

# **Practical guidelines to prepare and submit annual reports on arms exports and imports**





## **THE ATT MONITOR PROJECT**

The ATT Monitor, an independent project of Control Arms, was launched in January 2015 with the support of the governments of Austria, Australia, Ireland, the Netherlands, Norway and Trinidad and Tobago.

The project is now the de facto international monitoring mechanism for the Arms Trade Treaty (ATT) and serves as a source of information on the implementation of, and compliance with, the ATT. Its authoritative and quantitative research and analysis serves to strengthen Treaty implementation efforts and improve the transparency of the conventional arms trade.

The ATT Monitor produces research for its key audiences: government, policymakers and export officials, civil society and international organizations, as well as the media and the general public.

## **ABOUT THESE GUIDELINES**

The purpose of this document is to support States Parties in fulfilling their reporting obligations to the Arms Trade Treaty. In particular, it provides a step-by-step guide to each of the sections of the reporting template and when possible, it presents examples of other reports that can facilitate understanding to the official responsible for submitting annual reports to the ATT Secretariat.

# 1 TRANSPARENCY AND REPORTING UNDER ATT



## ATT REPORTING

Transparency in arms transfers is a central component of the Arms Trade Treaty (ATT) and fundamental to achieving its goals and objectives. The object and purpose of the ATT itself cannot be fulfilled in the absence of transparency among states trading in arms, and transparency more broadly is central to the effective implementation of the ATT's operative articles. Transparency can also be seen as directly linked to a government's willingness to commit to monitoring, oversight and accountability.



**ARTICLE 1: OBJECT AND PURPOSE**


The object of this Treaty is to:

- Establish the highest possible common international standards for regulating or improving the regulation of the international trade in conventional arms;
- Prevent and eradicate the illicit trade in conventional arms and prevent their diversion;

for the purpose of:

- Contributing to international and regional peace, security and stability;
- Reducing human suffering;
- Promoting cooperation, transparency and responsible action by States Parties in the international trade in conventional arms, thereby building confidence among States Parties.

The ATT's requirements for reporting on arms transfers are the primary tools for transparency at the disposal of States Parties. Timely, comprehensive and meaningfully transparent reporting facilitates confidence building, responsibility and cooperation by allowing States Parties and civil society to be certain that Treaty commitments have been respected.



**ARTICLE 13.3: REPORTING**

Each State Party shall submit annually to the Secretariat by 31 May a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2.1. Reports shall be made available, and distributed to States Parties by the Secretariat. The report submitted to the Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the United Nations Register of Conventional Arms. Reports may exclude commercially sensitive or national security information.



## **2 SUBMITTING ANNUAL REPORTS ON ARMS EXPORTS AND IMPORTS**

States Parties may submit their annual report in the format they choose. However, it is recommended that States Parties use the reporting templates endorsed by the Seventh Conference of States Parties to the ATT (CSP7).

States Parties can choose to fill and submit their annual reports using the online platform of the ATT Secretariat or they can submit them to the ATT Secretariat via email to: [\*\*info@thearmstradetreaty.org\*\*](mailto:info@thearmstradetreaty.org)

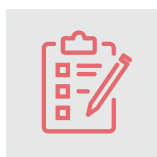
**The following document uses the reporting template endorsed at CSP7 which is divided into several sections:**

- 1.Reporting template title page
- 2.Exports and imports reporting templates
- 3.Voluntary national categories and reporting template for national definitions of reported categories (Annex 2)
- 4.Reporting templates for nil reports (Annex 3)





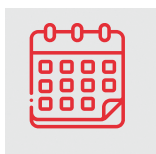
## **REPORTING TEMPLATE TITLE PAGE**



### **BASIC INFORMATION**

In addition to providing basic information from the national point of contact for the report, it is highly encouraged to tick the option 'Mr.' or 'Ms.', even if the name of the national point of contact is not reported. This information can help the ATT Secretariat to assess gender participation in the ATT process.

