

CHAPTER 3: ATT REPORTING UPDATES AND INSIGHTS FROM 2017

3.1 – REVIEWING ATT ANNUAL REPORTS

The Arms Trade Treaty (ATT) aims to increase transparency in the global arms trade by requiring States Parties to submit Annual Reports on arms exports and imports, as well as an Initial Report on treaty implementation (that will be updated as national systems change and develop).

The arms trade is often conducted in the shadows. Transparency with regard to exports and imports can help shed light on global arms transfers and can mitigate the risks associated with an arms trade conducted in secret. Information on which country is selling what system to whom can increase awareness of global arms trade patterns, which can create an environment of responsibility and accountability for arms-transfer decisions. Transparency is a confidence-building measure and can lead to international cooperation and assistance when required to fill gaps, strengthen systems, and help States Parties to take action at both the national and international level to address corruption risk. Transparency can also help identify particularly troubling or destabilizing arms transfers, which can lead to conflict prevention by identifying early warning signs for potential violence and instability.

There are also additional reporting benefits that support the ATT directly. Comprehensive reporting demonstrates how the export-assessment criteria are being applied to specific transfer decisions, which allows governments to identify if export determinations are in line with obligations identified in Articles 6 and 7 of the Treaty. Reporting on exports and imports can also shed light on the record-keeping system maintained by the reporting State Party and identify any gaps or issues with data collection and distribution procedures.

OVERVIEW OF 2017 ANNUAL REPORTS

Of the 95 States Parties to the ATT, 89 were required to submit a 2017 ATT Annual Report by the 31 May reporting deadline. The ATT Secretariat extends a grace period of seven days to States Parties before a report is considered late, thereby setting a de facto deadline of 7 June 2018. As of that date, 36 States Parties had submitted their report to the ATT Secretariat, reflecting a completion rate of only 40 percent. Those that had done so are:

Albania, Argentina, Belgium, Bosnia and Herzegovina, Bulgaria, Czech Republic, El Salvador, Georgia, Germany, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Madagascar, Mauritius, Malta, Moldova, Montenegro, New Zealand, Norway, Panama, Peru, Portugal, Romania, Senegal, Serbia, Sierra Leone, Slovakia, Slovenia, South Africa, Sweden, Switzerland, FYR Macedonia, and United Kingdom.

Only Argentina and Madagascar elected to keep their 2017 Annual Reports private. Argentina's reports for 2015 and 2016 are both public. Madagascar was not previously required to submit an Annual Report.

The number of States Parties that submitted their 2017 Annual Report by the deadline is relatively comparable to the completion rates of previous years.¹ Twenty-eight States Parties had submitted their Annual Reports on arms exports and imports that occurred during the 2015 calendar year by 7 June 2016, and 32 had submitted their 2016 Annual Reports by 7 June 2017.²

***Table 3.1: 2017 Annual Reports Submitted to the ATT Secretariat by 7 June 2018³**

Region	States Parties due to report by 31 May 2018	States Parties that have submitted reports	Regional reporting rate
Africa	21	5	24%
Americas	22	4	18%
Asia	2	1	50%
Europe	40	25	63%
Oceania	4	1	25%

1 For more information, see Control Arms Secretariat (2016), 'ATT Monitor 2016'. New York. 22 August 2016. pg. 2; also, Control Arms Secretariat (2017), 'ATT Monitor 2017'. New York. 11 September 2017. pp. 52-54.

2 Reporting rates have been updated from the ATT Monitor 2017 Annual Report to reflect the ATT Secretariat's reporting rates. For more on reporting rates, see the ATT Secretariat's presentation at the 31 May Working Group on Transparency and Reporting. http://www.thearmstradetreaty.org/images/CSP4/CSP4_preparatory_process/May_WG_Prep_Meetings/180531_-_Day_3_-_WGTR_-_ATT_Secretariat_-_Status_of_Reporting.pdf.


3 Analysis based on UN Statistics Division regional groupings. <https://unstats.un.org/unsd/methodology/m49/>.

INITIAL ASSESSMENT

An initial review of the contents of the 2017 Annual Reports that were made publicly available on the ATT Secretariat's website leads to the following preliminary observations.

