information on licensing and authorizations of SALW transfers	PoA reporting template question 5.2
Information on end use/user documentation	PoA reporting template question 5.4
Suggested content of records	
<ul style="list-style-type: none"> • Details of exporter • Details of importer • Quantity of SALW traded • Type/model of SALW traded • Details on transactions (sales/buys), including information on buyer/seller and/or which country SALW is being sold/purchased from* 	PoA reporting template question 5.11 *See also PoA reporting template question 3.3.1
Information on measures to prevent diversion in arms transfers³⁰	
Information on post-delivery controls, including delivery confirmation and/or physical checks	PoA reporting template questions 5.7; 5.9
Information on marking imported SALW at the time of import	PoA reporting template question 5.10

²⁹ As suggested by the 2016 PoA reporting template.

³⁰ As the handbook focuses on international transfers, this table does not include diversion prevention measures related to post-delivery controls, such as stockpile management and disposal, which are both covered under the PoA.

Although specific to SALW, information contained within the PoA reports has relevance for the Firearms Protocol, as well as for initial reports on ATT implementation. Indeed, the PoA reporting template shares many features with the ATT initial report template, both in terms of topics covered and in the substance captured within various questions. States reporting on their licensing procedures for the PoA can also share that information in their ATT initial report. States may be able to find and use relevant information contained within their PoA reports to facilitate completion of their ATT initial report on implementation, and vice versa—particularly with regard to questions on legislation, policy guidelines, and regulatory procedures.³¹ For greater detail, see Annex 1, which contains a detailed comparison of the ATT initial report template and the PoA reporting template.

United Nations Register of Conventional Arms

UNROCA encourages United Nations Member States to submit annual reports on the export and import of seven categories of conventional arms: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft and unmanned combat aerial vehicles, attack helicopters, warships, and missiles and missile launchers. Since 2003, States have also been invited to provide background information on international transfers of SALW. In 2006, States were further encouraged by the GGE to provide this background information in standardized reporting templates. In 2016, States were recommended by the GGE to include SALW alongside the seven categories of conventional weapons. States that have provided information to UNROCA for these eight categories of weapons may use the same information in their ATT annual reports, as these categories reflect those captured in Article 2(1) of the ATT.

UNROCA reports contain information on the number of items exported from and/or imported to a given State, the State of origin for the weapons systems, the intermediate locations of the transfers, and a description of the transferred items. In addition to reporting on seven categories of heavy weapons and SALW, States are also invited to submit relevant information on the procurement of conventional weapons from domestic production as well as on military holdings and relevant national policies and legislation.³² Further, States can also use the “remarks” column in the standardized reporting form to provide additional information such as types or models.

UNROCA reports are requested by 31 May of each year for information on imports and exports from the preceding calendar year, which is the same reporting deadline as the ATT annual report. For greater detail, see Annex 2, which contains a detailed comparison of ATT annual report and UNROCA reporting form.

³¹ Annex 1 provides a question-by-question comparison of the PoA reporting template and the ATT initial report template to help visually identify the overlaps between the two reporting mechanisms and support States parties in identifying common information that can be used to complete both reports.

³² General Assembly resolution 46/36 L. Available from <http://www.un.org/documents/ga/res/46/a46r036.htm>.

Table 6: Information to be kept at the national level related to international transfers applicable to reporting under the UNROCA ³³	
Information to be kept	Relevant references
International transfer of conventional arms	
Records on actual international transfer of conventional arms for: Export Import	A/RES/46/36 L, paragraph 9
Suggested content of information applicable for reporting to UNROCA³⁴	
Actual export and import Exporting State Importing State Quantity (number of items) Intermediate location if any State of origin (if not exporter)	UNROCA Reporting form
Additional Information	
Background information on military holdings, procurement through national production and relevant policies	A/RES/46/36 L, paragraph 10

Table 7: Comparative overview of information to be kept at the national level related to international transfers as applicable to reporting under ATT annual report and UNROCA		
Information type	ATT annual report	UNROCA
Information on issuance of licenses or authorizations on transfers	X	-
Information on actual transfers	X	X
Information on State of origin	X	X
Information on Final Importing State	X	X
Information on Intermediary location	-	X
Information on quantity of items	X	X
Information on value	X	-

³³ UNROCA does not explicitly request or encourage States to keep or maintain information on transfers of conventional arms at the national level. That said, for States to be able to participate and report to UNROCA, maintaining information on international transfers is a pre-requisite.

³⁴ As suggested by the UNROCA reporting form.

Table 8: Comparative overview of information to be kept (required and/or encouraged) which may facilitate arms transfer related reporting

Instruments	PoA/ITI (applicable to SALW only)	Firearms Protocol ³⁵ (application to firearms only)	ATT (applicable to conventional arms including SALW)	UNROCA ³⁶ (applicable to conventional arms including SALW)
Information on national transfer control system	X	X	X	-
Information on exports	X	X	X	X
Information on imports	X	X	X	X
Information on transit/trans-shipment	X	X	X ³⁷	X ³⁸
Information on brokering	X	X	X ³⁹	-
Information on retransfers	X	-	-	-
Information on measures to prevent diversion in arms transfer	X ⁴⁰	X	X ⁴¹	-

³⁵ While the Firearms Protocol does not have a reporting obligation, information to be kept at the national level on international transfers, as demonstrated in this table, may have applicability in supporting the preparation of reports under other instruments related to firearms.

³⁶ Resolution A/Res/46/36 on UNROCA does not explicitly request or encourage States to keep or maintain information on transfers of conventional arms at the national level. That said, for States to be able to participate and report to UNROCA, maintaining information on international transfers is a pre-requisite.

³⁷ Recordkeeping is encouraged under Article 12 (2). Not required to report under ATT annual report. Information on transit/trans-shipment is to be provided as part of ATT initial report.

³⁸ States can include information on intermediate locations, if any, in their UNROCA reporting form.

³⁹ There is no explicit obligation or encouragement under the ATT to keep records or to report on brokering measures, although there are varying interpretations on the implicit need to keep records on brokering under Article 12 (2). The ATT initial report requests information from States parties on measures to regulate brokering (Section 6 of the initial reporting form).

⁴⁰ PoA reporting template does not explicitly request States to report on measures to prevent diversion in arms transfers. However, many of the control measures under the PoA on transfer controls which States are requested to provide information on have direct relevance to preventing diversion, such as end use/user documentation and post-delivery confirmation.

⁴¹ While the ATT does not include explicit obligation for States parties to keep records of measures to prevent diversion, the ATT does encourage States to share and report on such measures, which implies that States parties should keep such records at the national level. The ATT initial report does request States parties to provide information related to preventing diversion (Section 7 of the initial reporting form).

V. Issues for consideration in preparing reports

Sources of information

States derive information for reports on conventional arms transfers from a variety of sources. One predominant source of information is government agencies themselves. In some cases, the individual completing each reporting form may be the same person across multiple instruments. Additionally, the national points of contact for the instruments may also be the same and these individuals may similarly be involved in the implementation processes for a variety of other international instruments not covered in this handbook, such as the Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons Which May Be Deemed to Be Excessively Injurious or to Have Indiscriminate Effects (Convention on Certain Conventional Weapons), the Convention on Cluster Munitions, and the Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on Their Destruction (Mine Ban Treaty). Indeed, greater levels of coordination may be necessary and it may prove useful and prudent for States to include such individuals in the reporting and recordkeeping processes for the four instruments discussed in this handbook.

Research on ATT reporting experiences has found that ATT States parties use similar sources for completing their initial reports on ATT implementation as for their ATT annual reports on arms exports and imports. Specifically, States parties noted that they frequently relied upon the Ministries of Foreign Affairs and Defence, as well as Ministries of Economy and the Interior to provide information for their initial reports, and commonly looked to the Ministries of Foreign Affairs and Defence to provide information for their annual reports.⁴² Other organizational sources of information include city offices and the defence industry, particularly as each organization is able to provide insight on national policies and practices, as well as data on annual exports and imports.⁴³ Police sources have also been referenced by States as useful source of information for reporting exercises.

Additionally, States can look to specific documentation for information that can support completion of reports for the ATT, the PoA and UNROCA. For reports on arms exports and imports, for example, States can utilize information contained within export and import licenses/authorizations, and procurement documents. States can also seek insight from their national customs agencies, national police, and defence industries for information on actual arms transfers and/or granted licenses.⁴⁴ For reports on implementation, States often

⁴² ATT-BAP, *Reporting in Review: Examining ATT Reporting Experiences*, August 2017. Available from http://www.armstrade.info/wp-content/uploads/2017/04/Reporting-in-Review_Examining-ATT-Reporting-Experiences_ATT-BAP.pdf

⁴³ ATT-BAP, *Reporting in Review*, pp. 12-13.