<b>GOVERNMENT OF</b> _____	
<b>ANNUAL REPORT ON EXPORTS AND IMPORTS OF CONVENTIONAL ARMS, IN ACCORDANCE WITH ARTICLE 13(3) OF THE ARMS TRADE TREATY</b>	
<b>REPORT FOR THE CALENDAR YEAR</b> _____	
<b>National Point of Contact for this Report:</b>	
<b>Name :</b>	<div><div></div><div><b>Mr.</b> <input type="checkbox"/> <b>Ms.</b> <input type="checkbox"/></div></div>
<b>Position/Job title :</b>	
<b>Organisation :</b>	
<b>Fixed Phone :</b>	
<b>Mobile Phone :</b>	
<b>E-mail :</b>	



### **DATE OF SUBMISSION OF ANNUAL REPORT**

Art. 13.3 requires that each State Party submit its report to the ATT Secretariat on an annual basis by 31 May. The report should include information on the authorized or actual exports and imports during the previous calendar year.

Date of Report :	
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For example, a report submitted to the ATT Secretariat by 31 May 2023 will contain information on authorized or actual exports and imports that took place during the period 1 January to 31 December 2022. This same provision applies for States Parties submitting 'nil' reports. States Parties are granted by the ATT Secretariat a seven-day grace period, creating a de facto deadline of 7 June each year.



## SUBMITTING AN ANNUAL REPORT TO THE UN REGISTER OF CONVENTIONAL ARMS (UNROCA)

The United Nations Office for Disarmament Affairs (UNODA) may use the relevant information in this Annual Report as a basis for the reporting State's report to the United Register on Conventional Arms (UNROCA)	✓
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By ticking this box, a State Party indicates that its ATT report can also be submitted to UNROCA for the same calendar year. This can be a helpful way of reducing the reporting burden as a State Party will only need to fill in one report for both reporting instruments.



## 'NIL' REPORTS ON EXPORTS AND IMPORTS

The ATT template allows a State Party to indicate whether it had or did not have arms transfers during the calendar year for which the report is being submitted.

Contents of report (check as appropriate)		Yes	No
i)	Nil report on exports of conventional arms	✓	
ii)	Nil report on imports of conventional arms		
iii)	Annual report on exports of conventional arms		
iv)	Annual report on imports of conventional arms		
v)	National definitions of categories of conventional arms reported		

By ticking this box, a State Party indicates that it did not have any **exports** of conventional arms to report. This is often the case for smaller states who do not have weapons production capacity on a scale to export. Ticking this box is better practice than just leaving the exports section blank. If a State Party does have exports to reports, then it should tick "No". If a State Party ticks "Yes" please complete Annex 3A (at the end of the template).

Contents of report (check as appropriate)		Yes	No
i)	Nil report on exports of conventional arms		
ii)	Nil report on imports of conventional arms	✓	
iii)	Annual report on exports of conventional arms		
iv)	Annual report on imports of conventional arms		
v)	National definitions of categories of conventional arms reported		

By ticking this box, a State Party indicates that it did not have any **imports** of conventional arms to report. It is fine to report both nil exports and nil imports in a calendar year if a State Party has not participated in any arms transfers. This is called "submitting nil reports" and it is very good practice, instead of simply not submitting a report. If a State Party ticks "Yes" please complete Annex 3B (at the end of the template).





## SCOPE OF THE REPORT

Article 13.3 also states that annual reports may exclude commercially sensitive or national security information.

Scope of report	Yes	No
In the submitted report, some commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty.  (If 'Yes' please consider providing more information on a voluntary basis.)		

Providing this kind of information is useful to avoid unnecessary questions regarding discrepancies between national reports. A State Party can additionally, on a voluntary basis, indicate where or why the information was withheld either in this section or in the particular section of the reporting template.

**It is recommended that States Parties consider the aims and objectives of the ATT to promote transparency when making the decision to withhold information in their annual reports.**

If "Yes" is ticked, it is good practice to signal, in the report, where information was withheld. For instance, if an import of battle tanks was withheld for national security reasons, a State Party can still tick the battle tanks box but write "classified" or "withheld" in Columns 4 or 6, depending on whether the number of units or exporting state (or both) is sensitive.