- Seven States Parties (Bosnia and Herzegovina, El Salvador, Panama, Peru, Senegal, Sierra Leone, and FYR Macedonia) submitted 'nil' reports for arms exports, indicating that they did not export any weapons during the 2017 calendar year. However, of these seven States Parties, one (Bosnia and Herzegovina) provided information on small arms light weapons (SALW) exports.
- Three States Parties (Bosnia and Herzegovina, Luxembourg, and Sierra Leone) submitted 'nil' reports for arms imports. However, one (Bosnia and Herzegovina) provided information on SALW imports.
- Seven States Parties noted that some commercially sensitive and/or national security-related data was withheld in accordance with Article 13.3 of the ATT (Bulgaria, Germany, Italy, Mauritius, Norway, South Africa, Sweden). Two did not indicate whether such information had been withheld or not (Georgia, Republic of Moldova).
- Six States Parties (Belgium, Germany, New Zealand, South Africa, Sweden, and Switzerland) indicated that they provided information on national definitions of arms covered by the Annual Report. However, the inclusion of such material is not clear in all cases, as some States ticked the box but did not provide relevant information.

Though annual reporting to the ATT has contained several weaknesses, some States may include more information in their ATT Annual Reports than in their reports to the UN Register of Conventional Arms (UNROCA), particularly for exports and imports of SALW. Some have indicated in meetings of the Working Group on Transparency and Reporting (WGTR) that they view the UNROCA as only including transfers to governments, whereas the ATT includes transfers to all end users.



POLISH ARMY RAK 120 MM SELF-PROPELLED MORTAR SYSTEMS FIRE FOR EFFECT DURING A LETHALITY DEMONSTRATION AT BEMOWO PISKIE TRAINING AREA, POLAND.

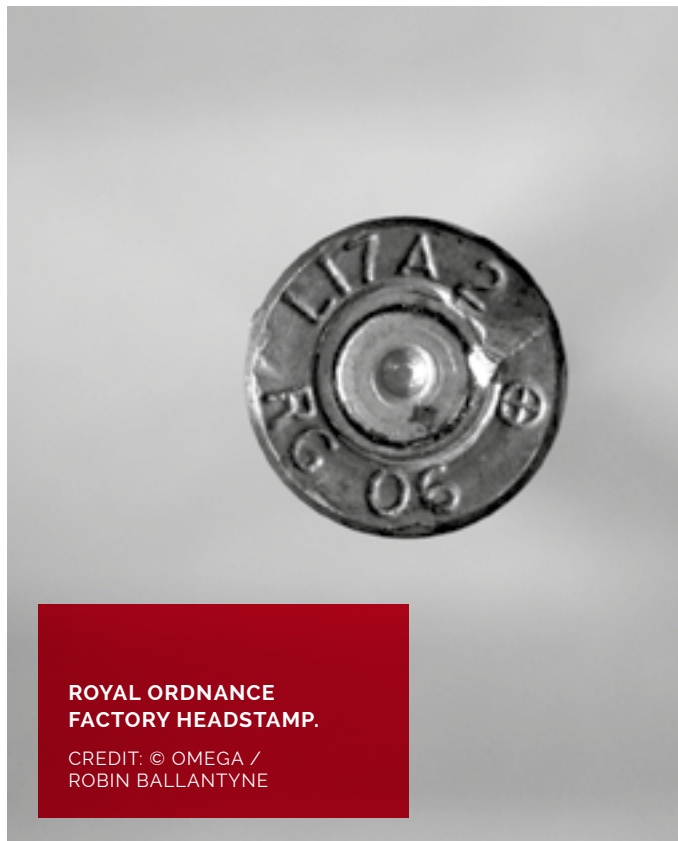
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EXPORTS

- Twenty-one States Parties reported on exports of major conventional weapons.⁴ Of these, 16 reported on actual exports and five reported on authorizations.⁵
- Twenty-seven States Parties reported on exports of SALW. Of these, 17 reported on actual exports and eight reported on authorizations.⁶ One indicated that it reported on both actual exports and authorizations.⁷
- Twenty States Parties reported the number of items exported, one reported the value of items exported. Seven reported on both the number and value of items exported.⁸