⁴⁴ Ibid.

refer to their policy documents, their laws, and their regulations, often quoting the legal language in the reporting instruments.

Methods and approaches to reporting

A variety of institutions and national processes are used by States to prepare their different reports for the ATT, the PoA, and UNROCA. On several occasions, many States have noted that they rely on pre-existing inter-agency processes or coordination mechanisms to prepare their reports, while others have noted the development of a dedicated inter-agency process or related coordination mechanisms to facilitate report completion. Other States, by comparison, rely on a single government department or agency to take responsibility for their various reporting obligations and requests. In some cases, national reports have a focal point at the national level that is responsible for compiling the information (this may or may not be the same person that is the national point of contact for the instrument).

States often have domestic reporting systems related to conventional arms transfers and arms transfer control systems. Domestic reporting obligations, however, do not always align with reporting requirements for multilateral instruments. Indeed, internal and external reporting timelines can pose an additional challenge to States with multiple reporting obligations and often operating with limited resources. States have noted that a centralized database can be a useful tool for those compiling reports to help streamline these processes, but have also cautioned that often, if such a database exists, they are not kept up to date or accessible to those completing national reports. To help reduce the reporting burden and support the completion of reports for multilateral instruments as well as for national bodies, it may be useful for States to clarify and/or link reporting obligations to broader national strategies related to arms transfer control. Other steps States could take to facilitate comprehensive reporting across a variety of instruments could include:

- Developing and using a national paper that identifies the various points of contact and procedures for reporting that could serve as a roadmap/reference guide for all reporting obligations.⁴⁵
- Developing a reporting matrix at the national level for use by all relevant ministries and/or agencies involved in reporting to multilateral instruments.
- Dedicating a national body or agency to internally monitor reporting obligations and providing notices to various government ministries and/or agencies on upcoming or pending deadlines.

⁴⁵ For example, Sweden has produced a national procedures document. Some of the elements are reflected in a working paper submitted as an annex to the draft report of the Co-Chairs of the ATT Working Group on Transparency and Reporting for CSP3. For more information, see *Arms Trade Treaty, Working Group on Transparency and Reporting Co-chairs' Draft Report to CSP3*, Annex B. Available from http://thearmstradetreaty.org/images/CSP3_Documents/WG_documents/WGTR_-_Draft_Report_to_CSP3_-_Rev1_-_EN.pdf.

- Hosting an annual consultative process at the national level to discuss relevant data on arms transfers and controls to support information sharing across government agencies, augment data management practices, and facilitate reporting to multilateral instruments.

Addressing diversion

Diversion is a central point of synergy between conventional arms agreements. In general, even if not explicitly stated, the object and purpose of these conventional arms agreements is to help curb and prevent diversion of conventional arms.

However, currently there are no reporting templates for the ATT, PoA or Firearms Protocol dedicated to diversion measures. That said, many control measures requested in each of the reporting regimes also have relevance for preventing or responding to diversion. In the ATT, Article 11 is focused on measures to prevent diversion, including information exchanges and conducting risk assessments. States are encouraged to ensure national measures include measures to prevent diversion. Moreover, Article 13 (2) of the ATT encourages States parties “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).” To date, no State party has provided such a report to the ATT Secretariat.

There are also examples in the PoA that relate to diversion prevention measures. These include, but are not limited to: transfer controls with regard to end user documents and verification, such as information requested in end user certificates; brokering controls; assurances related to no re-export; post-delivery control requirements, such as marking, recordkeeping, stockpile management and disposal; as well as measures to address illicit trafficking, such as tracing and criminalization. Although the PoA reporting template does not have a dedicated section for prevention of diversion, it does allow States to elaborate on their domestic preventive measures, which can provide useful information on diversion for reporting under other instruments. Additionally, Article 11 of the Firearms Protocol directs States parties to “take appropriate measures” that help “detect, prevent and eliminate the theft, loss or diversion” of firearms, their parts and components and ammunition. States could provide the details of such measures in their PoA reports, particularly for those security measures related to transfer activities. Further, depending on membership, States parties to the Firearms Protocol may find that such security measures related to preventing diversion in arms transfers are also applicable for consideration under the ATT initial report, under the section devoted to diversion. Indeed, mitigating the risk of diversion is a core tenet of the Firearms Protocol overall. For a more detailed comparison on diversion measures, see Annex 1.

Challenges

Reporting has been identified as a valuable tool for supporting effective implementation of several international agreements discussed here. Yet, reporting under all of these instruments remains at a relatively low rate, and thus States should consider the challenges

that prevent universal reporting. States often mention a reporting burden and reporting fatigue that arises due to the multiple obligations presented by several international agreements. For some States, it can be a challenge to fulfil all reporting deadlines on a regular basis, due to limited resources and political will. Moreover, regular staff turnover can create impediments to standardized reporting.

From a practical perspective, challenges relating to internal coordination and information sharing—as well as a lack of reliable information—can be a large impediment to reporting. Moreover, even if such information exists, the inconsistency of data (i.e. different States or stakeholders may use different terminology for the same weapons) can make it difficult to develop searchable databases and compare data across instruments. States also face internal challenges with respect to reporting on arms imports and exports. For example, some offices only collect information on authorizations, while other offices may only track actual transfers of items. In addition, such information may differ for arms imports and exports (for example, only tracking arms import authorizations, but not actual imports). Moreover, some States may only collect data on whole weapon systems transfers, but not on transfers of relevant parts and components. Differences in data collection can make comparison of information across States difficult, if not impossible. It can also cause confusion within a State system as some have processes to only collect specific types of data.

Political will is also a challenge for reporting. Political leaders may believe that their obligations to the agreement are completed once the agreement is ratified or acceded to. They may not be aware of the reporting requirements or continued obligations under the agreement. Political leaders may also not understand the importance and value of reporting or may not want to divert resources to report completion. Staff may not be assigned to fulfil reporting requirements and political leaders may not be involved in such discussions. In addition to a lack of capacity and resources, some stakeholders have confidentiality concerns and do not want to release potentially sensitive information.

VI. Conclusion

Although there are synergies in reporting, there is no one-size-fits-all approach that will work for every State. There are steps that can be taken to improve efficiencies, but each State will need to conduct a needs analysis to determine the steps required in order to develop a functional and efficient reporting system. For example, States with little or no exports may not need the same kind of software or database as larger arms exporters. Developing a road map to fulfil reporting obligations can help States customize their approach.

In addition, multilateral instruments should not dictate reporting requirements. National will and ownership is essential and any change needs to be presented as alleviating, not increasing, the reporting burden.

States can take steps to try to mitigate reporting challenges. For example, if States develop reporting manuals, timelines, and calendars, they can address the challenges of staff turnover and loss of institutional memory. Additionally, States could develop and/or improve their information management systems and processes, including by developing databases of relevant information for multiple reporting instruments that are accessible to multiple agencies. International organizations and the custodian organizations of the agreements have the opportunity to support reporting as well. For example, they may be able to provide guidance, an overview of frequently asked questions, best practices, and hold expert meetings to support reporting.

Moreover, when States have been given time to develop national procedures (focal point, national coordination mechanisms, establishment of deadlines for different agencies), they have seen significant progress in fulfilling their reporting requirements by specified deadlines.

Annex 1

Crosswalk between ATT initial report template and the PoA national reporting template

Commentary

This document presents an overview of synergies in the reporting templates between the Arms Trade Treaty (ATT) initial report template and the United Nations Programme of Action (PoA) reporting template. The select comparison between the two reporting templates focuses on identifying questions that are complementary and/or synergetic in nature. This crosswalk also provides commentary on how information on measures undertaken to implement relevant United Nations Firearms Protocol provisions may be applicable to reporting under the ATT initial report and the PoA report. The commentary provided in this crosswalk document is intended to support reporting practitioners to gain greater insight into the two reporting templates, including considerations to be taken when preparing national reports.

Additional notes

Numbering for the PoA reporting template questions is based on the 2016 reporting template, unless otherwise noted in brackets. Three questions from the 2014 PoA reporting template—that no longer exist in the 2016 reporting template—are referenced in the crosswalk. These three questions have been included as a reference, given that answers provided for these questions under the 2014 PoA reporting template may provide applicable information to the ATT initial report template.

Numbering for the ATT initial report template questions is based on the July 2016 reporting template.

The ATT initial reporting form contains questions about binding as well as non-binding obligations. Questions about non-binding obligations are denoted in a **lighter grey font**.

Applicability of information across the PoA, the Firearms Protocol and the ATT may vary depending on States' membership and participation in the above multilateral agreement/instrument, as appropriate.

Information provided under the 2016 PoA reporting template that may be applicable to reporting under the ATT initial report template applies, as appropriate, to small arms and light weapons (SALW).

