

## APPENDIX 1: METHODOLOGY FOR INITIAL REPORTS TABLE

The table lists States' responses to question from publicly available initial reports submitted prior to 31 May 2017. The questions are separated into six thematic sections representing the main topics contained within the Arms Trade Treaty. State responses are denoted by check marks, X's, and dashes. Check marks represent "yes" responses, X's represent "no" responses, and dashes represent when a State did not provide a response to a given question. Asterisks in the table represent special situations, either where a state has referenced relevant legislation for requested information in its Initial Report but hasn't provided it directly, or where information has been discussed but not defined by the State Party. Information reflects what States self-reported and was not independently verified. The list of States represents those required to submit an initial report by 31 May 2017.

### UN MISSION IN DARFUR (UNAMID) PROTECTION OF CIVILIANS PATROL IN DARFUR, SUDAN.

CREDIT: © PHOTO BY ALBERT  
GONZÁLEZ FARRAN, UNAMID  
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## APPENDIX 2: DATA FROM INITIAL REPORTS

### NATIONAL CONTROL SYSTEM

State Party	National control system includes national control list	National control system covers exports	National control system covers imports	National control system covers brokering	National control system covers 8 categories covered in Article 2(1)	National control system covers ammunition	National control system covers parts and components
Albania	✓	✓	✓	✓	✓	✓	✓
ANTIGUA AND BARBUDA							
Argentina	✓	✓	✓	✗	✓	✓	✓
Australia	✓	✓	✓	✓	✓	✓	✓
Austria	✓	✓	✓	✓	✓	✓	✓
BAHAMAS							
BARBADOS							
Belgium	✓	✓	✓	✓	✓	✓	✓
Belize							
Bosnia and Herzegovina	✓	✓	✓	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓	✓	✓	✓
Burkina Faso*							
CENTRAL AFRICAN REPUBLIC							
CHAD							
Costa Rica	✓	✗	✓	✓	✓	✓	✗
Côte d'Ivoire	✓	-	✓	✓	✓	✓	✓
Croatia	✓	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓	✓
Denmark	✓	✓	✓	✓	✓	✓	✓
DOMINICA							
Dominican Republic	✓	✗	✓	✗	✓	✓	✓
El Salvador	✗	✓	✓	✗	✗	✗	✗
Estonia	✓	✓	✓	✓	✓	✓	✓
Finland	✓	✓	✓	✓	✓	✓	✓
France	✓	✓	✓	✓	✓	✓	✓
Georgia	✓	✓	✓	✓	✓	✓	✓
Germany	✓	✓	✓	✓	✓	✓	✓
GREECE							
GRENADA							

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 ✗ State indicates no  
 - No response  
 • Special situation

## NATIONAL CONTROL SYSTEM (CONTINUED)

State Party	National control system includes national control list	National control system covers exports	National control system covers imports	National control system covers brokering	National control system covers 8 categories covered in Article 2(1)	National control system covers ammunition	National control system covers parts and components
GUINEA							
GUYANA							
Hungary	✓	✓	✓	✓	✓	✓	✓
Iceland	✓	✓	✓	✓	✓	✓	✓
Ireland	✓	✓	✓	✓	✓	✓	✓
Italy	✓	✓	✓	✓	✓	✓	✓
Jamaica	X	✓	✓	X	X	X	X
Japan	✓	✓	✓	✓	✓	✓	✓
Latvia	✓	✓	✓	✓	✓	✓	✓
LESOTHO							
Liberia	X	X	✓	✓	X	X	X
Liechtenstein	✓	✓	✓	✓	✓	✓	✓
Lithuania	✓	✓	✓	✓	✓	✓	✓
Luembourg	✓	✓	✓	X	✓	✓	✓
Macedonia	✓	✓	✓	✓	✓	✓	✓
MALI							
MALTA							
MAURITANIA							
Mauritius*							
Mexico	✓	✓	✓	✓	✓	✓	✓
Moldova	✓	✓	✓	X	✓	✓	✓
Montenegro	✓	✓	✓	✓	✓	✓	✓
Netherlands	✓	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	✓	✓	✓
NIGER							
Nigeria*							
Norway	✓	✓	✓	✓	✓	✓	✓
Panama	X	X	X	X	X	X	X
PARAGUAY							