**Example: Annual report indicating where information was withheld for commercial sensitivity/ national security-related reasons**

A. I-VII UN Registry Categories <sup>12</sup> (national definitions shall not cover less than the definitions provided in Annex I <sup>13</sup> )									
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>	NIL					
II.	Armoured combat vehicles	<input type="checkbox"/>	<input checked="" type="checkbox"/>	10		Norway		CV90	
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>	NIL					
IV.	Combat aircraft	a) <input type="checkbox"/>	<input type="checkbox"/>	NIL					
		b) <input type="checkbox"/>	<input type="checkbox"/>	NIL					
V.	Attack helicopters	a) <input type="checkbox"/>	<input type="checkbox"/>	NIL					
		b) <input type="checkbox"/>	<input type="checkbox"/>	NIL					
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>	NIL					
VII.	Missiles & missile launchers	a) <input type="checkbox"/>	<input type="checkbox"/>	NIL					
		b) <input type="checkbox"/>	<input checked="" type="checkbox"/>	Classified		Brazil		RBS70	

## B

## EXPORTS AND IMPORTS REPORTING TEMPLATES

In the first part of the exports and imports reporting template, States Parties have the opportunity to provide specific information on the definition of “export” used in the report. The Treaty does not provide a definition of the term so each State Party is given the option to apply its own definition. For most States, an export involves the physical move of an item across a border, but others apply slightly different definitions.

If the State Party uses a different definition, it is recommended that it describes such a definition in the “other” box (See example below).

### Example: Definition of the term exports in an annual report

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

State X doesn't have a single criterion for this, it depends on the transfer, and the destination (transfer of control, delivery verification date, leaving the State's territory, etc.).



## MAKING ANNUAL REPORTS PUBLICLY AVAILABLE

EXPORTS OF CONVENTIONAL ARMS <sup>2</sup>			
- SHADED COLUMNS AND ROWS REPRESENT INFORMATION THAT GOES BEYOND THE MINIMUM THAT STATES PARTIES SHOULD INCLUDE WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS -			
Reporting country :	Calendar Year :	Cutoff date <sup>3</sup> :	
In this report, the following definition of the term exports was used <sup>4</sup> (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 may be made publicly available <sup>5</sup>			
			Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Because one of the main purposes of the Treaty is promoting transparency in the global arms trade, it is highly recommended that a State Party ticks the box to make its annual report publicly available.

If there is some sensitive data, it is always better to tick the box on the first page, indicating that some data has been but still publishing other less sensitive transfers.

However, if a State Party decides to tick the 'No' box, the annual report will only be posted on the restricted area of the ATT website and available only to other States Parties.



## REPORTING EXPORTS OF CONVENTIONAL WEAPONS

The Treaty establishes, in its Art. 13.3, that States Parties shall submit information on “actual” or “authorized” transfers of conventional arms covered under Art. 2.1. These are: (a) battle tanks; (b) armored combat vehicles; (c) large-caliber artillery systems; (d) combat aircraft; (e) attack helicopters; ( f ) warships; (g) missiles and missile launchers; and (h) small arms and light weapons.

Category of arms <sup>6</sup> [I-VIII]		Authorized or actual exports <sup>7</sup>		Extent of exports <sup>8</sup> (choose one or both)		Final importing State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks <sup>13</sup>	
		Auth.	Act.	Number of Items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
<b>A. I-VII UN Register Categories<sup>14</sup></b> (national definitions shall not cover less than the definitions provided in Annex 1 <sup>15</sup> )									
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat Aircraft	a) manned	<input type="checkbox"/>						
		b) unmanned	<input type="checkbox"/>						
V.	Attack helicopters	a) manned	<input type="checkbox"/>						
		b) unmanned	<input type="checkbox"/>						
VI.	Warships	<input type="checkbox"/>	<input type="checkbox"/>						
VII.	Missiles & missile launchers	a) Missiles etc	<input type="checkbox"/>						
		b) MANPADS	<input type="checkbox"/>						

States Parties need to specify whether transfers are "actual" (the transfer has already been made, the item(s) have been physically exported or imported or the title and control over the arms has been actually transferred) or "authorized" (the State Party has issued an export or import license but the item(s) are yet to be physically transferred).