Measures undertaken to implement the Firearms Protocol will apply to firearm(s) as defined by the Firearms Protocol. These measures may contain applicable information for the PoA reporting template and/or the ATT initial report template where such measures also apply to SALW.

States may act internally on the basis of domestic definitions of firearms and SALW that are broader than those found in the Firearms Protocol or the International Tracing Instrument respectively.

PROHIBITIONS	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
2B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2) (please list below) 2C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3) (please list below)	Question 6.4. Name the relevant international commitments that your government applies or considers when assessing an application for export authorization. [2014]

Commentary:

1. Additional information applicable to the PoA reporting template on Prohibitions:
 - Question 6.4 above is taken from the 2014 PoA reporting template. This question was removed from the 2016 PoA reporting template.
 - Member States, under PoA Section II, Paragraph 15, have agreed to “take appropriate measures, including all legal or administrative means, against any activity that violates a United Nations Security Council arms embargo in accordance with the Charter of the United Nations.” While the PoA reporting template does not request States to report on measures taken, legal or otherwise, to implement Security Council arms embargoes, such information could be relevant for reporting under questions 2B and 2C of the ATT initial report.
2. Relation to the Firearms Protocol on Prohibitions:
 - Prohibitions contained within the ATT draw upon existing obligations captured in other relevant international agreements, including the Firearms Protocol. Article 6 (2) of the ATT, for example, prohibits transfers that violate a State party’s “relevant international obligations under international agreements to which it is a Party,” particularly agreements relating to the transfer of or illicit trafficking in conventional weapons.
 - Article 6 (2) of the Firearms Protocol notes, “States Parties shall adopt, within their domestic legal systems, such measures as may be necessary to prevent illicitly manufactured and trafficked firearms, parts and components and ammunition from falling into the hands of unauthorized persons by seizing and destroying such firearms, their parts and components and ammunition”. Information on such laws adopted under the Firearms Protocol may be applicable for reporting under 2B of the ATT initial report.

EXPORTS	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>1A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)</p> <p>3A. The national control system includes the following: i) an authorization or licensing system for arms exports [Article 5(2)] ii) export assessment criteria [Article 7] iii) a risk assessment procedure [Article 7]</p>	<p>Question 5. Does your country have laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?</p> <p>Question 5.1. If yes, list laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW.</p>
<p>3C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (if 'No', please provide further information below)</p> <p>3L. Information / documentation included in an application for an export authorization (please specify below)</p>	<p>Question 5.2. Does a person or an entity who transfers SALW require a licence or other form of authorisation to transfer SALW from/into your country?</p> <p>Question 5.4. What kind of documentation does your country require prior to authorising an export of SALW to another country?</p> <p>Question 5.5. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided?</p>
<p>3H. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners]</p> <p>3O. Additional voluntary information relevant to national export controls</p>	<p>Question 6.9. Does your country permit the export of SALW without a licence or under simplified procedure under certain circumstances? [2014]</p>

Commentary:

1. Additional information applicable to the PoA reporting template:

- Question 6.9 above is taken from the 2014 PoA reporting template. This question was removed from the 2016 PoA reporting template.
- Regarding Question 5.4 on end use/user documentation, the PoA reporting template provides check-box options for information to be contained in end user certificate. These include: 1) Detailed description (type, quantity, characteristics) of the SALW or technology, 2) Contract number or order reference and date, 3) Final destination country, 4) Description of the end-use of the SALW, 5) Exporter's details (name, address and business name), 6) End-user information (name, position, full address and original signature), 7) Information on other parties involved in the transaction, 8) Certification by the relevant government authorities of the authenticity of the end-user, 9) Date of issue, and 10) Other. This detailed information complements the information to be included in documentation prior to export authorization required by Article 10 (3) of the Firearms Protocol.
- When undertaking transfers of SALW as part of States' disposal efforts, as described in Question 9.3⁴⁶ (specifically 9.3 (b) Sale to another State; (c) Donation to another State; (d) Transfer to another state agency; (e) Sale to civilians) of the PoA reporting template, ATT States parties may consider whether risk assessment criteria are applied as required in Article 7 of the ATT.

2. Additional information applicable to the ATT initial report template:

- State parties to the ATT are encouraged to provide any additional information, under Question 3 O of the initial report template, deemed relevant to their national controls guiding arms exports. Such information is up to States' discretion, and could include insights on controls of re-exports, information on processes to facilitate information exchanges for denied license applications, or details on end users and end use assurances, among other issues.

⁴⁶ This question is not reflected in the table above. Please refer to the 2016 PoA reporting template for reference. For examples of national reports, see United Nations Office for Disarmament Affairs, Conventional Arms, Small Arms and Light Weapons, "Programme of Action on smalls arms and its International Tracing Instrument," <https://www.un.org/disarmament/convarms/salw/programme-of-action/>

EXPORTS (continued)	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>1A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)</p> <p>3A. The national control system includes the following: i) an authorization or licensing system for arms exports [Article 5(2)] iii) a risk assessment procedure [Article 7]</p>	<p>Question 5. Does your country have laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?</p> <p>Question 5.1. If yes, list laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW.</p>
<p>3C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (if 'No', please provide further information below)</p> <p>3L. Information / documentation included in an application for an export authorization (please specify below)</p>	<p>Question 5.2. Does a person or an entity who transfers SALW require a licence or other form of authorisation to transfer SALW from/into your country?</p> <p>Question 5.4. What kind of documentation does your country require prior to authorising an export of SALW to another country?</p> <p>Question 5.5. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided?</p>
<p>3H. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners]</p> <p>3O. Additional voluntary information relevant to national export controls</p>	<p>Question 6.9. Does your country permit the export of SALW without a licence or under simplified procedure under certain circumstances? [2014]</p>

3. Relation to the Firearms Protocol on Exports:

- Article 10 of the Firearms Protocol requires States parties to establish or maintain a licensing or authorization system to regulate the export and import—as well as transit—of firearms, their parts and components and ammunition. Such systems may be supported by national laws and regulations that also apply to effective implementation of the PoA and the ATT.
- In particular, Article 10 (1) of the Firearms Protocol states, “Each State Party shall establish or maintain an effective system of export and import licensing or authorization, as well as of measures on international transit, for the transfer of firearms, their parts and components and ammunition.” Measures taken to implement this provision may be applicable information to Question 5 of the PoA reporting template. It may also be applicable information to Question 3A (i) of the ATT initial report template.
- Article 10 (2) (a) and (b) of the Firearms Protocol states that before issuing export licences or authorizations for shipments of firearms, their parts and components and ammunition, each State Party of the Firearms Protocol shall: (a) verify that the importing States have issued import licences or authorizations; and (b) that the transit State at a minimum has given notice in writing, prior to shipment, that they have no objection to the transit. Measures undertaken to implement these provisions may be applicable information for Question 3C of the ATT initial report template.
- Regarding information/documentation required or requested as part of application for export authorization, Article 10 (3) of the Firearms Protocol states, “The export and import licence or authorization and accompanying documentation together shall contain information that, at a minimum, shall include the place and the date of issuance, the date of expiration, the country of export, the country of import, the final recipient, a description and the quantity of the firearms, their parts and components and ammunition and, whenever there is transit, the countries of transit. The information contained in the import licence must be provided in advance to the transit States.” Measures taken to implement this provision may be applicable information to Question 5.4 of the PoA reporting template. While a non-binding reporting obligation under the ATT initial report, measures taken to implement this provision may also provide applicable information for Question 3L of the ATT initial report template. Additionally, the information related to end use/user documentation may be applicable to Question 7C (v) of the ATT initial report template under the section on diversion as a non-binding reporting obligation (see table on diversion below).
- Regarding verification measures on end use/user documentation, Article 10 (5) of the Firearms Protocol states, “Each State Party shall, within available means, take such measures as may be necessary to ensure that licensing or authorization procedures are secure and that the authenticity of licensing or authorization documents can be verified or validated.” Measures taken to implement this provision may be applicable to Question 5.5 of the PoA reporting template.
- Regarding exports under simplified procedures, Article 10 (6) of the Firearms Protocol states, “States Parties may adopt simplified procedures for the temporary import and export and the transit of firearms, their parts and components and ammunition for verifiable lawful purposes such as hunting, sport shooting, evaluation, exhibitions or repairs.” While a non-binding reporting obligation under the ATT initial report, such procedures and related regulations established in line with this provision may be applicable to Question 3H of the ATT initial report template. They may also be applicable to Question 6.9 of the 2014 PoA reporting template (this question was removed from the 2016 PoA Reporting template).

IMPORTS	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>1A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)</p> <p>4A. The national control system includes measures that allow the regulation, where necessary, of imports of conventional arms covered under Article 2(1) [ref Article 8(2)], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)</p> <p>4G. Information / documentation required for an import authorization (please specify below)</p>	<p>Question 5. Does your country have laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?</p>

Commentary:

1. Additional information on the ATT initial report template and PoA reporting template:

- Information provided under Question 5 of the PoA reporting template may be applicable to Question 4A of the ATT initial report template.

