

Table 4 ATT provisions

Theme	ATT articles	Provisions
Ammunition/ munitions	3	Establish and maintain national control systems to regulate export of conventional ammunition/munitions.
Parts and components	4	Establish and maintain national control systems to regulate export of parts and components that provide the capability to assemble conventional weapons covered under the Treaty.
General implementation	5(2)	Establish a national control system in order to implement the Treaty.
	5(2), 5(4)	Establish a national control list and provide it to the ATT Secretariat.
	5(5)	Designate competent national authorities in order to have an effective and transparent national control system.
	5(6)	Designate one or more national points of contact and notify the ATT Secretariat.
Prohibitions	6(1)	Refrain from authorizing transfers of conventional arms, ammunition, or parts and components that would violate UN Security Council and UN Charter obligations, in particular arms embargoes.
	6(2)	Refrain from authorizing transfers of conventional arms, ammunition, or parts and components that would violate obligations under international agreements to which the state in question is a party.
	6(3)	Refrain from authorizing any transfer of conventional arms, ammunition, or parts and components that would be used in the commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions, attacks directed against civilians, or other war crimes.
Export and export assessment	7(1)	Prior to authorization of export of conventional arms, ammunition, or parts and components, assess the potential that the items: would contribute to or undermine peace and security, or that they could be used to breach international humanitarian and human rights law or international conventions or protocols relating to terrorism or transnational organized crime.
	7(2)	Consider whether there are measures that could be taken to mitigate risks identified in 7(1).
	7(3)	Refrain from authorizing the export of conventional arms, ammunition, or parts and components if the assessment determines that there is an overriding risk of any negative consequences in 7(1).
	7(4)	Take into account the risk of the conventional arms, ammunition, or parts and components being used to commit or facilitate serious acts of gender-based violence or serious acts of violence against women and children.
	7(5)	Ensure all authorizations for export are detailed and issued prior to export.
	7(6)	Make available all information about the authorization, upon request, to the importing, transit, and transshipment states parties.
	7(7)	Consider reassessing the authorization if new relevant information becomes available after authorization.
Import	8(1)	If importing, ensure that relevant information is provided, upon request, pursuant to national law, to assist the exporting state party, such as end-use or end-user documentation.
	8(2)	If importing conventional arms, take measures to regulate, where necessary, imports under state jurisdiction, such as import systems.
	8(3)	If importing, may request information from the exporting state concerning export authorizations.

Theme	ATT articles	Provisions
Transit or transshipment	9	Take appropriate measures to regulate, where necessary and feasible, the transit or transshipment of conventional arms through its territory.
Brokering	10	Take measures, pursuant to national laws, to regulate brokering for conventional arms taking place within state jurisdiction, such as registration or brokering authorizations.
Diversion	11(1)	Take measures to prevent diversion of conventional arms.
	11(2)	If exporting, seek to prevent diversion of conventional arms through a national control system (Article 5(2)) by assessing the risk of diversion.
	11(3)	Cooperate and exchange information, pursuant to national laws, where appropriate and feasible, in order to mitigate the risk of diversion of conventional arms.
	11(4)	If diversion of conventional arms is detected, take appropriate measures, pursuant to national laws and in accordance with international law, to address the diversion, such as by alerting potentially affected states parties, examining diverted shipments, and working with law enforcement officials.
	11(5), 11(6)	Consider sharing relevant information on effective measures to address diversion of conventional arms, such as reporting through the ATT Secretariat.
Record-keeping	12(1), 12(4)	Maintain records, pursuant to national laws and regulations, of export authorizations or actual exports pertaining to conventional arms. Keep records for a minimum of ten years.
	12(2), 12(4)	Consider maintaining records of imports, transit, and transshipment of conventional arms. Keep records for a minimum of ten years.
Reporting	13(1)	Within the first year of entry into force of the Treaty for the state, report to the ATT Secretariat on measures undertaken to implement the Treaty.
	13(2)	Consider reporting to other states parties, through the ATT Secretariat, on effective measures taken to address diversion of conventional arms.
	13(3)	Submit annual reports to the ATT Secretariat concerning authorized or actual exports and imports of conventional arms.
Enforcement	14	Take appropriate measures to enforce national laws and regulations that implement the provisions of the Treaty.
International cooperation	15(1)	Cooperate with states parties to implement the Treaty effectively.
	15(2), 15(3), 15(4)	Consider facilitating international cooperation, consultation, and assistance, including information exchange, on matters of mutual interest regarding implementation.
	15(5)	If jointly agreed, assist other states in investigations, prosecutions, and judicial proceedings regarding violations of national measures established pursuant to the Treaty.
	15(6)	Consider cooperating to prevent the transfer of conventional arms from becoming subject to corrupt practices.
	15(7)	Consider exchanging information on lessons learnt in relation to the Treaty.
International assistance	16(1), 16(2)	Consider requesting, offering, or receiving assistance for implementing the Treaty. Assistance may include: legal or legislative assistance, stockpile management, DDR programmes, model legislation, and effective practices. Assistance may be provided through states, the UN, or international, regional, sub-regional, or national organizations.
	16(3)	Together with other states parties, establish a voluntary trust to assist those requiring assistance to implement the Treaty. Consider contributing resources to the fund.