States Parties can also choose to report either authorized or actual transfers as a whole or per category of weapons. Both options are perfectly valid, but it is preferable that once an option is made, that it remains consistent over time.



The template also allows a State Party to indicate either the quantity of weapons or their financial value. When choosing to report the financial value, it is desirable that the currency is included. States Parties can, of course, report both the quantity and value. As in the earlier case, it is preferable that once an option is made, that it remains consistent over time.

Providing information on final importing states or final exporting states for imports is also key for transparency (see Box 1). It is also important to break the numbers of items down by country. So if 100 large-caliber artillery systems were transferred to Austria and 25 to Sweden, it's important to list each as a separate transfer instead of just putting "125" in the number of units and "Sweden, Austria" in column 6 as this obscures the exact number of weapons transferred to each.



### **BOX 1 - FULFILLING THE TRANSPARENCY AIMS AND OBJECTIVES OF THE TREATY**

The ATT Monitor considers an annual report to include the minimum information needed in order to contribute to the aims and objectives of the ATT in Article 1 if a Report:

- is submitted and made publicly available on the ATT Secretariat website
- indicates that commercially sensitive or national security information was or was not withheld
- provides information that is disaggregated by weapon type
- supplies information that is disaggregated by importer/exporter
- indicates whether transfer data concerns authorizations or actual transfers (or both)
- provides the number of units or financial value (or both) for each weapon type clearly
- includes 'nil' reports on exports and imports, in the case one or more 'nil' reports were submitted



### **PROVIDING ADDITIONAL INFORMATION**

The reporting template states that the shaded columns and rows represent information that goes beyond the minimum that States Parties should include in their annual reports.

Category of arms <sup>6</sup> [I-VIII]		Authorised or actual imports <sup>7</sup>		Extent of imports <sup>8</sup> (choose one or both)		Exporting State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks	
		Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of item	Comments on the transfer
1		2	3	4	5	6	7	8	9
<b>A. I-VII UN Register Categories<sup>14</sup></b> (national definitions shall not cover less than the definitions provided in Annex 1) <sup>15</sup>									
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>						
II.	Armoured combat vehicles	<input type="checkbox"/>	<input type="checkbox"/>						
III.	Large-calibre artillery systems	<input type="checkbox"/>	<input type="checkbox"/>						
IV.	Combat aircraft	a) manned <input type="checkbox"/>	<input type="checkbox"/>						
	b) unmanned <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
V.	Attack helicopters	a) manned <input type="checkbox"/>	<input type="checkbox"/>						
	b) unmanned <input type="checkbox"/>	<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"/>	<input type="checkbox"/>						

While filling these columns is not required under the Treaty, including descriptions of items, as well as comments on the nature of the transfer, contributes positively towards meeting a higher standard of transparency and it is desirable that States Parties provide this level of detail whenever possible.

An annual report can include descriptions of reported transfers that provide details on the make, model and/or caliber of transferred conventional arms. It can also include comments on reported transfers that provide details on the nature of the transfer, including end-use/end-user information.