2. Relation to the Firearms Protocol:

- Article 10 of the Firearms Protocol requires States parties to establish or maintain a licensing or authorization system to regulate the export and import—as well as transit—of firearms, their parts and components and ammunition. Such systems may be supported by national laws and regulations that also apply to the effective implementation of the PoA and the ATT.
- In particular, Article 10 (1) of the Firearms Protocol states, “Each State Party shall establish or maintain an effective system of export and import licensing or authorization, as well as of measures on international transit, for the transfer of firearms, their parts and components and ammunition”. Measures taken to implement this provision may be applicable information for Question 5 of the PoA reporting template. It also may be applicable information to Question 1A and 4A of the ATT initial report template.
- Regarding information/documentation required or requested as part of import authorization, Article 10 (3) of the Firearms Protocol states, “The export and import licence or authorization and accompanying documentation together shall contain information that, at a minimum, shall include the place and the date of issuance, the date of expiration, the country of export, the country of import, the final recipient, a description and the quantity of the firearms, their parts and components and ammunition and, whenever there is transit, the countries of transit. The information contained in the import licence must be provided in advance to the transit States.” While a non-binding reporting obligation under the ATT initial report, measures taken to implement this provision may be applicable information to Question 4G of the ATT initial report. Additionally, the information related to end use/user documentation under the Firearms Protocol may be applicable to Questions 7C (iv) of the ATT initial report template under the section on diversion as a non-binding reporting obligation (see table on diversion below).
- Regarding post-delivery cooperation with the exporting State, Article 10 (4) of the Firearms Protocol states, “The importing State Party shall, upon request, inform the exporting State Party of the receipt of the dispatched shipment of firearms, their parts and components or ammunition.” Measures undertaken to implement this provision may provide applicable information for reporting under the PoA Reporting Template Question 5.7 related to post-delivery controls, as appropriate (see table on diversion below).

TRANSIT/TRANS-SHIPMENT	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>1A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)</p> <p>5A. The national control system includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)</p> <p>5B. The national control system includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)</p> <p>5E. Transit / trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance in a free trade area) (if 'Yes' please provide further information below)</p>	<p>Question 5. Does your country have laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?</p>

Commentary:

1. Additional information applicable to the ATT initial report template and the PoA reporting template:
 - Information provided under Question 5 of the PoA reporting template may be applicable to Question 5A of the ATT initial report template.
 - Trans-shipment is an explicit reporting obligation only in the ATT initial report template. Such a reporting category does not exist in the PoA reporting template.
2. Relation to the Firearms Protocol:
 - Article 10 of the Firearms Protocol requires States parties to establish or maintain a licensing or authorization system to regulate the export and import—as well as transit—of firearms, their parts and components and ammunition. Such systems may be supported by national laws and regulations that also apply to the effective implementation of the PoA and the ATT.
 - In particular, Article 10 (1) of the Firearms Protocol states, “Each State Party shall establish or maintain an effective system of export and import licensing or authorization, as well as of measures on international transit, for the transfer of firearms, their parts and components and ammunition.” Measures undertaken to implement this provision may be applicable information to Question 5 of the PoA reporting template. It also may provide applicable information for Question 1A and 5A of the ATT initial report.
 - Regarding transit under simplified procedures, Article 10 (6) states, “States Parties may adopt simplified procedures for the temporary import and export and the transit of firearms, their parts and components and ammunition for verifiable lawful purposes such as hunting, sport shooting, evaluation, exhibitions or repairs.” While a non-binding reporting obligation under the ATT initial report, such procedures and related regulations established in line with this provision may provide applicable information for Question 5E of the ATT initial report.

BROKERING	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)*
<p>1A. Overview of legislation and ordinances governing the national control system [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)</p> <p>6A. The national control system includes measures that allow the regulation, pursuant to national laws, of brokering of conventional arms covered under Article 2(1) [ref Article 10], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (if 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)</p>	<p>Question 7. Does your country have laws, regulations and/or administrative procedures governing brokering of SALW?</p> <p>Question 7.1. List laws and/or administrative procedures regulating SALW brokering in your country.</p>
<p>6H. Information / documentation required in an application related to brokering (please elaborate below)</p> <p>6I. Additional voluntary information relevant to national brokering controls</p>	<p>Question 7.2. Does your country require registration of SALW brokers?</p> <p>Question 7.3. Does your country require a licence, permit or other authorization for each brokering transaction?</p> <p>Question 8.4. Does your country have measures to validate the authenticity of documentation submitted by the broker? [2014]</p>
<p>6F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)</p>	<p>Question 7.4. Does your country regulate activities that are closely associated with the brokering of SALW?</p>

* For questions related to criminalization and enforcement on brokering, see table below on 'Enforcement'.

Commentary:

1. Additional information applicable to the PoA reporting template:
 - Question 8.4 above is taken from the 2014 PoA reporting template. This question was removed from the 2016 PoA reporting template.
2. Additional information from the ATT initial report template and the PoA reporting template:
 - Information provided under Question 7.3 of the PoA reporting template may be applicable to Question 6H of the ATT initial report template.
 - Information provided under Question 8.4 of the 2014 PoA reporting template may be applicable to Question 6I of the ATT initial reporting template.
3. Relation to the Firearms Protocol:
 - Article 15 of the Firearms Protocol requires States parties to consider establishing systems to regulate the activities of brokers, should they not already have such systems in place. The Protocol provides varying requirements that such systems could include, such as registration of brokers and licensing or authorization requirements. Article 15 of the Firearms Protocol also encourages States that have systems in place to regulate brokering to share information on and retain records of brokers and brokering. Such information may be applicable to reporting for the PoA and the ATT.
 - In particular, Article 15 (1) of the Firearms Protocol states, “With a view to preventing and combating illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, States Parties that have not yet done so shall consider establishing a system for regulating the activities of those who engage in brokering.” Measures undertaken to implement this provision may be applicable information for Question 7.2 and 7.3 of the PoA reporting template. It may also be applicable information for reporting under ATT initial report Questions 1A and 6A.
 - Regarding a system to regulate brokering activities, Article 15 (1) (a) and (b) of the Firearms Protocol states, “Such a system could include one or more measures such as: (a) Requiring registration of brokers operating within their territory; (b) Requiring licensing or authorization of brokering”. Measures undertaken to implement this provision may be applicable to Questions 7.2 and 7.3 of the PoA reporting template.

DIVERSION	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>7A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]</p> <p>i) Assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)</p> <p>7C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]:</p> <p>iii) Establishment of mitigation measures [Article 11(2)]</p> <p>iv) provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]</p> <p>v) requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]</p> <p>vi) examination, where appropriate, of parties involved in a transfer [Article 11(2)]</p> <p>viii) requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]</p> <p>ix) exchange of relevant information with other States Parties on effective measures to address diversion, as well as on illicit activities and actors [Articles 11(5) & 15(4)]</p> <p>x) reporting through the Secretariat to other States Parties on measures taken to address diversion of transferred conventional arms covered under Article 2(1) [Articles 11(6) & 13(2)]</p> <p>7D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]</p> <p>iii) using international tracing mechanisms to identify points of diversion</p>	<p>Question 5.5. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided?</p> <p>Question 5.6. Does your country have measures in place aimed at preventing the forgery and misuse of EUCs or other types of end-user documentation?</p> <p>Question 5.7. When exporting, does your country require a Delivery Verification Certificate (DVC) to confirm that SALW have reached their intended end-user or intended importer in the importing State?</p> <p>Question 5.8. After exporting, does your country verify or seek to authenticate DVCs provided?</p> <p>Question 5.9. When importing, does your country grant the right to the exporting State to conduct a physical check at the point of delivery?</p> <p>Question 5.10. Does your country require that SALW imported into your country be marked at the time of import?</p> <p>Question 8.4. Does your country have measures to validate the authenticity of documentation submitted by the broker? [2014]</p> <p>Question 18. Does your country have procedures in place to trace SALW?</p> <p>Question 18.2. What information does the designated agency include in a tracing request?(check relevant boxes)</p> <p>a) Circumstances under which the SALW was found</p> <p>b) Reasons why the SALW is considered to be illegal or illicit</p> <p>c) The intended use of the information being sought</p> <p>d) Any markings on the SALW</p> <p>e) Type/calibre of SALW</p> <p>f) Other</p>

Commentary:

1. Additional information applicable to the PoA reporting template:
 - Question 8.4 above is taken from the 2014 PoA reporting template. This question was removed from the 2016 PoA reporting template.
2. Additional information applicable to the ATT initial reporting template:
 - While not requested in other instruments, Question 7C (x) includes an encouragement to report on measures taken to address diversion of transferred conventional arms.
3. Additional information on the ATT initial reporting template and PoA reporting template:
 - Information provided for Questions 5.5, 5.6, and 5.10 of the PoA reporting template may be applicable to Question 7C (iii) of the ATT initial reporting template.
 - Information provided for Questions 5.7, 5.8 and 5.9 of the PoA reporting template may be applicable to Question 7C (viii) of the ATT initial report template.
 - Information provided for Questions 18 and 18.2 of the PoA reporting template may be applicable to Question 7D (iii) of the ATT initial report template.