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 X State indicates no  
 - No response  
 • Special situation

## APPENDIX 2

### NATIONAL CONTROL SYSTEM (CONTINUED)

State Party	National control system includes national control list	National control system covers eports	National control system covers imports	National control system covers brokering	National control system covers 8 categories covered in Article 2(1)	National control system covers ammunition	National control system covers parts and components
Peru	X	✓	✓	✓	-	-	-
Poland	✓	✓	✓	✓	✓	✓	✓
Portugal	✓	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓	✓
SAINT KITTS AND NEVIS							
SAINT LUCIA							
SAINT VINCENT AND THE GRENADINES							
Samoa	✓	X	✓	X	✓	✓	✓
SAN MARINO							
Senegal*							
Serbia	✓	✓	✓	✓	✓	✓	✓
SEYCHELLES							
Sierra Leone	✓	X	✓	X	X	✓	✓
Slovakia	✓	✓	✓	✓	✓	✓	✓
Slovenia	✓	✓	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓	✓	✓
Spain	✓	✓	✓	✓	✓	✓	✓
Sweden	✓	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓	✓
Togo*							
Trinidad and Tobago	✓	✓	✓	✓	✓	✓	X
TUVALU							
United Kingdom	✓	✓	✓ (partial)	✓	✓	✓	✓
Uruguay	X	✓	✓	X	✓	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 X State indicates no  
 - No response  
 • Special situation

## EXPORTS AND IMPORTS

State Party	Exports		IMPORTS
	Have measures to ensure authorizations are detailed and issued prior to export	Authorizations can be reassessed if new and relevant information becomes available	Have measures to ensure appropriate and relevant information is available to exporting State in order to assist an export assessment
Albania	✓	✓	✓
ANTIGUA AND BARBUDA			
Argentina	✓	✓	✓
Australia	✓	✓	✓
Austria	✓	✓	✓
BAHAMAS			
BARBADOS			
Belgium	✓	✓	✓
BELIZE			
Bosnia and Herzegovina	✓	✓	✓
Bulgaria	✓	✓	✓
Burkina Faso*			
CENTRAL AFRICAN REPUBLIC			
CHAD			
Costa Rica	✗	✗	✓
Côte d'Ivoire	-	-	✓
Croatia	✓	✓	✓
Czech Republic	✓	✓	✓
Denmark	✓	✓	✓
DOMINICA			
Dominican Republic	✗	✗	✓
El Salvador	✓	✗	✗
Estonia	✓	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 ✗ State indicates no  
 - No response  
 • Special situation

## APPENDIX 2

### EXPORTS AND IMPORTS (CONTINUED)

State Party	Exports		IMPORTS
	Have measures to ensure authorizations are detailed and issued prior to export	Authorizations can be reassessed if new and relevant information becomes available	Have measures to ensure appropriate and relevant information is available to exporting State in order to assist an export assessment
Finland	✓	✓	✓
France	✓	✓	✓
Georgia	✓	-	✓
Germany	✓	✓	✓
GREECE			
GRENADA			
GUINEA			
GUYANA			
Hungary	✓	-	X
Iceland	✓	✓	✓
Ireland	✓	✓	✓
Italy	✓	✓	✓
Jamaica	✓	✓	✓
Japan	✓	✓	✓
Latvia	✓	✓	✓
LESOTHO			
Liberia	X	X	X
Liechtenstein	✓	✓	✓
Lithuania	✓	✓	✓
Luembourg	✓	✓	✓
Macedonia	✓	✓	✓
MALI			
MALTA			
MAURITANIA			

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 X State indicates no  
 - No response  
 • Special situation

