



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 ANNUAL REPORT

State

INFORMATION OF PERSON COMPLETING QUESTIONNAIRE

Name

Position

Department

Ministry/Agency/Organization

Telephone

Email

Date of Submission

Part B – Annual Report on Arms Exports and Imports

I. Process for Preparing an Annual Report

1. Did your State utilize an existing inter-agency process or coordination mechanism to prepare your ATT annual 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 annual report?

Yes

No

3. Which government ministries or agencies provided information for your State's annual 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 prepare and submit a national report on international transfers of conventional arms for another international or regional instrument (e.g. UN Register)? *If yes, please specify which instrument(s). If no, please go directly to question 6.*

Yes

No

5. Did your State provide information in its ATT annual report that it did not provide in a national report on international transfers of conventional arms for another international or regional instrument (e.g. UN Register)? *If yes, please specify.*

Yes

No

6. Which source or sources of information on arms exports did your State use to complete your ATT annual report? *Please select all that apply.*

Arms export licenses

Customs statistics

Information from a government ministry or agency (e.g. surplus from Ministry of Defense)

Report from industry on arms exports

Other (please specify)

7. Which source or sources of information on arms imports did your State use to complete your ATT annual report? *Please select all that apply.*

Arms import licenses

Customs statistics

Government procurement data

Other (please specify)

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

Hard copy via post

Electronic copy via email

Via an online interface for reporting

Other (please specify)

9. Other comments regarding the process for preparing an annual report?

II. Challenges

10. What were the main challenges in preparing your State's annual 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

Preparing statistical data in accordance with ATT categories

Concerns relating to the release of information regarded as sensitive

Other (please specify)

No challenges

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

Yes

No

12. Other comments regarding any challenges for preparing an annual report?

III. Awareness and Use of Reporting Guidance and Assistance

13. Would it be helpful to have guidance on how to prepare your State's annual report?

Yes

No

14. Is your State aware of tools or guidance that can assist in the preparation of your State's annual report (e.g. for the UN Register)? *If yes, please specify. If no, please go directly to question 16.*

Yes

No

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

Yes

No

16. Are there any other types of technical, administrative, or other support services that would help facilitate the preparation of your State's annual report(s) (e.g. data management/data base tools, record keeping and reporting software, training)? *If yes for any, please specify. Please select all that apply.*

Technical Yes No

Administrative Yes No

Financial Yes No

17. Other comments regarding guidance and assistance for preparing an annual report?

IV. Other Comments

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