DIVERSION (continued)	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>7A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]</p> <p>i) Assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)</p> <p>7C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]:</p> <p>iii) Establishment of mitigation measures [Article 11(2)]</p> <p>iv) provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]</p> <p>v) requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]</p> <p>vi) examination, where appropriate, of parties involved in a transfer [Article 11(2)]</p> <p>viii) requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]</p> <p>ix) exchange of relevant information with other States Parties on effective measures to address diversion, as well as on illicit activities and actors [Articles 11(5) & 15(4)]</p> <p>x) reporting through the Secretariat to other States Parties on measures taken to address diversion of transferred conventional arms covered under Article 2(1) [Articles 11(6) & 13(2)]</p> <p>7D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]</p> <p>iii) using international tracing mechanisms to identify points of diversion</p>	<p>Question 5.5. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided?</p> <p>Question 5.6. Does your country have measures in place aimed at preventing the forgery and misuse of EUCs or other types of end-user documentation?</p> <p>Question 5.7. When exporting, does your country require a Delivery Verification Certificate (DVC) to confirm that SALW have reached their intended end-user or intended importer in the importing State?</p> <p>Question 5.8. After exporting, does your country verify or seek to authenticate DVCs provided?</p> <p>Question 5.9. When importing, does your country grant the right to the exporting State to conduct a physical check at the point of delivery?</p> <p>Question 5.10. Does your country require that SALW imported into your country be marked at the time of import?</p> <p>Question 8.4. Does your country have measures to validate the authenticity of documentation submitted by the broker? [2014]</p> <p>Question 18. Does your country have procedures in place to trace SALW?</p> <p>Question 18.2. What information does the designated agency include in a tracing request? (check relevant boxes)</p> <p>a) Circumstances under which the SALW was found</p> <p>b) Reasons why the SALW is considered to be illegal or illicit</p> <p>c) The intended use of the information being sought</p> <p>d) Any markings on the SALW</p> <p>e) Type/calibre of SALW</p> <p>f) Other</p>

4. Relation to the Firearms Protocol:

- Article 11 of the Firearms Protocol directs States parties to “take appropriate measures” that help “detect, prevent and eliminate the theft, loss or diversion” of firearms, their parts and components and ammunition. States could provide the details of such measures in their PoA reports, and where relevant and applicable to the ATT initial reports (in particular Question 7A and 7C (iii)), on security measures related to transfer activities.
- Regarding post-delivery cooperation with the exporting State to prevent diversion in arms transfers, Article 10 (4) of the Firearms Protocol states, “The importing State Party shall, upon request, inform the exporting State Party of the receipt of the dispatched shipment of firearms, their parts and components or ammunition.” Measures undertaken to implement this provision may be applicable information for reporting under the PoA reporting template Questions 5.7, 5.8 and 5.9, as well as Question 7C (viii) of the ATT initial report.
- Regarding measures to verify, authenticate or prevent misuse of end use/user documentation, Article 10 (5) of the Firearms Protocol states, “Each State Party shall, within available means, take such measures as may be necessary to ensure that licensing or authorization procedures are secure and that the authenticity of licensing or authorization documents can be verified or validated”. Measures undertaken to implement this provision may be applicable to Question 5.5 and 5.6 of the PoA reporting template. They may also be applicable information for the ATT initial reporting under Questions 7C (iv), (v), (vi) and (viii).⁴⁷
- Regarding marking of firearms to enable unique identification and facilitate detection of diversion, Article 8 (1) (b) of the Firearms Protocol states that each State Party shall, “Require appropriate simple marking on each imported firearm, permitting identification of the country of import and, where possible, the year of import and enabling the competent authorities of that country to trace the firearm, and a unique marking, if the firearm does not bear such a marking.” Measures taken to implement this provision may be applicable to Questions 5.10 of the PoA reporting template. It may also be applicable information to Question 7C (iii) under the ATT initial report.
- Regarding exchange of information among State parties to the Firearms Protocol to address diversion in arms transfers, Article 12 (2) (a-d) are particularly relevant to reporting considerations under the ATT initial report and the PoA report. Article 12 (2) notes that States shall exchange information among themselves on relevant information such as: “(a) Organized criminal groups known to take part or suspected of taking part in the illicit manufacturing of or trafficking in firearms, their parts and components and ammunition; (b) The means of concealment used in the illicit manufacturing of or trafficking in firearms, their parts and components and ammunition and ways of detecting them; (c) Methods and means, points of dispatch and destination and routes customarily used by organized criminal groups engaged in illicit trafficking in firearms, their parts and components and ammunition; and (d) Legislative experiences and practices and measures to prevent, combat and eradicate the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition.” Measures taken to implement these provisions under Article 12 (2) (a-d) may be applicable to Question 7C (ix) of the ATT initial report.

⁴⁷ The number (viii) may be a numbering issue on the ATT initial report, as it may more accurately refer to (vii).

DIVERSION (continued)	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>7A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]</p> <p>i) Assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)</p> <p>7C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]:</p> <p>iii) Establishment of mitigation measures [Article 11(2)]</p> <p>iv) provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]</p> <p>v) requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]</p> <p>vi) examination, where appropriate, of parties involved in a transfer [Article 11(2)]</p> <p>viii) requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]</p> <p>ix) exchange of relevant information with other States Parties on effective measures to address diversion, as well as on illicit activities and actors [Articles 11(5) & 15(4)]</p> <p>x) reporting through the Secretariat to other States Parties on measures taken to address diversion of transferred conventional arms covered under Article 2(1) [Articles 11(6) & 13(2)]</p> <p>7D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]</p> <p>iii) using international tracing mechanisms to identify points of diversion</p>	<p>Question 5.5. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided?</p> <p>Question 5.6. Does your country have measures in place aimed at preventing the forgery and misuse of EUCs or other types of end-user documentation?</p> <p>Question 5.7. When exporting, does your country require a Delivery Verification Certificate (DVC) to confirm that SALW have reached their intended end-user or intended importer in the importing State?</p> <p>Question 5.8. After exporting, does your country verify or seek to authenticate DVCs provided?</p> <p>Question 5.9. When importing, does your country grant the right to the exporting State to conduct a physical check at the point of delivery?</p> <p>Question 5.10. Does your country require that SALW imported into your country be marked at the time of import?</p> <p>Question 8.4. Does your country have measures to validate the authenticity of documentation submitted by the broker? [2014]</p> <p>Question 18. Does your country have procedures in place to trace SALW?</p> <p>Question 18.2. What information does the designated agency include in a tracing request? (check relevant boxes)</p> <p>a) Circumstances under which the SALW was found</p> <p>b) Reasons why the SALW is considered to be illegal or illicit</p> <p>c) The intended use of the information being sought</p> <p>d) Any markings on the SALW</p> <p>e) Type/calibre of SALW</p> <p>f) Other</p>

- Additionally, Article 12 (3) of the Firearms Protocol requires its States parties to provide or share, as appropriate, relevant scientific and technological information useful to law enforcement authorities in order to enhance their capacity to prevent diversion. Measures undertaken to implement this provision may be applicable information to Question 7C (ix) of the ATT initial report.
 - Regarding tracing, Article 12 (4) requires States parties of the Firearms Protocol to cooperate in tracing firearms that may have been illicitly trafficked. Measures taken under this provision may be applicable information for Questions 7D (iii) of the ATT initial report, as well as Questions 18 and 18.2 of the PoA reporting template.
5. Additional information related to the Firearms Protocol and the PoA reporting template:
- Article 9 of the Firearms Protocol on deactivation is not an explicit reporting commitment under the PoA reporting template, but may be applicable information when reporting on disposal and destruction measures on illicit and/or surplus SALW.