## EXPORTS AND IMPORTS (CONTINUED)

State Party	Exports		IMPORTS
	Have measures to ensure authorizations are detailed and issued prior to export	Authorizations can be reassessed if new and relevant information becomes available	Have measures to ensure appropriate and relevant information is available to exporting State in order to assist an export assessment
Mauritius*			
Mexico	✓	✓	✓
Moldova	✓	✓	✓
Montenegro	✓	✓	✓
Netherlands	✓	✓	✓
New Zealand	✓	✓	✓
NIGER			
Nigeria*			
Norway	✓	✓	✓
Panama	✗	✗	✓
PARAGUAY			
Peru	✓	✓	✓
Poland	✓	✓	✓
Portugal	✓	✓	✓
Romania	✓	✓	✓
SAINT KITTS AND NEVIS			
SAINT LUCIA			
SAINT VINCENT AND THE GRENADINES			
Samoa	✓	✓	✗
SAN MARINO			
Senegal*			
Serbia	✓	✓	✓
SEYCHELLES			
Sierra Leone	✗	✗	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 ✗ State indicates no  
 – No response  
 • Special situation

## APPENDIX 2

### EXPORTS AND IMPORTS (CONTINUED)

State Party	Exports		IMPORTS
	Have measures to ensure authorizations are detailed and issued prior to export	Authorizations can be reassessed if new and relevant information becomes available	Have measures to ensure appropriate and relevant information is available to exporting State in order to assist an export assessment
Slovakia	✓	✓	✓
Slovenia	✓	✓	✓
South Africa	✓	✓	✓
Spain	✓	✓	✓
Sweden	✓	✓	✓
Switzerland	✓	✓	✓
Togo			
Trinidad and Tobago	✓	✓	✗
TUVALU			
United Kingdom	✓	✓	✓
Uruguay	✓	✗	✓



## APPENDIX 2

### TRANSIT/TRANSHIPMENT & BROKERING

State	Includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1)	Includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1)	Provides definition of brokering
Albania	✓	✓	✓
ANTIGUA AND BARBUDA			
Argentina	✓	✓	✗
Australia	✓	✓	*
Austria	✓	✓	✓
BAHAMAS			
BARBADOS			
Belgium	✗	✓	✓
BELIZE			
Bosnia and Herzegovina	✓	✓	✓
Bulgaria	✓	✓	✓
Burkina Faso*			
CENTRAL AFRICAN REPUBLIC			
CHAD			
Costa Rica	✓	✓	✓
Côte d'Ivoire	✓	✓	*
Croatia	✓	✓	✓
Czech Republic	✓	✗	✓
Denmark	✓	✓	✓
DOMINICA			
Dominican Republic	✓	✗	✓
El Salvador	✗	✗	✗
Estonia	✓	✓	✓
Finland	✓	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 ✗ State indicates no  
 - No response  
 • Special situation

## APPENDIX 2

### TRANSIT/TRANSHIPMENT & BROKERING

State	Includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1)	Includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1)	Provides definition of brokering
France	✓	✓	*
Georgia	✓	✓	✓
Germany	✓	✓	✓
GREECE			
GRENADA			
GUINEA			
GUYANA			
Hungary	✓	✓	✓
Iceland	✓	✓	✓
Ireland	✓	✓	✓
Italy	✓	✓	✓
Jamaica	✓	✓	X
Japan	✓	✓	X
Latvia	✓	✓	✓
LESOTHO			
Liberia	X	✓	✓
Liechtenstein	✓	✓	✓
Lithuania	✓	✓	✓
Luembourg	✓	✓	✓
Macedonia	✓	X	✓
MALI			
MALTA			
MAURITANIA			
Mauritius*			
Mexico	✓	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes      - No response  
 X State indicates no      • Special situation

**TRANSIT/TRANSHIPMENT & BROKERING (CONTINUED)**

State	Includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1)	Includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1)	Provides definition of brokering
Moldova	✓	✓	✗
Montenegro	✓	✓	✓
Netherlands	✓	✓	✓
New Zealand	✓	✓	✓
NIGER			
Nigeria*			
Norway	✓	✓	✓
Panama	✓	✓	*
PARAGUAY			
Peru	✓	✓	*
Poland	✓	✓	✓
Portugal	✓	✓	✓
Romania	✓	✓	✓
SAINT KITTS AND NEVIS			
SAINT LUCIA			
SAINT VINCENT AND THE GRENADINES			
Samoa	✓	✓	
SAN MARINO			
Senegal*			
Serbia	✓	✓	✓
SEYCHELLES			
Sierra Leone	✗	✗	✗
Slovakia	✓	✓	✓
Slovenia	✓	✓	✓
South Africa	✓	✓	✗

