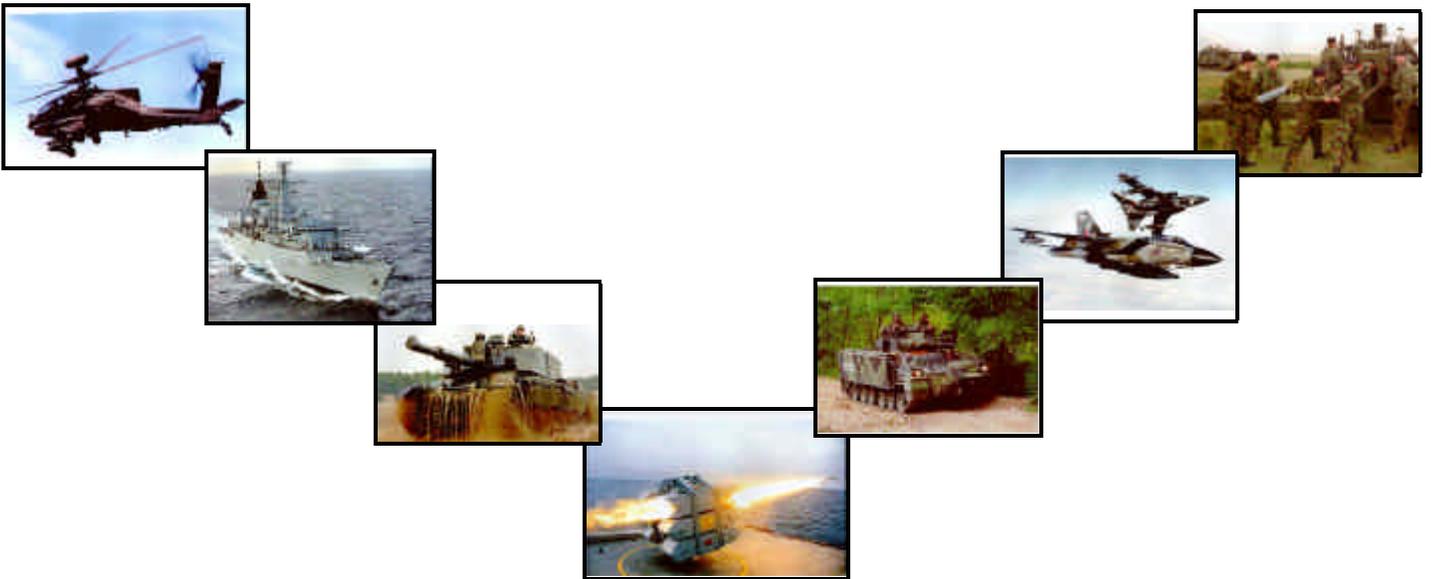


UNITED NATIONS REGISTER of CONVENTIONAL ARMS

Exports and Imports
Procurement through National Production
Military Holdings
National Policies

2001 Information Booklet



United Nations

**Department for Disarmament
Affairs**

**UNITED NATIONS REGISTER
of CONVENTIONAL ARMS**

***2001* Information Booklet**



United Nations, New York

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Preface

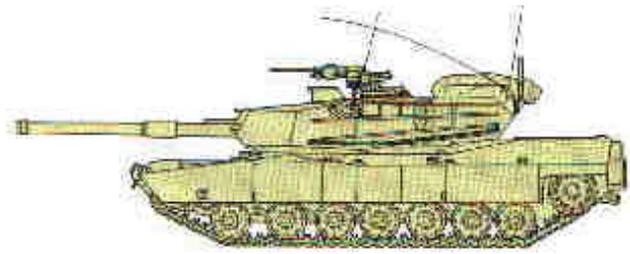
The United Nations Register of Conventional Arms is now in its ninth year of operation. Since its establishment in 1992, 150 Governments, including 147 Member States, have participated in the Register by reporting either on a consistent basis or at least once. With the exception of calendar year 1998, more than 90 States have submitted returns each year, including nearly all the principal producers, exporters and importers of conventional arms covered by the seven categories of the Register. As a result, the Register captures the great bulk of the global trade in major conventional arms.

The Register of Conventional Arms was established by the Secretary-General on 1 January 1992 under General Assembly resolution 46/36 L of 9 December 1991, entitled “Transparency in armaments”. That resolution called upon all Member States to provide annually, to the Secretary-General, relevant data on imports and exports of conventional arms to be included in the Register. Pending the expansion of the Register, it also invited them to provide, with their annual report on imports and exports of arms, available background information regarding their military holdings, procurement through national production and relevant policies.

