

# ATT Reporting Compliance at a Glance

AUGUST 2021

**Arms  
Trade  
Treaty**

Baseline Assessment Project

**ARMS TRADE TREATY** reporting compliance is one indicator of treaty implementation and demonstrates States Parties' commitment to treaty obligations. Compliance with ATT requirements to submit an initial report on treaty implementation and annual reports on arms exports and imports each year is less than universal. Several States Parties remain consistently non-compliant, and others meet all reporting deadlines. Some States Parties have never submitted an initial report, nor a single annual report. Some States Parties have submitted an initial report but have

never submitted an annual report—and vice versa—and other States Parties report irregularly. Decreasing global rates of reporting compliance raise several concerns and challenges for institutionalizing reporting practices within governments and, crucially, advancing transparency as well as greater understanding of, and responsibility in, the global arms trade.

*For more information on obstacles that may prevent some States Parties from reporting, see the factsheet on ATT Reporting Challenges.*

## INITIAL REPORTS

As of August 1, 2021:

# 106

STATES PARTIES

were required to have submitted an initial report on efforts to implement the ATT to the treaty Secretariat.

# 81

STATES PARTIES

have submitted their initial reports, reflecting a compliance rate of approximately 76%.

Of the 25 States Parties that are required to submit an initial report but have yet to do so...

**14** are from **Africa**

**9** are from the **Americas**

**1** is from **Asia**

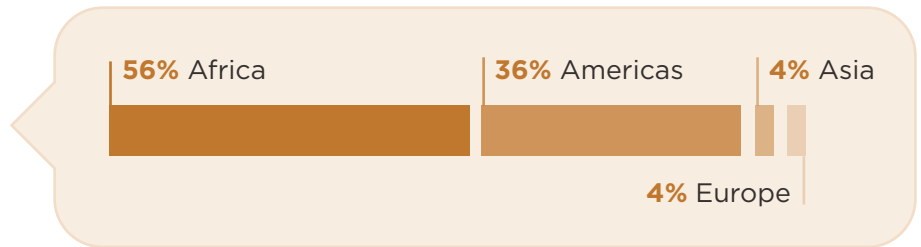
**1** is from **Europe**

Furthermore, **9 of these 25 States Parties** are among the least developed countries, according to UN figures, and **10 are small island developing states**.



## Rates of ATT Initial Reporting Compliance and Non-Compliance

**76%** Report Submitted  
**24%** No Report Submitted



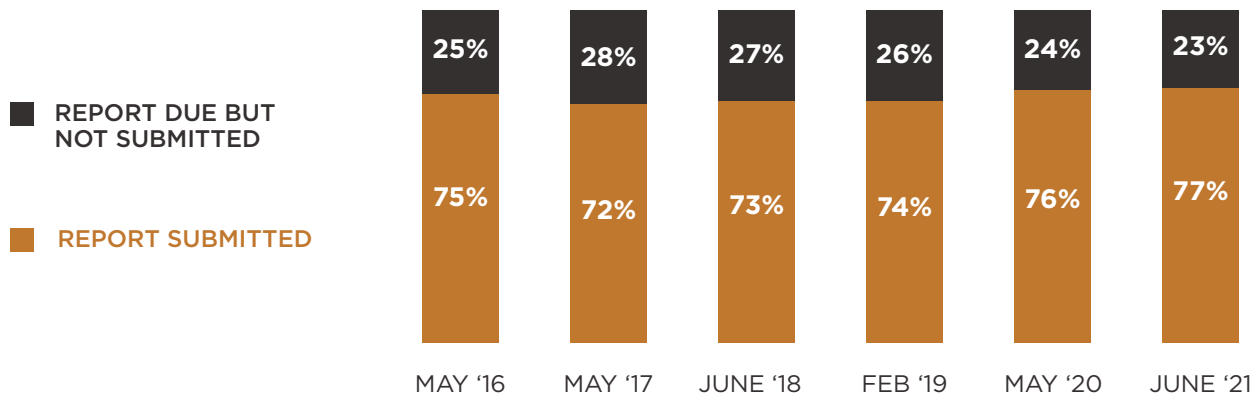
### Reporting Non-Compliance

Of the **25 States Parties** that remain non-compliant with their ATT initial reporting obligations, **76%** are more than three years past the due date for their initial reports, **12%** are one to two years late, and **8%** are six months to one-year late. As of August 1, 2021, one State Party was less than one week late in submitting its initial report.