IMPORTS

- Seventeen States Parties reported on imports of major conventional weapons. Of these, 13 reported on actual imports and four reported on authorizations.⁹
- Twenty-nine States Parties reported on imports of SALW. Of these, 18 reported on actual imports of SALW and 7 reported on import authorizations of SALW.¹⁰ Three (Peru, Portugal and FYR Macedonia) reported both actual imports and authorizations. One State Party, Bosnia and Herzegovina, did not indicate whether it reported on actual imports or authorizations.
- Twenty-three States Parties reported the number of items imported, one reported the value of items imported and seven reported both the number and value of items imported.¹¹



**ROYAL ORDNANCE
FACTORY HEADSTAMP.**

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4 States Parties that reported on exports of major conventional weapons systems are: Albania, Belgium, Bulgaria, Czech Republic, Georgia, Germany, Italy, Luxembourg, Lithuania, Malta, Montenegro, New Zealand, Norway, Portugal, Serbia, Slovakia, Slovenia, South Africa, Sweden, Switzerland, and the United Kingdom.

5 States Parties that reported on actual exports of major conventional weapons are: Albania, Bulgaria, Czech Republic, Germany, Luxembourg, Lithuania, Montenegro, New Zealand, Norway, Portugal, Serbia, Slovakia, Slovenia, South Africa, Sweden, and Switzerland. States Parties that reported on export authorizations include: Belgium, Georgia, Italy, Malta, and the United Kingdom.

6 States Parties that reported on actual SALW exports are: Albania, Bulgaria, Czech Republic, Japan, Latvia, Liechtenstein, Luxembourg, Lithuania, Mauritius, Montenegro, Norway, Romania, Serbia, Slovakia, Slovenia, South Africa, and Sweden. States Parties that reported on authorizations of SALW exports include: Belgium, Germany, Italy, Malta, Moldova (Republic of), New Zealand, Switzerland, and the United Kingdom. One State Party, Bosnia and Herzegovina, did not indicate whether they report on actual exports or authorizations.

7 Portugal indicated in its report that it reports on both actual exports and authorizations for SALW.

8 States Parties that reported the number of items exported are: Albania, Bulgaria, Czech Republic, Georgia, Germany, Italy, Japan, Liechtenstein, Luxembourg, Lithuania, Mauritius, Moldova (Republic of), New Zealand, Norway, Romania, Serbia, Slovakia, South Africa, Switzerland, and the United Kingdom. States Parties that reported both the number and value of items exported are: Bosnia and Herzegovina, Latvia, Malta, Montenegro, Portugal, Slovenia, and Sweden. Belgium reported only the value of items exported.

9 States Parties that reported on actual imports of major conventional weapons are: Albania, Bulgaria, Latvia, Lithuania, New Zealand, Norway, Portugal, Romania, Senegal, Serbia, Slovakia, South Africa, and Sweden. States Parties that reported on import authorizations of major conventional weapons include: Belgium, Georgia, Germany, and Malta.

10 States Parties that reported on actual imports of SALW are: Albania, Belgium, Bulgaria, Czech Republic, El Salvador, Latvia, Lithuania, Mauritius, Malta, Montenegro, Norway, Romania, Senegal, Serbia, Slovakia, Slovenia, and South Africa. States Parties that reported on import authorizations for SALW include: Germany, Italy, Liechtenstein, Moldova (Republic of), New Zealand, Panama, and Switzerland.

11 States Parties that reported the number of items imported are: Albania, Bulgaria, Czech Republic, El Salvador, Georgia, Germany, Italy, Liechtenstein, Lithuania, Mauritius, Malta, Moldova (Republic of), New Zealand, Norway, Panama, Romania, Senegal, Serbia, Slovakia, South Africa, Sweden (though indicated that some of the information is classified), Switzerland, and the Former Yugoslav Republic of Macedonia. States Parties that reported both the number and value of items imported include: Bosnia and Herzegovina, Japan, Latvia, Montenegro, Peru, Portugal, and Slovenia. Belgium only reported the value of imports.

FIGHTERS OF THE FORMER SÉLÉKA
FACTION THE UNION POUR LA PAIX
EN CENTRAFRIQUE (UPC) IN BAMBARI,
OUAKA PREFECTURE, CENTRAL
AFRICAN REPUBLIC.

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