RECORD KEEPING	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
<p>8A. The national control system includes provisions for maintaining records regarding:</p> <ul style="list-style-type: none"> i) issued authorizations for the export of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] ii) actual exports of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] <p>8B. Records are kept for a minimum of 10 years [Article 12(4)] (if 'No', please elaborate below)</p> <p>8C. The national control system includes provisions for maintaining records regarding:</p> <ul style="list-style-type: none"> i) imports of conventional arms covered under Article 2(1) of the Treaty into national territory as final destination [Article 12(2)] ii) authorizations for the transit and/or trans-shipment through national territory of conventional arms covered under Article 2(1) of the Treaty [Article 12(2)] iii) authorizations related to the conduct of brokering activities included in the scope of the national control system (for instance relating to a register of brokers) [Article 10] 	<p>Question 5.11. Does your country require that exporters and importers of SALW keep records of their activities?</p> <p>Question 5.11.1. What information must be recorded (check relevant boxes)? a) Quantity of SALW traded b) Type or model of SALW traded c) Markings appearing on transferred SALW d) Transactions i) Identity of buyer/seller ii) Country SALW are to be delivered to or purchased from iii) Date of delivery e) Other.</p> <p>Question 5.11.2. How long must records of transfers be kept? a) Indefinitely; b) 30 years; c) Other.</p>

Commentary:

1. Additional information on the ATT initial report and PoA reporting template
 - Information provided for Questions 5.11.1 (in particular (a), (b), and (d)) of the PoA reporting template may be applicable to Question 8A (ii) of the ATT initial reporting template.
2. Relation to Firearms Protocol
 - Article 7 of the Firearms Protocol obliges States to keep records for no less than 10 years on information “that is necessary to trace and identify” firearms, as well as their parts and components and ammunition. When cases involve international transactions, records are to include information on the issuance and expiration dates of the appropriate licences or authorizations, countries of export, countries of import, transit countries (where appropriate), final recipients, and descriptions and quantity of the items transferred. Measures taken to implement this provision may be applicable information for Questions 5.11 and 5.11.1 of the PoA reporting template. It may also be applicable information for Questions 8A, 8B, 8C (i) and 8C (ii) of the ATT initial reporting template.
 - Article 15 (2) of the Firearms Protocol encourages its States parties to keep records regarding brokers and brokering in accordance with Article 7 of the Protocol. Measures taken to implement this provision may be applicable information under Question 8C (iii) of the ATT initial reporting template.

ENFORCEMENT	
ATT Reporting Template Question(s)	PoA Reporting Template Question(s)
10A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14]	Question 5.3. Is it a criminal offence to trade SALW without a licence or authorization, or to do so in a manner that is in contradiction to the terms of a licence or authorization, in your country?
10D. Additional voluntary information relevant to national enforcement (please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)	<p>Question 5.12. During the reporting period, was action taken against groups or individuals engaged in transferring SALW illegally (e.g. prosecution)?</p> <p>Question 7.5. During the reporting period, was action taken against groups or individuals engaged in illegal brokering (e.g. prosecution)?</p>

Commentary:

- Additional information on the ATT initial report template and PoA reporting template
 - Information provided for Question 5.3 of the PoA reporting template may be applicable to Question 10A of the ATT initial report template.
 - Information provided for Questions 5.12 and 7.5 of the PoA reporting template may be applicable to Question 10D of the ATT initial report template.
- Relation to the Firearms Protocol
 - Regarding criminalization, Article 5 (1) of the Firearms Protocol states that, "Each State Party shall adopt such legislative and other measures as may be necessary to establish as criminal offences the following conduct, when committed intentionally: (a) Illicit manufacturing of firearms, their parts and components and ammunition; (b) Illicit trafficking in firearms, their parts and components and ammunition; (c) Falsifying or illicitly obliterating, removing or altering the marking(s) on firearms required by article 8 of this Protocol." Measures taken to implement these provisions, in particular Article 5 (1) (b) and (c) may be applicable information under Questions 5.3 of the PoA reporting template, as well as Questions 10A and 10D of the ATT initial report template.

Annex 2

Crosswalk between ATT annual report and the UNROCA report

Commentary

This document presents an overview of synergies as well as differences in the reporting templates between the ATT annual report template and the UNROCA reporting form. The commentary provided in this crosswalk document is intended to support reporting practitioners to gain greater insight into the two reporting templates, including considerations to be taken when preparing their annual reports. This document is not designed to provide detailed analysis of sources of information for reporting to the ATT annual report and the UNROCA report.⁴⁸

I. General considerations for reporting under ATT annual report and the UNROCA

- Regarding definitions/description of items, the ATT does not provide specific definitions for weapons covered in Article 2 (1), but does require States parties to maintain national definitions that do not cover less than the descriptions used in certain other instruments.⁴⁹ With respect to the heavy weapons specified at Article 2 (1) (a-g), the ATT requires that national definitions do not cover less than the descriptions used in UNROCA at the time of the ATT's entry into force. With respect to the small arms and light weapons (SALW) specified at Article 2 (1) (h), the ATT requires that national definitions do not cover less than the descriptions used in relevant United Nations instruments at the time of the ATT's entry into force. The relevant instruments include the United Nations Firearms Protocol and the International Tracing Instrument. States may choose to provide additional information on their national definitions in their ATT annual reports.
- Regarding reporting on either authorized and/or actual exports and imports under the ATT, the explanatory notes of the ATT annual reporting template recommend that a national choice, once made, should remain stable over time for reasons of consistency and continuity.⁵⁰ Further, the notes state, "[a] State Party wishing to report both quantity and value may of course do so, but then needs to submit two tables, one for authorized exports/imports and the other for actual exports/imports."⁵¹

⁴⁸ Select commentaries provided in this crosswalk are informed by, and adapted from, the *Annual Report Guidance Booklet* developed by the ATT Baseline Assessment Project. For a more comprehensive comparison between the ATT annual report and UNROCA, see the *Annual Report Guidance Booklet*. Available from http://www.armstrade.info/wp-content/uploads/2015/10/ATT-BAP_Annual-Report-Guidance-Booklet_2017.pdf.

⁴⁹ See Arms Trade Treaty, Article 5 (3).

⁵⁰ *Arms Trade Treaty Annual Reporting Template*, 17 July 2016. Available from: http://www.thearmstradetreaty.org/images/ATT_documents/ATT_Reporting_Templates/Annual_Reporting_Template_English.pdf

⁵¹ Ibid.

- Regarding reporting on either the quantity and/or the value for each category of arms for exports/imports under the ATT, the explanatory note of the ATT annual reporting template recommends to States Parties that once a national choice is made, to report consistently on the quantity, value or both to enable continuity.⁵²
- States parties to the ATT are only required to submit annual reports on the export and import of conventional arms, not on ammunition/munitions or parts and components. This is applicable to UNROCA reports as well.
- Under UNROCA, States are encouraged to provide additional information on procurement through national production and on military holdings. Such information is not requested or encouraged to be reported under the ATT.
- Annex 2 of the ATT annual report template allows States parties that wish to do so to include more specific information on national definitions of reported categories.
- Reporting on SALW transfers: While States are invited to provide information on transfers of small arms and light weapons under UNROCA—alongside the existing seven categories of conventional arms, States parties to the ATT are required to report on their exports and imports of small arms and light weapons, as such items are covered under the scope of the Treaty. ATT States parties submitting the same information contained in their UNROCA reports for the ATT annual reports (as permitted by Article 13 (3) of the ATT) should ensure that information on export and import of SALW are included in their submission in order to comply with the Treaty's reporting obligation. However, further disaggregation of small arms and light weapons information (6 additional subtypes for small arms and 7 additional subtypes for light weapons) is voluntary under the ATT annual report template.
- Under the ATT annual report template, each of the four reporting forms (exports, imports, nil exports, nil imports) provide States parties with the option of indicating that the form is for distribution only to other States parties to the Treaty. Reports submitted under UNROCA are to be made public.

II. Reporting deadlines:

- The ATT annual report and UNROCA report share the same deadline for reporting on conventional arms exports and imports. Both instruments request reports be submitted by 31 May each year containing information on arms transfers from the previous calendar year.

III. National points of contact:

- ATT States parties are required to provide information on national point(s) of contact, while this is voluntary under UNROCA. It is possible for States to designate the same or different national point, or points, of contact for the ATT annual report and UNROCA report. When the national point(s) of contact for the ATT annual report and UNROCA report differ, it may be helpful for States to establish and/or enhance internal coordination processes to facilitate information collection, sharing and cooperation in completing each report.

⁵² Ibid.

Figure 1: Nil reports

ATT annual report template

UNROCA reporting form

ANNEX 2 ANNUAL REPORTING TEMPLATE
17 July 2016

ANNEX 3 A

NIL REPORT
Exports of Conventional Arms¹

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

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

This nil report on exports is available only to States Parties	<input type="checkbox"/>
--	--------------------------

ANNEX 2 ANNUAL REPORTING TEMPLATE
17 July 2016

ANNEX 3 B

NIL REPORT
Imports of Conventional Arms¹

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

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

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

This nil report on imports is available only to States Parties	<input type="checkbox"/>
--	--------------------------



United Nations
Register of Conventional Arms

**Simplified form for submitting "nil" returns
on exports and imports**

The Government of _____, in reference to General Assembly resolutions 64/54, confirms that it has neither exported nor imported any equipment in the seven categories of the United Nations Register of Conventional Arms for the calendar year 2010, and therefore submits a "nil" return.

