



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 NOT 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. Responsibility

1. Has a government ministry or agency been designated as responsible for preparing your State's initial report?

Yes No

If yes, please indicate which ministry or agency.

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

Other (please specify below)

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

Yes No Currently being developed

3. Which government ministries or agencies are expected to provide information for the report? *Please select all that apply.*

Customs Export Control Agency Ministry of Defense
 Ministry of Economy Ministry of Finance Ministry of Foreign Affairs
 Ministry of Interior

Other (please specify below)

II. Reasons for Not Reporting

4. Why has your State not submitted an initial report? *Please select all that apply.*

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

Concerns relating to the release of information regarded as sensitive

Opposition to the content of the reporting instrument

Other (please specify)

5. Has your State developed a process or mechanism to help overcome these challenges?
If yes, please specify.

Yes

No

6. When will your State submit an initial report?

III. Reporting on Transfer Controls

7. 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. If no, please go directly to question 11.*
-

Yes No

Other Instruments:

8. Does your State utilize an inter-agency process or coordination mechanism to prepare information on its national transfer control system to share with other States in accordance with another international or regional instrument (e.g. UN Programme of Action, regional agreement)?
-

Yes No

9. Did your State develop an inter-agency process or coordination mechanism specifically to prepare your information to be shared in accordance with these instruments?
-

Yes No

10. Which government ministries or agencies provide information in accordance with these instruments? *Please select all that apply.*
-

Customs Export Control Agency Ministry of Defense
 Ministry of Economy Ministry of Finance Ministry of Foreign Affairs
 Ministry of Interior *Other (please specify below)*

11. How does your State prefer to submit a report on transfer controls? *Please select all that apply.*
-

Hard copy via post Electronic copy via email Via an online interface for reporting

Other (please specify)

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

IV. Awareness and Use of Guidance and Assistance

13. Is your State aware that the ATT-BAP has an online guidance package to assist with preparing an initial report?

Yes

No

14. If yes, has your State used the ATT-BAP guidance or other tools (e.g. ATT-BAP Survey) to assist in preparation of your State's initial report?

Yes

No

15. Is there particular technical, administrative, or financial support that would help facilitate the preparation of the initial implementation report? *If yes, please specify. Please select all that apply.*

Technical

Yes

No

Administrative

Yes

No

Financial

Yes

No

V. Other Comments

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