

CHAPTER 3

REPORTING ON PROGRESS

Reporting and transparency are critical components for ensuring the long-term success of the ATT. The Treaty text on Reporting (Article 13) obliges all States Parties to submit a one-off report on implementation activities by the first anniversary of the Treaty's Entry Into Force (December 2015), and thereafter, annual reports on exports and imports of all conventional arms covered by the Treaty.¹

This chapter builds on the ATT Monitor report 'Initial Findings'² by expanding the dataset and analysis to include all 193 UN Member States. Its focus is on reporting activities by UN Member States when the Arms Trade Treaty came into force on 24 December 2014. It shows which States have reported conventional arms imports or exports using three reporting mechanisms during the period 2009 to 2013 (comprehensive data on reporting in 2014 was not available at the time of writing in June 2015).³

THREE REPORTING MECHANISMS OF RELEVANCE TO CONVENTIONAL ARMS TRANSFERS⁴

A number of reporting initiatives have been put in place since 1990. All of them have been voluntary mechanisms, and States have not been obliged to report annually. There are also regional initiatives such as the EU Annual Reports, and information exchanges between States which are members of the Wassenaar Arrangement, the Organisation for Security and Cooperation in Europe, and the European Union (in addition to its annual reports).⁵ Of these mechanisms, three are of most relevance to establishing a reporting profile among existing and future States Parties to the ATT:

THE UN REGISTER ON CONVENTIONAL ARMS

The UN Register was set up in 1991 and is run under the auspices of the United Nations Office for Disarmament Affairs (UNODA). All UN Member States are asked to provide information voluntarily to the Register on their arms imports and exports. They are specifically requested to name the exporting or importing State; the number of units transferred; intermediary States and the State where the arms originated. States are requested to report on seven categories of arms: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft, attack helicopters, warships, and missiles or missile launchers. These seven categories do not include small arms and most types of light weapons. International attention to the proliferation of small arms and light weapons led to calls for their inclusion in the UN Register, though some States were reluctant to revise the seven

¹ | It is important to note that reporting requirements do not include mandatory reporting on transfers of ammunition (Article 3) or parts and components (Article 4)

² | Karim, A and Marsh, N. 2015. Initial Findings. ATT Monitor. February 2015. <http://controlarms.org/en/att-monitor-report>

³ | The methodology for this analysis is outlined in Annex 2 of this edition of the ATT Monitor

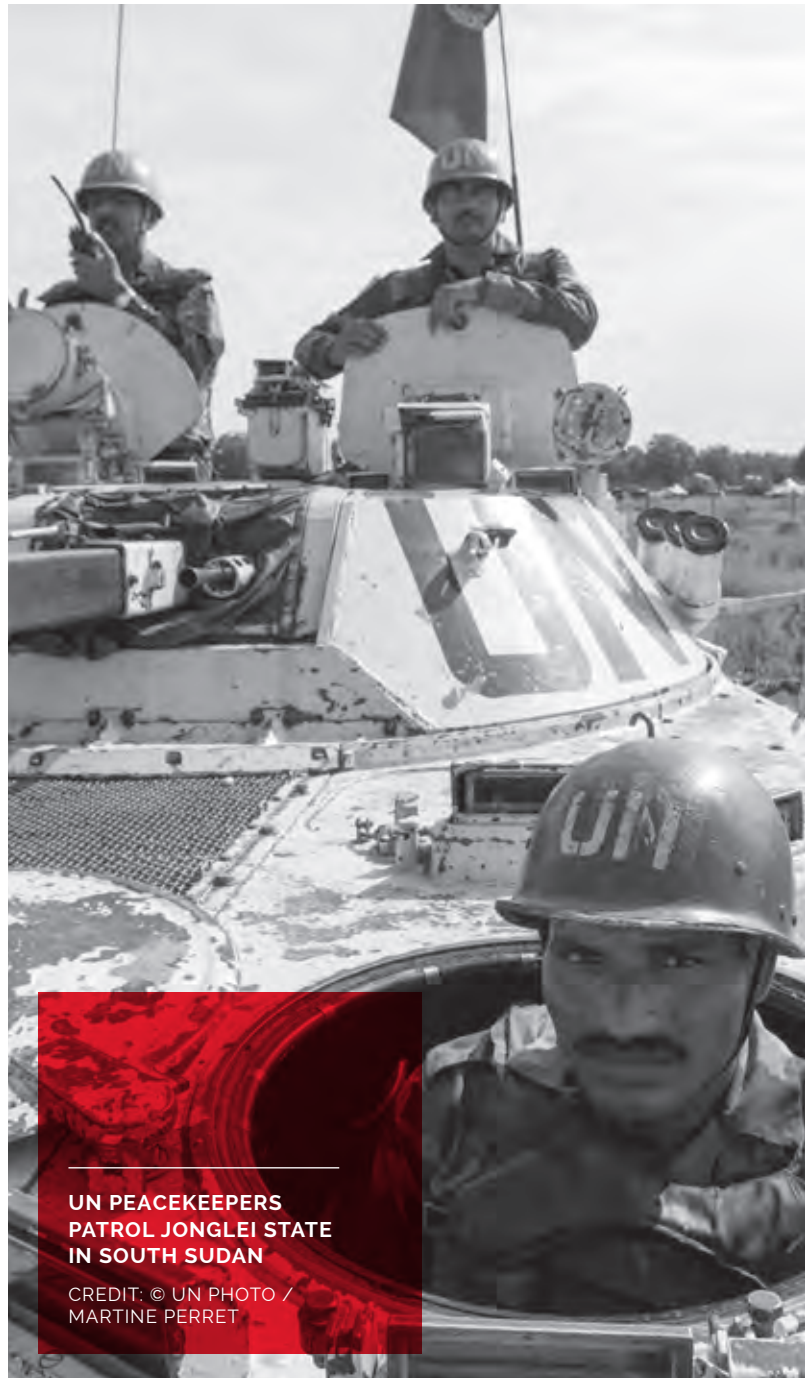
⁴ | For an analysis of the relevance of these reporting mechanisms in the context of increasing transparency in the arms trade, see: Marsh, N., Dansseart, P., and DaSilva., C. 2011. Our Right to Know – Transparent Reporting Under An Arms Trade Treaty. Amnesty International. June 2011.

