

Working Group on Transparency and Reporting

List of guiding questions for meeting of 7 March 2018 (annex to introductory paper)

I. Compliance with mandatory reporting obligations

A. Exchange of lessons learned / identification of common areas of difficulty in submitting annual report and initial reports (see paragraph 5 of the introductory paper)

i. Annual reporting obligation

1. Do you find it clear what information the annual report on exports and imports requires?
2. Do you have difficulties gathering the information required for the annual report, e.g. concerning record-keeping for reporting purposes; (content, responsibilities, format, input of economic operators) or concerning the availability of electronic databases? If so, explain.
3. Do you have difficulties processing the gathered information into the annual report?
4. Do you have difficulties submitting an annual report because of capacity challenges (e.g. insufficient personnel and other resources)? If so, describe the capacity challenges you face.
5. If more than one agency is involved, do you have difficulties concerning the distribution of tasks among authorities and coordination (“interagency cooperation”)?
6. Do you encounter any other difficulties in submitting the annual report on exports and imports?
7. Do you encounter different or similar difficulties and challenges in relation to the annual report on exports and the annual report on imports? (if different, please specify)
8. Have you developed any good practices that you could share with other States Parties, such as a national procedures document?

ii. Initial reporting obligation

9. As a State Party, do you have any difficulties concerning the mandatory initial reporting obligation?
10. In case you undertook new measures to implement the Treaty after submitting your initial report, did you submit an updated report to the ATT Secretariat?
11. Was complying with the mandatory initial reporting obligation helpful in identifying issues on which to seek implementation assistance?

B. ‘FAQ’-type guidance document on the annual reporting obligation

12. Are you aware of the document “Reporting Authorized or Actual Exports and Imports of Conventional Arms: Questions & Answers” and do you use it when preparing your mandatory annual report?
13. Do you have any proposals for alterations and/or additional questions (see paragraph 6 of the introductory paper)?

14. Do you use other guidance documents when preparing your mandatory annual report, for example documents that apply to reporting obligations other multilateral conventional arms instruments?
15. What additional guidance would be useful in helping you prepare and submit your annual report?
16. Would a similar 'FAQ'-type guidance document on the initial reporting obligation be useful?

C. Discussion on potential reporting issues to be addressed in WGTR (see paragraph 6 of the introductory paper)

iii. Record-keeping

17. In your view, would it be useful to discuss record-keeping, included in article 12 of the Treaty, in the WGTR as a means to support the compilation of the annual report?
18. In your view, would it be useful to discuss the (potential) role of record-keeping by economic operators (e.g. exporters) as a means to support the compilation of the annual report?

iv. Categorization of items

19. In your view, does the categorization of items in the categories of conventional arms covered under Article 2 (1) cause any difficulties?
20. Can you share your approach/experience on categorizing items within the correct category? Do you use the guidance in the UNROCA information booklet?
21. Is it useful/feasible to address this issue in the context of the ATT framework (e.g. in the Q&A guidance document)?
22. Do you have a proposal how to address this in the context of the ATT framework?

v. Customs classification of conventional arms

23. In your view, does the current customs classification of conventional arms covered under Article 2 (1) hamper compliance with the control and reporting obligations of the ATT?

vi. Other?

24. Based on your national experience, are there other issues concerning the mandatory reporting obligations that need to be addressed in the WGTR?

II. Facilitating information exchange through organizational means

i. General

25. Do you consider that the CSP and the WGETI are the appropriate fora for States Parties to exchange information on implementation-related issues (whereby the WGTR focuses on providing States Parties with the tools to make that information exchange meaningful and effective; see paragraph 10 of the introductory paper)?
26. Is the exchange of information in the WGETI on the basis of a list of guiding questions a sufficient format for exchanging information on the “policy level”, i.e. where States Parties exchange information with all other States Parties in the form of report on their policies, activities and/or their lessons learned see (paragraph 11 and 13 of the introductory paper)?
27. If so, what are your concrete proposals for such mechanisms?
28. Should the WGTR (further) discuss specific processes or formats for exchanging information on the “operational level” (see paragraph 11 of the introductory paper), i.e. where States Parties involved in one or more specific transfers, exchange information on those specific transfers?

ii. Follow-up mechanisms

29. Should the WGTR discuss follow-up mechanisms on States Parties’ initial and annual reports, as processes to facilitate information exchange on implementation-related issues see paragraph 20 of the introductory paper)?
30. If so, what are your concrete proposals for the format of such mechanism(s) and on related matters (e.g. who takes the lead in such processes, who can participate, how information is handled, and the form and accessibility of the outcome)?
31. What are your views on the “optional technical feedback” mechanism presented in paragraph 20 of the introductory paper?
32. What are your views on the “identification of general trends” mechanism presented in paragraph 20 of the introductory paper?

iii. Diversion and anti-diversion measures

33. In the preparatory process for CSP4, should the WGTR substantively focus on exchanging information and reporting on diversion and anti-diversion measures (see paragraph 14-19)?
34. Is a template, such as the [Argentinian-proposed diversion reporting template](#), the most helpful and effective approach to encourage exchanging information and reporting on diversion and anti-diversion measures (see paragraph 16 of the introductory paper)? If so, what are your views on this proposal?
35. If not, do you have alternative proposals that could facilitate exchanging information and reporting on diversion and anti-diversion?

36. Should the topic of reporting and exchanging information on diversion and anti-diversion measures be explicitly included in the agenda of CSP (under the segment of treaty implementation; see paragraph 19 of the introductory paper)?

iv. Other

37. What are your views on the fixed agenda proposal presented in paragraph 22 of the introductory paper?

III. ATT Secretariat IT Platform

38. Taking into account that currently only the first launch of the web-based reporting functionality is under development, can you share any suggestions or priorities concerning the web-based reporting functionality to comply with the annual reporting obligation in article 13 (3) of the Treaty, as an instrument to harness the introduced information in order to allow for subsequent analysis and follow-up (see paragraph 25 of the introductory paper)?
39. What are your views on appointing a consultative group of WGTR participants to support the ATT Secretariat in the development of the IT platform (see paragraph 25 of the introductory paper)?
40. What are your views on inviting UNODA and/or OSCE officials to a WGTR meeting to share their experiences with online reporting (which could also lead to identifying synergies; see paragraph 25 of the introductory paper)?
41. What are your views on the desirability and feasibility of also having a web-based reporting functionality to comply with the initial reporting obligation in article 13 (1) of the Treaty?
42. What are your views on the proposal in paragraph 27 of the introductory paper to livestream the open sessions of all working group meetings, as well as of the CSP on the ATT website?
43. Do you have any other proposals for using the IT platform to enhance transparency or support mandatory reporting?

IV. Harnessing information generated by mandatory reporting

44. Is harnessing information generated in the initial and annual reports, desirable and feasible, and if so, in which manner is this best achieved (see also question 28 and paragraph 28 of the introductory paper)?
45. What are your views on consolidating the information in annual reports into one general report, and on mapping imports and exports (“arms flows”) in order to support risk assessments (see paragraph 29 of the introductory paper)?
46. What are your views on harnessing the content of initial reports by means of a structured matrix approach (see paragraph 31 of the introductory paper)?
47. How can the work of civil society on harnessing information from ATT initial and annual reports be integrated in the activities of the WGTR and the WGETI (see paragraph 30 of the introductory paper)?