



Baseline Assessment Project

Dear Colleague,

The Arms Trade Treaty Baseline Assessment Project (ATT-BAP) is currently undertaking a research project to assist States with reporting in accordance with Arms Trade Treaty (ATT) commitments. The project is funded by the United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR), as well as the Governments of Australia, Finland, the Netherlands, Switzerland, and the United Kingdom. As part of this work, ATT-BAP is conducting a questionnaire on States' views toward ATT reporting obligations. Information on national reporting collected by ATT-BAP will be shared with participants of the ATT Working Group on Transparency and Reporting and the Third Conference of States Parties to support reporting efforts.

Specifically, the questionnaire covers ATT reporting for (a) the initial report on measures undertaken to implement the ATT and (b) the annual report on actual or authorized imports and exports of items included in the scope of the ATT.

The attached questionnaire invites you to present your views on the process of compiling and submitting these two types of ATT reports. We kindly request that you complete the questionnaire to assist current and future efforts to support States in meeting their treaty obligations. All completed questionnaires will remain confidential. Information provided in questionnaires will be aggregated and used to provide examples of good practice or particular challenges without identifying the respondent.

Please return completed electronic copies of the questionnaire to: att@stimson.org
Electronic copies are available at: att@stimson.org or for download at www.armstrade.info

Completed hard copy questionnaires can be returned to
Rachel Stohl
The Stimson Center, 1211 Connecticut Ave. NW, 8th Floor
Washington, DC 20036 USA
Fax: +1 202 238 9604

If you have any questions about this questionnaire, please feel free to contact us for further information at att@stimson.org or by phone at +1 202 464 2679.

Rachel Stohl
Paul Holtom



REPORTING QUESTIONNAIRE

Please enter your answers in the text boxes below

HAVE COMPLETED INITIAL REPORT

State

INFORMATION OF PERSON COMPLETING QUESTIONNAIRE

Name

Position

Department

Ministry/Agency/Organization

Telephone

Email

Date of Submission

Part A - Initial Report On Measures Undertaken to Implement the ATT

I. Process for Preparing an Initial Report

1. Did your State utilize an existing inter-agency process or coordination mechanism to prepare your ATT initial report? *If no, please answer question 2. If yes, please go directly to question 3.*

Yes No

2. Did your State develop an inter-agency process or coordination mechanism specifically to prepare your ATT initial report?

Yes No

3. Which government ministries or agencies provided information for your State's initial report? *Please select all that apply.*

Customs Ministry of Defense Ministry of Economy
 Ministry of Finance Ministry of Foreign Affairs Ministry of Interior

Other (please specify below)

4. Does your State share information on its national transfer control system in accordance with another international or regional instrument (e.g. UN Programme of Action, regional agreement)? *If yes, please specify which other instrument(s).*

Yes No

5. How does your State prefer to submit an initial report? *Please select all that apply.*

Hard copy via post

Electronic copy via email

Via an online interface
for reporting

Other (please specify)

6. If changes are made to your national control system, does your State have procedures in place to update information provided in your initial report?

Yes

No

If no, why not? *Please select all that apply.*

Confidentiality concerns

Concerns relating to the release of information
regarded as sensitive

National security concerns

Other (please specify)

7. Other comments regarding the process for preparing an initial report?

II. Challenges

8. What were the main challenges in preparing your State's initial report? *Please select all that apply.*

Lack of time Lack of capacity Lack of resources Availability of information

Coordination and information sharing between government ministries and agencies

Confidentiality concerns

Concerns relating to the release of information regarded as sensitive

Other (please specify)

No challenges

9. Did your State develop any processes or mechanisms to help overcome these challenges?
If yes, please specify.

Yes

No

10. Other comments regarding any challenges for preparing an initial report?

III. Awareness and Use of Reporting Guidance and Assistance

11. Is your State aware that the ATT-BAP has an online guidance package to assist with preparing an initial report? *If yes, please answer question 12. If no, please go directly to question 13.*

Yes No

12. If yes, did your State use ATT-BAP guidance or the ATT-BAP Survey when preparing your State's initial report? *If yes, please specify.*

Yes No

13. Did your State use other tools or guidance when preparing your State's initial report? *If yes, please specify.*

Yes No

14. Other comments regarding awareness and use of reporting guidance for preparing an initial report?

IV. Other Comments

15. Please provide any additional information that you think may be of relevance for this questionnaire.