⁵ | Marsh, N., D. P., and DaSilva., C. 2011. Our right to know – Transparent reporting under an Arms Trade Treaty. Amnesty International. June 2011. pp. 5-6

categories. Instead, in 2003 it was decided that Member States could report 'additional information' on imports and exports of small arms and light weapons.⁶ In practice they do so by reporting those transfers as a form of 'background information'. This was a compromise that formalised the reporting of imports and exports of small arms and light weapons without revising the original seven categories of arms covered by the UN Register.

UN COMMODITY STATISTICS DATABASE (COMTRADE)

All States collect customs data on movements of goods over their borders. The data is primarily used for revenue collection and the compilation of economic statistics, and all States use a standard system of classifying goods. States voluntarily report this data to the UN Commodity Statistics Database (known as Comtrade), which is run by the United Nations Statistical Division. Data reported to Comtrade includes categories which cover the arms trade, particularly small arms and light weapons. When reporting to Comtrade, States can provide information on the number of units exported, the financial value of a shipment, the weight of goods, the exporter and the importer. As it is a record of goods moving from one State to another, the data does not record the ownership of goods being traded.



**UN PEACEKEEPERS
PATROL JONGLEI STATE
IN SOUTH SUDAN**

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⁶ | See General Assembly document A/58/274 and Resolution 58/54

NATIONAL REPORTS ON ARMS TRANSFERS

National reports are published by individual States and provide a detailed record of their arms imports and exports. Such reports are usually the source of the most detailed information on the arms trade. States publish different information in their national reports, but they often contain information on arms export licences granted or refused, as well as a detailed record of the quantity, type and financial value of arms exports and sometimes imports.

CURRENT REPORTING PRACTICES

Of the **193** States assessed in this report, **159** of them, or **82 per cent**, publicly reported some information on their arms imports or exports via at least one of the three reporting mechanisms during the five-year period 2009-2013. None of the **34** States⁷ that did not report at all are major arms producers.⁸ **Ten**⁹ of these 34 states are either Signatories or States Parties to the ATT, whereas **24** of them are non-States Parties or non-Signatories to the ATT.¹⁰

In total, **26** States reported using all three reporting mechanisms. Twenty-four of these States were European and two from North America.

Sixty used some combination of two of the reporting mechanisms: 15 from Asia and the Pacific, 14 from Europe and the Caucasus, 11 from Latin America, five from the Caribbean, five from Sub-Saharan Africa, and five from the Middle East and North Africa.

Seventy-three used just one of the three mechanisms: 30 from Sub-Saharan Africa, 13 from Asia and the Pacific, 11 from the Middle East and North Africa, nine from Latin America, six from the Caribbean, and six from Europe and the Caucasus.