### Example: Annual report that supports a higher standard of transparency

Categoría de armas <sup>6</sup> [I-VIII]			Importaciones autorizadas o reales <sup>7</sup>		Alcance de las importaciones <sup>8</sup> (elija una o ambas opciones)		Estado exportador <sup>9</sup>	Estado de origen (si no es el exportador) <sup>10</sup>	Observaciones <sup>11</sup>	
			Aut.	Reales	Número de artículos <sup>12</sup>	Valor <sup>13</sup>			Descripción del artículo	Comentarios sobre la transferencia
1	2	3	4	5	6	7	8	9	10	11
V.	Helicópteros de ataque	a) tripulados <input type="checkbox"/>	<input type="checkbox"/>							
	b) no tripulados <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>							
VI.	Barcos de guerra	<input type="checkbox"/>	<input type="checkbox"/>							
VII.	Misiles y lanzamisiles	a) Misiles, etc. <input type="checkbox"/>	<input type="checkbox"/>							
	b) MANPADS <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>							
<b>B. VIII. Armas pequeñas y armas ligeras<sup>14, 15</sup></b>										
Armas pequeñas (total) <sup>16</sup>			<input type="checkbox"/>	<input checked="" type="checkbox"/>	82					
I.	Revolvers y pistolas automáticas		<input type="checkbox"/>	<input checked="" type="checkbox"/>	1					
			<input type="checkbox"/>	<input checked="" type="checkbox"/>	4					
			<input type="checkbox"/>	<input checked="" type="checkbox"/>						
			<input type="checkbox"/>	<input checked="" type="checkbox"/>						
			<input type="checkbox"/>	<input checked="" type="checkbox"/>						
			<input type="checkbox"/>	<input checked="" type="checkbox"/>						
			<input type="checkbox"/>	<input checked="" type="checkbox"/>						
			<input type="checkbox"/>	<input checked="" type="checkbox"/>						
			<input type="checkbox"/>	<input checked="" type="checkbox"/>	50 PIEZAS		ITALIA	ITALIA	SEMIAUTOMÁTICA MARCA BROWNING, CAL. 6.380	PROTECCIÓN DE DOMICILIO.
			<input type="checkbox"/>	<input checked="" type="checkbox"/>	396 PIEZAS		ITALIA	ITALIA	PISTOLA SEMIAUTOMÁTICA MARCA BERETTA, CAL. 6.22"	USO DEPORTIVO Y PROTECCIÓN DE DOMICILIO.



## REPORTING EXPORTS OF SMALL ARMS AND LIGHT WEAPONS

The reporting template also includes categories of small arms and light weapons (SALW) taken from the UN Register of Conventional Arms (UNROCA). There are 6 sub-categories of small arms and 7 sub-categories of light weapons.



The reporting template allows States Parties to submit information on SALW at an aggregated level and that is why filling in the shaded rows and columns in this section of the template is not a requirement. However, the ATT Monitor highly encourages States Parties to report as much information as possible at a disaggregated level in this section of the template.

**Data aggregation in SALW reporting is a particularly salient issue as the uncontrolled proliferation of these weapons has devastating effects on socio-economic development, human rights and human security.**



As with the previous categories where disaggregation is encouraged, submitting disaggregated information for the category of small arms and light weapons, and its related sub-categories, helps to further the transparency objectives and aims of the ATT.

Category of arms <sup>6</sup> [I-VIII]	Authorised or actual imports <sup>7</sup>		Extent of imports <sup>8</sup> (choose one or both)		Exporting State <sup>11</sup>	State of origin (if not exporter) <sup>12</sup>	Remarks	
	Auth.	Act.	Number of items <sup>9</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>B. VIII. Small Arms and Light Weapons<sup>16, 17</sup></b>								
<b>Small Arms (aggregated)<sup>18</sup></b>	<input type="checkbox"/>	<input type="checkbox"/>						
1. Revolvers and self-loading pistols	<input type="checkbox"/>	<input type="checkbox"/>						
2. Rifles and carbines	<input type="checkbox"/>	<input type="checkbox"/>						
3. Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
4. Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5. Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>						
6. Others	<input type="checkbox"/>	<input type="checkbox"/>						
<b>Light Weapons (aggregated)<sup>19</sup></b>	<input type="checkbox"/>	<input type="checkbox"/>						
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"/>						

ATT Monitor analysis shows that every instance of data aggregation in 2020 annual reports concerned transfers involving small arms and light weapons (SALW). One method used to aggregate data in these reports was to combine different weapons categories, which results in an obfuscation of the actual number of weapons transferred.