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes      - No response  
 ✗ State indicates no      • Special situation

## APPENDIX 2

### TRANSIT/TRANSHIPMENT & BROKERING (CONTINUED)

State	Includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1)	Includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1)	Provides definition of brokering
Spain	✓	✓	✓
Sweden	✓	✓	✓
Switzerland	✓	✓	✓
Togo*			
Trinidad and Tobago	✓	✓	X
TUVALU			
United Kingdom	✓	✓	X
Uruguay	✓	✓	X

## APPENDIX 2

### PROHIBITIONS

State	Prohibits arms transfers in all circumstances specified in Article 6
Albania	✓
ANTIGUA AND BARBUDA	
Argentina	✓
Australia	✓
Austria	✓
BAHAMAS	
BARBADOS	
Belgium	✓
BELIZE	
Bosnia and Herzegovina	✓
Bulgaria	✓
Burkina Faso*	
CENTRAL AFRICAN REPUBLIC	
CHAD	
Costa Rica	✓
Côte d'Ivoire	✓
Croatia	✓
Czech Republic	✓
Denmark	✓
DOMINICA	
Dominican Republic	✓
El Salvador	✓
Estonia	✓
Finland	✓
France	✓
Georgia	✓

State	Prohibits arms transfers in all circumstances specified in Article 6
Germany	✓
GREECE	
GRENADA	
GUINEA	
GUYANA	
Hungary	✓
Iceland	✓
Ireland	✓
Italy	✓
Jamaica	✓
Japan	✓
Latvia	✓
LESOTHO	
Liberia	X
Liechtenstein	✓
Lithuania	✓
Luembourg	✓
Macedonia	✓
MALI	
MALTA	
MAURITANIA	
Mauritius*	
Mexico	✓
Moldova	✓
Montenegro	✓
Netherlands	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 X State indicates no  
 - No response  
 • Special situation

## APPENDIX 2

### PROHIBITIONS (CONTINUED)

State	Prohibits arms transfers in all circumstances specified in Article 6
New Zealand	✓
NIGER	
Nigeria*	
Norway	✓
Panama	✗
PARAGUAY	
Peru	✓
Poland	✓
Portugal	✓
Romania	✓
SAINT KITTS AND NEVIS	
SAINT LUCIA	
SAINT VINCENT AND THE GRENADINES	
Samoa	✓
SAN MARINO	

State	Prohibits arms transfers in all circumstances specified in Article 6
Senegal*	
Serbia	✓
SEYCHELLES	
Sierra Leone	✓
Slovakia	✓
Slovenia	✓
South Africa	✓
Spain	✓
Sweden	✓
Switzerland	✓
Togo*	
Trinidad and Tobago	✗
TUVALU	
United Kingdom	✓
Uruguay	✗

**APPENDIX 2:****DIVERSION**

State	Measures in place to prevent diversion	Measures in place to be taken when diversion has been detected	Provision, upon request, of end use / end user documentation to the exporting state	Require end use / end user assurances from an importing State (or industry)	Examine parties involved in transfer	Require, where appropriate, additional documentation, certification, and/or other assurances	Exchange relevant information with other States Parties
Albania	✓	✓	✓	✓	✓	✓	✓
ANTIGUA AND BARBUDA							
Argentina	✓	✓	✓	✓	✓	✓	✓
Australia	✓	✓	✓	✓	✓	✓	✓
Austria	✓	✓	✓	✓	✓	✓	✓
BAHAMAS							
BARBADOS							
Belgium	✓	✓	✓	✓	✓	✓	✓
BELIZE							
Bosnia and Herzegovina	✓	✓	✓	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓	✓	✓	✓
Burkina Faso*							
CENTRAL AFRICAN REPUBLIC							
CHAD							
Costa Rica	✓	✓	✓	✓	✗	✓	✓
Côte d'Ivoire	✓	✓	-	-	-	-	-
Croatia	✓	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓	✓
Denmark	✓	✓	✗	✓	✓	✓	✓
DOMINICA							
Dominican Republic	✓	✓	✓	✓	✓	✓	✓
El Salvador	✓	✗	✓	✓	✓	✓	✓
Estonia	✓	✓	✓	✓	✓	✓	✓
Finland	✓	✓	✓	✓	✓	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 ✗ State indicates no  
 - No response  
 • Special situation