National point of contact
(FOR GOVERNMENTAL USE ONLY):

(Organization, Division/Section,

Telephone, Fax, E-mail)

IV. Nil reports:

- States can provide a nil report for both their ATT annual reports and UNROCA reports. A “nil” report is used to report from a calendar year when a State did not have any exports or imports of the conventional weapons that are included in the scope of the ATT or UNROCA. States are to provide separate nil reports for exports and imports ([See Figure 1](#)).

Figure 2: Exports of major conventional weapons

ATT annual report template	UNROCA reporting form
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ANNEX 2

ANNUAL REPORTING TEMPLATE

17 July 2016

EXPORTS OF CONVENTIONAL ARMS¹

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

Reporting country :		Calendar Year :		Cutoff date ² :	
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In this report, the following definition of the term exports was used³ (check as appropriate) :			
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

This Annual Report on exports is available only to States Parties	<input type="checkbox"/>
---	--------------------------

Category of arms ⁴ [I-VIII]	Authorized or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁷	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁸	Value ⁹			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex I ¹³)								
I. Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						

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

Annex II

Standardized form for reporting international transfers of conventional arms

Exports^a

Report of international conventional arms transfers
(according to General Assembly resolutions 46/36 L and 58/54)

Reporting country:

National point of contact: _____
(Organization, Division/Section, telephone, fax, e-mail) (FOR GOVERNMENTAL USE ONLY)

Calendar year: _____

Category (I-VII)	B	C	D ^b	E ^b	Remarks ^d	
	Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
I. Battle tanks						
II. Armoured combat vehicles						
III. Large-calibre artillery systems						
IV. Combat aircraft and unmanned combat aerial vehicles						
	(a) Combat aircraft					
(b) Unmanned combat aerial vehicles						
V. Attack helicopters ^d						
VI. Warships						
VII. Missiles and missile launchers ^d						
	(a) Missiles and missile launchers					
(b) Man-portable air-defence systems						

National criteria on transfers:

a b c d e See explanatory notes.

The nature of information provided should be indicated in accordance with explanatory notes f and g.

V. Exports of major conventional weapons:

- 1 **Authorized or actual exports:** The ATT annual report template includes two columns for States parties to indicate whether the information being provided relates to authorizations for exports or actual exports. These columns are not included in the UNROCA reporting form (see Figure 2). These additional columns are included to reflect the fact that Article 13 (3) provides States parties with the option of providing information on either authorizations or actual exports and imports—or to provide information on both. Authorized transfers refer to arms export transactions that have been approved (such as licences or permits granted by national authorities in the exporting State to export arms). This includes arms that have been authorized for export, but have not necessarily been physically transferred at the time of reporting. This also covers situations where a licence or authorization includes multiple deliveries of arms over the authorized time period. Actual transfers refer to the physical movement of equipment into or out of national territory, as well as the transfer of title to, and control over, the equipment during the reporting period. To compile information on actual exports, some States receive information from customs on actual arms transfers and from industry reports on received licenses. Some States also use relevant documentation provided by national authorities from the importing State.
- 2 **Extent of exports:** The ATT annual report template provides States parties with the option of submitting information on either the number of items and/or the financial value of conventional exports. The UNROCA reporting form requests information only on the number of items exported. States parties to the ATT also provide the financial value of their arms exports in national reports on arms exports or as part of information exchanges within regional organizations or other multilateral export control regimes. Information on the value of exports and the number of exported items contributes to greater understanding of the value, as well as the volume, of the global arms trade.
- 3 **Combat aircraft and attack helicopters:** The ATT annual report template has subheadings for the categories of “combat aircraft” and “attack helicopters,” enabling States Parties to report separately on exports of manned or unmanned aerial vehicles in these categories. The 2016 UNROCA Group of Governmental Experts recommended only the creation of two subcategories for “combat aircraft and unmanned combat aerial vehicles” and thus the UNROCA reporting form does not explicitly enable States to report separately on exports of unmanned attack helicopters
- 4 **Intermediary location column:** The UNROCA reporting form includes a column for “intermediate location (if any).” This column is used for cases where an item is integrated into a system and re-exported. The ATT annual report template does not include such a column.
- 5 **Remarks column:** Both the ATT annual report template and the UNROCA reporting form have columns for “remarks.” In the ATT annual report template, the “remarks” columns are shaded to indicate that such information is voluntary. States parties can provide any additional information in this column that they deem relevant. The UNROCA reporting form does not contain shading for its “remarks” columns. States have used the remarks columns to provide greater detail on the items transferred, such as weapons type or model, and/or to indicate end use, end user, type of transfer, or temporary exports.

Figure 3: Exports of small arms and light weapons

ATT annual report template	UNROCA reporting form
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Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁷	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁸	Value ⁹			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
B. VIII. Small Arms and Light Weapons^{14, 15}								
Small Arms (aggregated)¹⁶	<input type="checkbox"/>	<input type="checkbox"/>						
1. Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>						
2. Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>						
3. Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5. Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
6. Others	<input type="checkbox"/>	<input type="checkbox"/>						
Light Weapons (aggregated)¹⁷	<input type="checkbox"/>	<input type="checkbox"/>						
1. Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
2. Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3. Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5. Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6. Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7. Others	<input type="checkbox"/>	<input type="checkbox"/>						
C. Voluntary National Categories¹⁸ (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"/>						

Annex III

Form for reporting international transfers of small arms and light weapons^{a, b} on a trial basis^c

Exports

Reporting country: _____

National point of contact: _____
(Organization, Division/Section, telephone, fax, e-mail) (FOR GOVERNMENTAL USE ONLY)

Calendar year: _____

A	B	C	D	E	Remarks	
	Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
SMALL ARMS						
1. Revolvers and self-loading pistols						
2. Rifles and carbines						
3. Sub-machine guns						
4. Assault rifles						
5. Light machine guns						
6. Other						
LIGHT WEAPONS						
1. Heavy machine guns						
2. Hand-held under-barrel and mounted grenade launchers						
3. Portable anti-tank guns						
4. Recoilless rifles						
5. Portable anti-tank missile launchers and rocket systems						
6. Mortars of calibres less than 75 mm						
7. Other						

National criteria on transfers:

^a The standardized forms provide options for reporting only aggregate quantities under the generic categories of "Small arms" and "Light weapons" and/or under their respective subcategories. See the information booklet on the United Nations Register of Conventional Arms (www.un.org/disarmament/publications/more/register-conv-arms) for questions and answers regarding the reporting of small arms and light weapons.

^b The categories provided in the reporting form do not constitute a definition of "Small arms" or "Light weapons".

^c This form is intended for use for providing information on international transfers of "small arms and light weapons" on a trial basis in accordance with the recommendation contained in paragraph 83 of the 2016 Group of Governmental Experts' report (A/71/259). It is the reporting form for "Information on international transfers of small arms and light weapons" that was adopted by the 2006 Group of Governmental Experts.

VI. Exports of small arms and light weapons (SALW):

- Under the ATT, States parties may choose between reporting on exports of small arms by subtype or as an aggregate, and on reporting on exports of light weapons by subtype or as an aggregate (see Figure 3). According to the ATT annual reporting template and its use of shading columns to indicate voluntary information, reporting on exports of small arms by aggregate is a requirement while reporting by subtype is voluntary.
- Definitions of SALW: The subcategories of small arms and light weapons are taken from the UNROCA reporting form. According to the explanatory note of the ATT annual reporting template, “this choice has been made provisionally, pending later agreement between States parties on the desirability of using this or another UN definition of SALW subcategories (for instance from the UN Firearms Protocol or the International Tracing Instrument)”. Relevant descriptions to guide States’ national definitions of SALW can be found in the Firearms Protocol, as well as the International Tracing Instrument (ITI). The ITI definition of small arms and light weapons is broader than the definition of “firearms” used in the Firearms Protocol. Thus, States’ national definitions may vary and may not correspond directly with the categories or subcategories for SALW as outlined in the ATT annual report template or the UNROCA reporting form. While States under UNROCA are invited to provide information on transfers of small arms and light weapons, such information is a reporting obligation under the ATT and thus States parties are required to submit this information.
- Information to be kept on SALW and firearms in other related instruments/agreements: The Firearms Protocol requires, and the PoA recommends, that States maintain records on exports of small arms and light weapons. Article 7 of the Firearms Protocol obliges States to keep records for no less than 10 years on information “that is necessary to trace and identify” firearms, as well as their parts and components and ammunition. When cases involve international transactions, records are to include information on countries of export, countries of import, transit countries (where appropriate), final recipients, and descriptions and quantity of the items transferred. Section II, Paragraph 9 of the PoA encourages States to maintain records “for as long as possible on the manufacture, holding and transfer of small arms and light weapons under their jurisdiction.” Based on membership of the State in question, information contained within such records for both instruments could support, as appropriate, the completion of ATT annual reports on arms exports, as well as UNROCA reports, as they pertain to transfers of SALW.