**Example: Small arms exports aggregated in an annual report**

Category of arms <sup>6</sup> [I-VIII]	Authorised or actual exports <sup>7</sup>		Extent of exports <sup>8</sup> (choose one or both)		Final Importing State <sup>9</sup>	State of origin (if not exporter) <sup>10</sup>	Remarks <sup>11</sup>	
	Auth.	Act.	Number of Items <sup>7</sup>	Value <sup>8</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>B. VIII. Small Arms and Light Weapons<sup>14, 15</sup></b>								
Small Arms (aggregated) <sup>16</sup> as well as Light Weapons (aggregated) <sup>17</sup>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	1		AD			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	67		AE			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	500		AL			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	8701		AR			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	55045		AU			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	624		BA			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	95		BB			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3		BG			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	2		BH			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3		BN			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3304		BO			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	335213		BR			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	20220		CA			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	50168		CH			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	2294		CL			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3		CY			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	1279		CZ			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	117		DE			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	160		DM			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	33287		EC			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	23		ES			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	10		FI			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	25		FR			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	1003		GA			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	106084		GB			
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	5		GE			
					3			

A second method used to aggregate data was to combine exporters and importers. For example, one State Party reported the import of 6,961 rifles and carbines from 'Multiple exporting states', leaving the reader with no indication as to where they came from. In other cases, the exporters or importers may be mentioned individually while the volume of the category of arms transferred is combined, which prevents proper allocation of the number of arms to or from each destination.

### Example: Aggregation of exporting states in the small arms imports section of an annual report

B. VIII. Small Arms and Light Weapons <sup>14,15</sup>									
Small Arms (aggregated) <sup>16</sup>		<input type="checkbox"/>	<input type="checkbox"/>						
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input checked="" type="checkbox"/>	105 1258	55746	Germany, Austria, Italy;		9mm	
2.	Rifles and carbines	<input type="checkbox"/>	<input checked="" type="checkbox"/>	712 107	896718 EUR	Austria Lithuania, Germany, Austria, United States of America, Switzerland, Belgium, Estonia; United Kingdom		7,62mm/ 12,7 mm;	

## VOLUNTARY NATIONAL CATEGORIES AND REPORTING TEMPLATE FOR NATIONAL DEFINITIONS OF REPORTED CATEGORIES (ANNEX 2)

States Parties may provide information in ATT annual reports that goes beyond the minimum information needed in order to contribute to the aims and objectives of the Treaty in Article 1, as well as information required by Article 13.3. This information contributes to a higher standard of transparency and is in some cases encouraged (though not required) by other ATT provisions.

Article 5.3 encourages States Parties to apply the provisions of the Treaty, including annual reporting obligations, to the broadest range of conventional arms. States Parties, then, could consider including information on all conventional arms in their national control list. Similarly, States Parties could also consider including information on ammunition/munitions and parts and components. The 'FAQ-type guidance document on annual reporting obligations' endorsed by the ATT Conference of States Parties (CSP), makes clear that the Treaty provides no obligation to include such information but does include an encouragement to do so.

States Parties are encouraged to use the Voluntary National Categories section of the reporting template to include such additional information and then use Annex 2 to define those categories.

## Example: Reporting ML1 categories

C. Voluntary National Categories <sup>18</sup> (please define in Annex 2)							
1.	ML1 Smooth-bore weapons with a calibre of less than 20 mm, other arms and automatic weapons with a calibre of 12,7 mm (calibre 0,50 inches) or less	<input type="checkbox"/>	<input checked="" type="checkbox"/>		2,254,847 1,979,519 1,354,737 506,748 956,075 260,771 1,694,664 760,402 275,144 166,526 377,265	South Africa Belgium Denmark Finland France Latvia United Kingdom Germany New Zealand Iceland Norway	
2.	ML2 Smooth-bore weapons with a calibre of 20 mm or more, other weapons or armament with a calibre greater than 12,7 mm	<input type="checkbox"/>	<input checked="" type="checkbox"/>		38,170,641 65,489,700 1,612,546 5,012,681 1,663,803	Botswana Mexico Denmark Finland Lithuania	

Definitions of voluntary national categories - Section C of table(s) (or simple reference to initial report, if this information was provided there)	
No	Description
	See the EU Military List for more complete definitions
	National categories (NL1-3) defined in the respective caption

If a State Party decides to include information on ammunition/munitions and parts and components, it should be clear that these do not fall under the category of small arms and light weapons.