## APPENDIX 2

### DIVERSION (CONTINUED)

State	Measures in place to prevent diversion	Measures in place to be taken when diversion has been detected	Provision, upon request, of end use / end user documentation to the exporting state	Require end use / end user assurances from an importing State (or industry)	Examine parties involved in transfer	Require, where appropriate, additional documentation, certification, and/or other assurances	Exchange relevant information with other States Parties
France	✓	✓	✓	✓	✓	✓	✓
Georgia	✓	✓	-	-	-	-	-
Germany	✓	✓	✓	✓	✓	✓	✓
GREECE							
GRENADA							
GUINEA							
GUYANA							
Hungary	✓	X	-	-	-	-	-
Iceland	✓	✓	✓	✓	✓	✓	✓
Ireland	✓	✓	✓	✓	✓	✓	✓
Italy	✓	✓	✓	✓	✓	✓	✓
Jamaica	✓	X	✓	✓	✓	✓	✓
Japan	✓	✓	✓	✓	-	-	✓
Latvia	✓	✓	✓	✓	✓	✓	✓
LESOTHO							
Liberia	✓	X	X	X	X	X	X
Liechtenstein	✓	✓	✓	✓	✓	✓	✓
Lithuania	✓	✓	✓	✓	✓	✓	✓
Luembourg	✓	X	✓	✓	✓	✓	✓
Macedonia	✓	✓	✓	✓	X	X	✓
MALI							
MALTA							
MAURITANIA							
Mauritius*							

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 X State indicates no  
 - No response  
 • Special situation



## DIVERSION (CONTINUED)

State	Measures in place to prevent diversion	Measures in place to be taken when diversion has been detected	Provision, upon request, of end use / end user documentation to the exporting state	Require end use / end user assurances from an importing State (or industry)	Examine parties involved in transfer	Require, where appropriate, additional documentation, certification, and/or other assurances	Exchange relevant information with other States Parties
Mexico	✓	✓	✓	✓	✓	✓	✓
Moldova	✓	✓	✓	✓	✓	✓	✓
Montenegro	-	-	-	-	-	-	-
Netherlands	✓	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	✓	✓	✓
NIGER							
Nigeria*							
Norway	✓	✓	✓	✓	✓	✓	✓
Panama	✓	✓	✓	✓	X	✓	✓
Paraguay							
Peru	✓	✓	✓	✓	✓	✓	✓
Poland	✓	✓	✓	✓	✓	✓	✓
Portugal	✓	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓	✓
SAINT KITTS AND NEVIS							
SAINT LUCIA							
SAINT VINCENT AND THE GRENADINES							
Samoa	✓	X	✓	✓	✓	✓	✓
SAN MARINO							
Senegal*							
Serbia	✓	✓	✓	✓	✓	✓	✓
SEYCHELLES							
Sierra Leone	✓	✓	✓	✓	✓	✓	✓
Slovakia	✓	✓	✓	✓	✓	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 X State indicates no  
 - No response  
 • Special situation