# OF STATES PARTIES	TIME PAST DUE
19	3+ years
3	1 - 2 years
2	6 months - 1 year
1	0 months - 6 months

In the last five years, the overall compliance rate for ATT initial reporting has remained relatively constant, due in part to the large number of States Parties that are more than three years late in meeting their reporting requirements. This demonstrates the enduring challenges faced by States Parties that ratified the treaty early in meeting their ATT reporting requirements and is an area that requires greater attention.

### Rate of ATT Initial Reporting Compliance by Year (in approximate percent)



### Initial Report Updates

Article 13.1 of the treaty requires States Parties to report on updates made to their national transfer control systems. However, there is no standardized method or guidance for States Parties to update their initial reports to reflect changes to their national implementation of the ATT. Only five States Parties have provided information on “any new measures

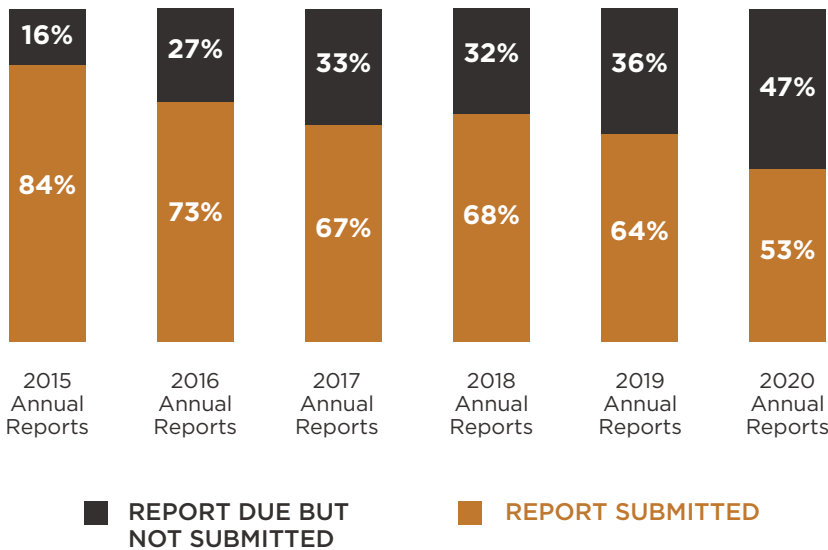
undertaken in order to implement” the ATT. Each of these five States Parties utilized different methods for providing their initial report updates, including by resubmitting their original report without clearly denoting where changes were made, by using a cover sheet to identify and summarize changes, and by using a different font color to denote updated information.

# ANNUAL REPORTS

ATT States Parties were first required to submit an annual report in 2016, providing information on their arms exports and imports that occurred during the 2015 calendar year. ATT annual reporting compliance has been a persistent challenge.

## Rate of Annual Reporting Compliance by Year (in approximate percent as of August 1, 2021)

Data as reflected on the ATT Secretariat's website



On-time reporting rates have been below **50%** each year, with the 2019 annual reports reflecting the lowest on-time completion rate. This may reflect the impact of the COVID-19 pandemic on government capacity and priorities. Overall reporting compliance rates have averaged around **68%** over the last six years – with a high of **84%** for States Parties' 2015 ATT annual reports and a low of **53%** for States Parties' 2020 ATT annual reports. Several States Parties submit their annual reports months to years after their original deadlines, and others submit annual reports when they are not yet required to do so, contributing to variations in annual reporting rates. In recent years, annual reporting compliance has normalized around **68%**, with approximately two-thirds of States Parties meeting their ATT annual reporting requirements.

## On-Time ATT Annual Reporting Rates

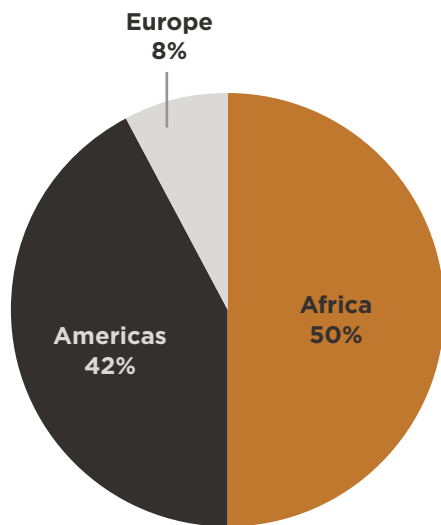
Report Year	On-Time Completion Rate
2015	46%
2016	43%
2017	40%
2018	49%
2019	37%
2020	44%

Excluding those States Parties required to report for the first time in 2021, 26 States Parties have never submitted an annual report, despite being required to do so for one or more years.