## Example: Reporting on ammunition/munitions

C. Voluntary National Categories (please define in Annex 2)					
				Authorised or actual exports [5]	<input type="checkbox"/> authorised <input checked="" type="checkbox"/> actual
Extent of exports [6] (choose one or both)		Final importing State [9]	State of origin (if not exporter) [10]	Remarks [11]	
Number of items [7]	Value[8]			Description of item	Comments on the transfer
	NOK - Norwegian Krone				
Ammunition	561,683,000		Various		See statistics in annual white paper to parliament for 2020 under kategori ML3 – planned to be submitted in June of 2021.





## REPORTING TEMPLATES FOR NIL REPORTS

If a State Party ticked "Yes" for box i) under "Contents of report" on page 1, this annex must be filled making clear that a 'nil' report is being submitted to the ATT Secretariat.

<b>ANNEX 3 A</b>										
<b>NIL REPORT</b>										
<b>Exports of Conventional Arms<sup>1</sup></b>										
<b>Reporting country :</b>		<b>Calendar Year :</b>								
<p>The Government of _____,</p> <p>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</p> <table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 5%; text-align: center;"><input checked="" type="checkbox"/></td><td style="padding: 5px;">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.</td></tr><tr><td style="text-align: center;"><input checked="" type="checkbox"/></td><td style="padding: 5px;">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.</td></tr></table> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"><tr><td style="width: 65%;">This nil report on exports may be made publicly available<sup>5</sup></td><td style="width: 15%; text-align: center;">Yes <input checked="" type="checkbox"/></td><td style="width: 20%; text-align: center;">No <input type="checkbox"/></td></tr></table>				<input checked="" type="checkbox"/>	no actual exports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place from territory under our jurisdiction during the reporting period indicated above.	<input checked="" type="checkbox"/>	no export authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.	This nil report on exports may be made publicly available <sup>5</sup>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<input checked="" type="checkbox"/>	no actual exports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place from territory under our jurisdiction during the reporting period indicated above.									
<input checked="" type="checkbox"/>	no export authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above.									
This nil report on exports may be made publicly available <sup>5</sup>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>								

<b>ANNEX 3 B</b>										
<b>NIL REPORT</b>										
<b>Imports of Conventional Arms<sup>1</sup></b>										
<b>Reporting country :</b>		<b>Calendar Year :</b>								
<p>The Government of _____,</p> <p>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</p> <table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 5%; text-align: center;"><input checked="" type="checkbox"/></td><td style="padding: 5px;">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.</td></tr><tr><td style="text-align: center;"><input checked="" type="checkbox"/></td><td style="padding: 5px;">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.</td></tr></table> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"><tr><td style="width: 65%;">This nil report on imports may be made publicly available<sup>5</sup></td><td style="width: 15%; text-align: center;">Yes <input checked="" type="checkbox"/></td><td style="width: 20%; text-align: center;">No <input type="checkbox"/></td></tr></table>				<input checked="" 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 checked="" 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 may be made publicly available <sup>5</sup>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<input checked="" 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 checked="" 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 may be made publicly available <sup>5</sup>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>								



## USEFUL RESOURCES

ATT Secretariat (2022). 'Reporting Authorized or Actual Exports and Imports of Conventional Arms under the ATT. Questions & Answers'. ATT/CSP8.WGTR/2022/CHAIR/734/Conf.Rep. 22 July 2022. <https://bit.ly/3OwUEuw>

Control Arms Secretariat (2022). 'Achieving Meaningful Transparency: Why Disaggregation Matters? ATT Monitor Factsheet. April 2022. <https://bit.ly/47seDDm>

Control Arms Secretariat (2021). 'Looking Back to Move Forward. Evaluating Five Years of ATT Annual Reports (2015-2019)'. <https://bit.ly/FiveYearReview>

Control Arms Secretariat (2017). 'Transparency in the ATT'. ATT Monitor 2017 Report. New York. 11 September 2017. <https://bit.ly/3Yta2wl>, pp. 18-31.

Stimson Center, ATT-Baseline Assessment Project (2022). 'Taking Stock of ATT Annual Reports'. February 2022. <https://bit.ly/3rY2uFI>

Stimson Center, ATT-Baseline Assessment Project (2017). 'Annual Report Guidance Booklet'.

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