## APPENDIX 2

### DIVERSION (CONTINUED)

State	Measures in place to prevent diversion	Measures in place to be taken when diversion has been detected	Provision, upon request, of end use / end user documentation to the exporting state	Require end use / end user assurances from an importing State (or industry)	Examine parties involved in transfer	Require, where appropriate, additional documentation, certification, and/or other assurances	Exchange relevant information with other States Parties
Slovenia	✓	✓	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓	✓	✓
Spain	✓	✓	✓	✓	✓	✓	✓
Sweden	✓	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓	✓
Togo*							
Trinidad and Tobago	✓	X	✓	X	X	X	X
TUVALU							
United Kingdom	✓	✓	✓	✓	X	✓	✓
Uruguay		✓	✓	✓	✓	✓	✓

\*Report is private  
Has submitted public report  
HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
X State indicates no  
- No response  
• Special situation

## ENFORCEMENT

State	Measures in place to enforce national laws and regulations that implement the ATT	National legislation allows for the provision of joint assistance in investigations, prosecutions and judicial proceedings
Albania	✓	✓
ANTIGUA AND BARBUDA		
Argentina	✓	✓
Australia	✓	-
Austria	✓	✓
BAHAMAS		
BARBADOS		
Belgium	✓	✓
BELIZE		
Bosnia and Herzegovina	✓	✓
Bulgaria	✓	✓
Burkina Faso*		
CENTRAL AFRICAN REPUBLIC		
CHAD		
Costa Rica	-	-
Côte d'Ivoire	✓	✓
Croatia	✓	✓
Czech Republic	✓	✓
Denmark	✓	✓
DOMINICA		
Dominican Republic	✓	✓
El Salvador	✓	✓
Estonia	✓	✓
Finland	✓	✓
France	✓	✗
Georgia	✓	✓
Germany	✓	✓
GREECE		

State	Measures in place to enforce national laws and regulations that implement the ATT	National legislation allows for the provision of joint assistance in investigations, prosecutions and judicial proceedings
GRENADA		
GUINEA		
GUYANA		
Hungary	✓	✓
Iceland	✓	✓
Ireland	✓	✓
Italy	✓	✓
Jamaica	✗	✗
Japan	✓	✓
Latvia	✓	✓
LESOTHO		
Liberia	✗	✓
Liechtenstein	✓	✓
Lithuania	✓	✓
Luembourg	✓	✓
Macedonia	✓	✓
MALI		
MALTA		
MAURITANIA		
Mauritius*		
Mexico	✓	✗
Moldova	✓	✓
Montenegro	-	-
Netherlands	✓	✓
New Zealand	✓	✓
NIGER		
Nigeria*		
Norway	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 ✗ State indicates no  
 - No response  
 • Special situation

## APPENDIX 2

### ENFORCEMENT (CONTINUED)

State	Measures in place to enforce national laws and regulations that implement the ATT	National legislation allows for the provision of joint assistance in investigations, prosecutions and judicial proceedings
Panama	X	X
PARAGUAY		
Peru	✓	✓
Poland	✓	✓
Portugal	✓	✓
Romania	✓	✓
SAINT KITTS AND NEVIS		
SAINT LUCIA		
SAINT VINCENT AND THE GRENADINES		
Samoa	✓	✓
SAN MARINO		
Senegal*		
Serbia	✓	-
SEYCHELLES		
Sierra Leone	✓	✓
Slovakia	✓	✓
Slovenia	✓	✓
South Africa	✓	✓
Spain	✓	✓
Sweden	✓	✓
Switzerland	✓	✓
Togo*		
Trinidad and Tobago	✓	✓
TUVALU		
United Kingdom	✓	✓
Uruguay	✓	✓

\*Report is private  
 Has submitted public report  
 HAVE NOT SUBMITTED REPORT

✓ State indicates yes  
 X State indicates no  
 - No response  
 • Special situation