**DOCUMENTING ILLEGAL
HAND-CRAFTED WEAPONS
SEIZED BY POLICE, OCTOBER
2014, LAHAN, NEPAL**

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⁷ | Seven of the 34 States which have not have submitted any reports through any of the three mechanisms submitted 'nil reports' to the UN Register during this period. 'Nil reports' only pertain to the seven major categories of conventional arms, and do not allow for submission of background information where SALW transfers can be recorded. It is for this reason that these seven Nil Reports are being counted as not having submitted any information on transfers.

⁸ | UN Register on Conventional Arms, <http://www.un.org/disarmament/convarms/Register/>

⁹ | As of 15 July 2015, of the 10 States not to have submitted any reports across any of the three mechanisms, Chad, Liberia and Sierra Leone are States Parties to the ATT, and Angola, Georgia, Guinea-Bissau, Haiti, Swaziland, Togo and Tuvalu are Signatories to the ATT.

¹⁰ | The 24 Non-States Parties or Non-Signatories who have not reported on any of the three mechanisms are: Afghanistan, Algeria, Brunei, Cuba, Democratic Republic of Congo, North Korea, Equatorial Guinea, Eritrea, Iran, Iraq, Jordan, Kyrgyzstan, Laos, Maldives, Marshall Islands, Micronesia, Monaco, Myanmar, Somalia, South Sudan, Tajikistan, Timor-Leste, Turkmenistan and Uzbekistan.



THE HIGH LEVEL OF EXISTING PUBLIC REPORTING BY STATES PARTIES AND SIGNATORY STATES INDICATES THAT THERE IS ALREADY AN ACCEPTANCE OF PUBLIC REPORTING



THIS IS A SIGNIFICANT OPPORTUNITY TO ESTABLISH A COMPREHENSIVE REPORTING TEMPLATE THAT IS STANDARDISED ACROSS ALL STATES PARTIES, ENABLING EFFECTIVE AND MEANINGFUL ANALYSIS OF THE ARMS TRADE

Overall, **34** States published national reports during the five-year period,¹¹ **143** reported to Comtrade¹² and **86** reported to the UN Register.¹³

Thirteen countries also submitted 'nil reports' to the UN Register over this period. Seven of these provided no further reports through the other two mechanisms, and six of them also reported through Comtrade. Nil reports declare that the country neither exported nor imported any of the conventional arms covered by the UN Register – though in one case, this report was not accurate because another country had indicated exports to this country during the same year.

Background information on imports and exports of small arms and light weapons was provided by **62** States.¹⁴

Overall, the high level of existing public reporting by States Parties and signatory States indicates that there is already an acceptance of public reporting. All the countries which became States Parties on 24 December 2014 had previously publicly reported some information on their arms imports or exports. It is worth noting that of the 63 countries yet to sign or accede to the ATT, more than half (36 countries) have reported at least once through one of the reporting mechanisms.

Analysis of the data illustrates that reporting was often sporadic, with some States reporting to the UN Register in some but not all years. Even when States did report, information was sometimes withheld, such as if a State did not report on certain categories of equipment. A number of States also submitted 'nil reports' to the UN Register – which merely indicated that the State neither imported nor exported any of the conventional arms covered by the Register for that year.¹⁵

There were also instances of data discrepancy as a result of late submissions, whereby States submitted reports to the UN Register, but these were not accounted for in the relevant annual consolidated reports to the Secretary-General.¹⁶

In light of this, the clear benefit of the Arms Trade Treaty would be to improve the consistency and comprehensiveness of public reporting on the arms trade. This is a significant opportunity to establish a comprehensive reporting template that is standardised across all States Parties, enabling effective and meaningful analysis of the arms trade. The fact that 82 per cent of all States are already undertaking some form of public reporting illustrates that many believe reporting to be an important obligation. This is a powerful platform to build on for the ATT.

¹¹ | Stockholm International Peace Research Institute (SIPRI), National Reports Database, accessed 26 June 2015; http://www.sipri.org/research/armaments/transfers/transparency/national_reports/sipri-national-reports-database

¹² | UN Comtrade Database, accessed 26 June 2015; <http://Comtrade.un.org/>

¹³ | UN Register on Conventional Arms, accessed 26 June 2015; <http://www.un.org/disarmament/convarms/Register/>

¹⁴ | UN Register on Conventional Arms, accessed 26 June 2015; <http://www.un.org/disarmament/convarms/Register/>

¹⁵ | Nil reports are sometimes not an accurate reflection of transfer activity. For example, two countries submitted nil reports for a particular year, but both were identified as import destinations for the same year in export reports of two other countries.

¹⁶ | For example, India reported to the UN Register in 2012, but this was not accounted for in the relevant year's consolidated report to the UN Secretary-General, or the relevant addendum reports for 2013