Figure 4: Imports of major conventional weapons

ATT annual report template

IMPORTS OF CONVENTIONAL ARMS¹

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

Reporting country :		Calendar Year :	Cutoff date ² :
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In this report, the following definition of the term imports was used³ (check as appropriate) :

Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

This Annual Report on imports is available only to States Parties ☐

Category of arms ⁴ [I-VIII]	Authorised or actual imports ⁵		Extent of imports ⁶ (choose one or both)		Exporting State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories ¹² (national definitions shall not cover less than the definitions provided in Annex 1) ¹³								
I. Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						

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

UNROCA reporting form

Standardized form for reporting international transfers of conventional arms

Imports^a

Report of international conventional arms transfers
(according to General Assembly resolutions 46/36 L and 58/54)

Reporting country: _____

National point of contact: _____
(Organization, Division/Section, telephone, fax, e-mail) (FOR GOVERNMENTAL USE ONLY)

Calendar year: _____

Category (I-VII)	Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Remarks ^c	
					Description of item	Comments on the transfer
I. Battle tanks						
II. Armoured combat vehicles						
III. Large-calibre artillery systems						
IV. Combat aircraft and unmanned combat aerial vehicles						
V. Attack helicopters ^d						
VI. Warships						
VII. Missiles and missile launchers ^e						

National criteria on transfers:

^{a b c d e} See explanatory notes.

The nature of information provided should be indicated in accordance with explanatory notes f and g.

VII. Imports of major conventional weapons:

- 1 **Authorized or actual imports:** The ATT annual report template includes two columns not in the UNROCA reporting form for States parties to indicate whether the information being provided relates to authorizations for imports or actual imports (see Figure 4). These additional columns are included to reflect the fact that Article 13 (3) provides States parties with the option of providing information on either authorizations or actual imports—or to provide information on both. To compile information on authorized or actual imports, States often rely on import licenses and end use/user documentation issued by relevant national authority in the importing State. Other sources include government procurement data, as well as customs statistics and reports from industry on arms imports. Some States also use police databases.
- 2 **Extent of imports:** The ATT annual report template provides States parties with the option of submitting information on either the number of items and/or the financial value of conventional weapons imports. The UNROCA reporting form requests information only on the number of items imported. Information on the value of imports and the number of imported items contributes to greater understanding of the value, as well as volume, of global arms trade, in addition to States' military holdings.
- 3 **Combat aircraft and attack helicopters:** The ATT annual report template has subheadings for the categories of “combat aircraft” and “attack helicopters,” enabling States Parties to report separately on imports of manned or unmanned aerial vehicles in these categories. The 2016 UNROCA Group of Governmental Experts recommended only the creation of two subcategories for “combat aircraft and unmanned combat aerial vehicles” and thus the UNROCA reporting form does not explicitly enable States to report separately on exports of unmanned attack helicopters.
- 4 **Intermediary location column:** The UNROCA reporting form includes a column for “intermediate location (if any).” This column is used for cases where an item is integrated into a system and re-exported. The ATT annual report template does not include such a column.
- 5 **Remarks column:** Both the ATT annual report template and the UNROCA reporting form have columns for “remarks.” In the ATT annual report template, the “remarks” columns are shaded to indicate that such information is voluntary. States parties can provide any additional information in this column that they deem relevant. The UNROCA reporting form does not contain shading for its “remarks” columns. States have used the remarks columns to provide greater detail on the items transferred, such as weapons type or model, and/or to indicate end use, end user, type of transfer, or temporary exports.

Figure 5: Imports of small arms and light weapons

ATT annual report template	UNROCA reporting form
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Category of arms ⁴ [I-VIII]	Authorised or actual imports ⁵		Extent of imports ⁶ (choose one or both)		Exporting State ⁷	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁸	Value ⁹			Description of item	Comments on the transfer
1	2	3	4	5	6	7	8	9
B. VIII. Small Arms and Light Weapons^{14,15}								
Small Arms (aggregated) ¹⁶	<input type="checkbox"/>	<input type="checkbox"/>						
1. Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>						
2. Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>						
3. Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5. Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
6. Others	<input type="checkbox"/>	<input type="checkbox"/>						
Light Weapons (aggregated) ¹⁷	<input type="checkbox"/>	<input type="checkbox"/>						
1. Heavy machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
2. Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3. Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5. Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6. Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7. Others	<input type="checkbox"/>	<input type="checkbox"/>						
C. Voluntary National Categories¹⁸ (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"/>						

Form for reporting international transfers of small arms and light weapons^{a,b} on a trial basis^c

Imports

Reporting country: _____

National point of contact: _____

(Organization, Division/Section, telephone, fax, e-mail) (FOR GOVERNMENTAL USE ONLY)

Calendar year: _____

A	B	C	D	E	Remarks	
	Exporter State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
SMALL ARMS						
1. Revolvers and self-loading pistols						
2. Rifles and carbines						
3. Sub-machine guns						
4. Assault rifles						
5. Light machine guns						
6. Other						
LIGHT WEAPONS						
1. Heavy machine guns						
2. Hand-held under-barrel and mounted grenade launchers						
3. Portable anti-tank guns						
4. Recoilless rifles						
5. Portable anti-tank missile launchers and rocket systems						
6. Mortars of calibres less than 75 mm						
7. Other						

National criteria on transfers:

^a The standardized forms provide options for reporting only aggregate quantities under the generic categories of "Small arms" and "Light weapons" and/or under their respective subcategories. See the United Nations information booklet (<http://disarmament.un.org/cab/register.html>) for questions and answers regarding the reporting of small arms and light weapons.

^b The categories provided in the reporting form do not constitute a definition of "Small arms" or "Light weapons".

^c This form is intended for use for providing information on international transfers of "small arms and light weapons" on a trial basis in accordance with the recommendation contained in paragraph 83 of the 2016 Group of Governmental Experts' report (A/71/259). It is the reporting form for "Information on international transfers of small arms and light weapons" that was adopted by the 2006 Group of Governmental Experts.

VIII. Imports of small arms and light weapons (SALW):

- Under the ATT, States parties may choose between reporting on imports of small arms by subtype or as an aggregate, and on reporting on imports of light weapons by subtype or as an aggregate (see Figure 5). According to the ATT annual reporting template and its use of shading columns to indicate voluntary information, reporting on imports of small arms by aggregate is a requirement while reporting by subtype is voluntary.
- Definitions of SALW: The subcategories of small arms and light weapons are taken from UNROCA reporting form. According to the explanatory note of the ATT annual reporting template, “this choice has been made provisionally, pending later agreement between States Parties on the desirability of using this or another UN definition of SALW sub-categories (for instance from the UN Firearms Protocol or the International Tracing Instrument)”. Relevant descriptions to guide States’ national definitions of SALW can be found in the Firearms Protocol, as well as the International Tracing Instrument (ITI). The ITI’s definition of small arms and light weapons is broader than the definition of “firearms” used in the Firearms Protocol. Thus, States’ national definitions may vary and may not correspond directly with the categories or subcategories for SALW as outlined in the ATT annual report template or the UNROCA reporting form. While States under UNROCA are invited to provide information on transfers of small arms and light weapons, such information is a reporting obligation under the ATT and thus States parties are required to submit this information.
- Information to be kept on SALW and firearms in other related instruments/agreements: The Firearms Protocol requires, and the PoA recommends, that States maintain records on imports of small arms and light weapons. Article 7 of the Firearms Protocol obliges States to keep records for no less than 10 years on information “that is necessary to trace and identify” firearms, as well as their parts and components and ammunition. When cases involve international transactions, records are to include information on countries of export, countries of import, transit countries (where appropriate), final recipients, and descriptions and quantity of the items transferred. Section II, Paragraph 9 of the PoA encourages States to maintain records “for as long as possible on the manufacture, holding and transfer of small arms and light weapons under their jurisdiction.” Based on membership of the State in question, information contained within such records for both instruments could support, as appropriate, the completion of ATT annual reports on arms imports, as well as UNROCA reports, as they pertain to transfers of SALW.



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Reporting on Conventional Arms Trade: Synthesis Handbook

This Handbook identifies reporting synergies among select multilateral conventional arms treaties and instruments. It provides practical guidance to States on sources of information, methods and approaches that can be used to facilitate reporting and information sharing between the Arms Trade Treaty, the UN Programme of Action on Small Arms, the UN Register of Conventional Arms, and the Firearms Protocol. Additionally, the Handbook offers a useful side-by-side comparison of the ATT initial report template and the PoA reporting template, as well as between the ATT annual report template and the UNROCA reporting form.

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