## APPENDIX 3: SOURCES FOR RISK WATCH TYPOLOGY

### PROPOSED INDICATORS AND SOURCES FOR THE RISK WATCH TYPOLOGY

	Definition	Proposed Indicators	Proposed Sources
Individual	Violence that is not intended to further the aims of any formally defined group or cause.	Access to small arms and light weapons	Economist Intelligence Unit (part of the Global Peace Index)
		Child maltreatment/protection laws	UNICEF, and UN Development Program (UNDP)/UNODC/WHO Violence Prevention Report
		Domestic violence laws	UN Gender Statistics
		Effectiveness of criminal justice systems	World Justice Project (WJP)
		Gang membership levels and laws	UNDP/UNODC/WHO Violence Prevention Report
		Homicide (violent deaths out of conflict)	Small Arms Survey (based on UNODC data)
		Human rights abuses	Amnesty International, Human Rights Watch, US State Department (Political Terror Scale - PTS)
		Human inequality	UNDP Human Development Index
		Intimate partner violence	UN Gender Statistics
		Respect for the rule of law	World Bank (World Governance Indicators)
		Violent crime rates	UNODC Crime Trends (UN-CTS)
		Youth unemployment	World Bank (World Development Indicators)
		Youth violence	UNODC
Group	Armed violence carried out at a by people who identify themselves as members of a group to further political, economic or social objectives.	Access to small arms and light weapons	Economist Intelligence Unit (part of the Global Peace Index)
		Active armed groups	Uppsala Conflict Data Programme
		Atrocity crimes	UN Special Advisors on Prevention of Genocide and Responsibility to Protect
		Discrimination against minorities	Pew Research Center (Social Hostilities Index)
		Group grievances	Fragile States Index (The Fund for Peace)
		Genocide Early Warning	Early Warning Project
		Human rights abuses	Amnesty International, Human Rights Watch, US State Department (PTS)
		Human trafficking	US State Department (Trafficking in Persons Report)
		Human Inequality	UNDP Human Development Index
		Monopoly of the use of force	Bertelsmann Stiftung (Transformation Index BTI)
		Organized crime levels and laws	UNODC
		Respect for the rule of law	World Bank (World Governance Indicators)
		Political instability	World Bank (World Governance Indicators)
		Protection of political and civil liberties	Freedom House (Freedom in the World)
		Terrorism	Institute for Economics and Peace (Global Terrorism Index)

## APPENDIX 3

### PROPOSED INDICATORS AND SOURCES FOR THE RISK WATCH TYPOLOGY (CONTINUED)

	Definition	Proposed Indicators	Proposed Sources
<b>Institutional</b>	Violence and human rights abuses perpetrated or sanctioned by the state.	Attacks on human rights defenders	Front Line Defenders
		Defence-sector corruption	Transparency International (Government Defence Anti-Corruption Index)
		Extrajudicial killing	UN Special Rapporteur on extrajudicial, summary or arbitrary executions
		Freedom of the press	Reporters Without Borders (World Press Freedom Index)
		Freedom of religion	Pew Research Center (Government Restrictions on Religion)
		Human rights abuses	Amnesty International, Human Rights Watch, US State Department (PTS)
		Lack of constraints on government powers	WJP
		Legitimacy/stability of state structures	Bertelsmann Stiftung (Transformation Index BTI)
		Military expenditure	SIPRI
		Military interference in the rule of law	Fraser Institute (Economic Freedom of the World)
		Police and internal security forces capacity/legitimacy	World Internal Security and Police Index (WISPI)
		Political and civil liberties	Freedom House (Freedom in the World)
		Protection of fundamental rights	World Justice Project
		Repression of civil society	CIVICUS Monitor
Rule of law weakness	World Bank (World Governance Indicators)		
<b>Conflict</b>	Intense political violence, either inter or intra-state.	Active armed conflict	International Institute for Strategic Studies (Armed Conflict Database) Uppsala Conflict Data Programme
		Atrocity crimes	UN Special Advisors on Prevention of Genocide and Responsibility to Protect
		Defence-sector corruption	Transparency International (Government Defence Anti-Corruption Index)
		Genocide early warning	Early Warning Project
		Highly violent conflict	Heidelberg Institute for International Conflict Research (Conflict Barometer)
		Human rights abuses	Amnesty International, Human Rights Watch, US State Department (PTS)
		Military expenditure	SIPRI
		Sexual violence in conflict	Report of the UN Secretary-General on Sexual Violence in Conflict
		Recruitment of child soldiers	UN Security Council Working Group on Children and Armed Conflict