### Of these 26 States Parties...

- 13** are from **Africa**
- 11** are from the **Americas**
- 2** are from **Europe**

## Regional Breakdown of States Parties That Have Never Submitted an Annual Report

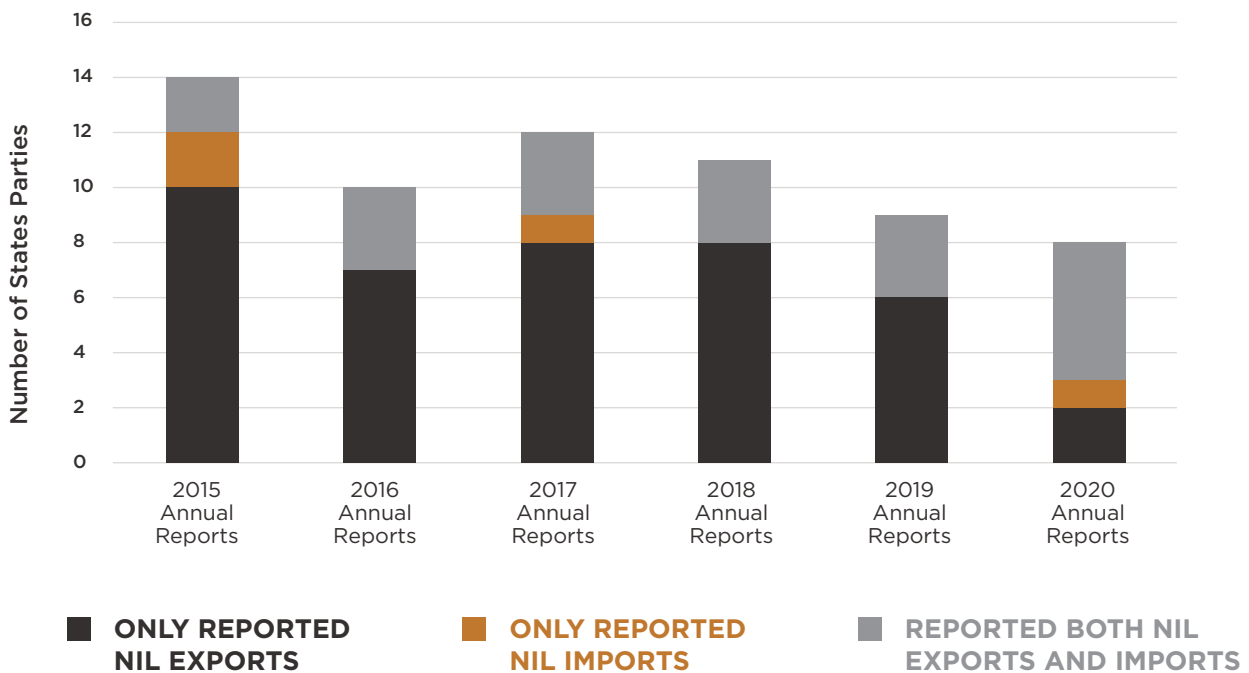


## Nil Reports

Since States Parties were first required to submit ATT annual reports, at least **23 States Parties** have submitted nil reports at least once. Of these States Parties, **16 have submitted nil reports only for exports, 3 have submitted nil reports only for imports, and 12 have submitted nil reports for both exports and imports.**

Furthermore, some States Parties have indicated that they submitted nil reports despite providing information on exports and/or imports in their annual reports, while others have not indicated they submitted nil reports despite not providing any information on exports and/or imports in a given year. Based on analysis of annual reports, some States Parties may be choosing not to submit their annual reports after determining they have nothing to report, rather than submitting nil reports for arms exports or imports.

## Comparing Nil Report Submissions



## Annual Report Updates

Although the treaty does not require States Parties to submit updates to their annual reports for a given year, some States Parties have elected to do so – providing additional insights or new/corrected information on their reported arms exports and imports. At least three States Parties have provided

updates to their annual reports over the last six years, including by resubmitting their originally submitted reports without clearly denoting where changes were made and by submitting updates via hand-written corrections.