In the same resolution, the General Assembly declared its determination to prevent the excessive and destabilizing accumulation of arms in order to promote stability and strengthen international peace and security, taking into account the legitimate security needs of States and the principle of undiminished security at the lowest possible level of armaments. The Assembly also reaffirmed the inherent right of States to individual and collective self-defence recognized in Article 51 of the Charter of the United Nations.

The technical procedures for the Register were developed by a Panel of Experts appointed by the Secretary-General in 1992. The recommendations by the Panel were endorsed by the General Assembly. Periodic reviews of the operation of the Register and its further development have been conducted by the Secretary-General, thus far, in 1994, 1997 and 2000, with the assistance of a Group of Governmental Experts. General Assembly resolution 55/33/U requested the Secretary-General to appoint a Group of Governmental Experts to undertake the next review in 2003.

This Information Booklet is an updated version of an earlier one published in 1998. It provides information on the technical procedures of the Register, along with questions and answers which are intended to facilitate a better understanding of the operation of the Register. In addition, the booklet contains the Report of the 2000 Group of Governmental Experts on the operation and further development of the Register; the statement by the Chairman of the 2000 Group of Governmental Experts to the First Committee; the documents that constitute the basis for reporting to the Register; and the standardized reporting forms.



Part I
TECHNICAL PROCEDURES
FOR THE OPERATION OF THE
REGISTER

TECHNICAL PROCEDURES FOR THE OPERATION OF THE REGISTER¹

A. Arms transfers

1. Paragraph 2 (a) of the annex to General Assembly resolution 46/36 L states that “Member States are requested to provide data for the Register, addressed to the Secretary-General, on the number of items in the following categories of equipment imported into or exported from their territory”. The Panel of Governmental Technical Experts in 1992 did not attempt to define arms transfers but, for the purpose of the Register, considered that the terms “imported into or exported from their territory” needed some clarification, as stated in the paragraphs below. To date, no common definition of a transfer has been reached given differing national practices regarding implementation of rules, regulations and procedures for exports and imports. Consequently, the description of a transfer, given in the report of the 1992 Panel and reaffirmed by the 1994, 1997 and 2000 Groups of Experts remains the guideline for reporting transfers.

In determining what to report, Member States should take into account the following:

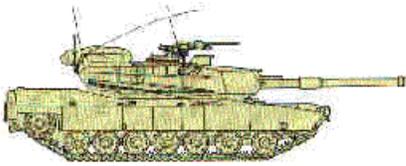
a) International arms transfers involve, in addition to the physical movement of equipment into or from national territory, the transfer of title to and control over the equipment.

b) An international arms transfer may also occur without the movement of equipment across State frontiers if a State, or its agent, is granted title and control over the equipment in the territory of the supplier State. Therefore, a transfer of arms to a State would occur when its forces stationed abroad are granted title and control of equipment by the host country or any third State, or when title and control of such equipment are transferred to the host country or any third State. Additionally, if title and control of equipment temporarily stored or pre-positioned on the territory of another State are granted to the host country by the owner, then an international transfer has occurred.

c) Since the supply of equipment by a State to units of its armed forces stationed abroad does not involve transfer of national title and control, such supply is not considered an international transfer. Equipment of a State can be temporarily stored or pre-positioned on the territory of another State with no transfer of title and control of this equipment. This is not considered an international arms transfer.

2. Pursuant to resolution 47/52 L, Member States were “requested to provide data on an annual basis by 30 April each year in respect of imports into and exports from their territory in the previous calendar year”, with the first such registration taking place by 30 April 1993 in respect of the calendar year 1992. However, the 1997 Group of Governmental Experts on the continuing operation of the Register and its further development concluded that the due date for reporting each year should be changed from 30 April to 31 May in order to assist States in the

¹ Based on the recommendations of the 1992 Panel of Experts, as well as those of the 1994 and 1997 Group of Governmental Experts on the continuing operation of the United Nations Register of Conventional Arms and its further development.



preparation of accurate reports to the Register. To be reported are those transfers considered by States to have been effected during the relevant reporting year, in conformity with their respective national criteria used to define when a transfer becomes effective. The 1997 Group of Experts also concluded that to facilitate the clarity of submissions, Member States should be encouraged to explain their national criteria for defining a transfer in their annual reports. The General Assembly, by its resolution 52/38 R, endorsed those recommendations.

B. Categories of equipment the transfers of which are to be registered

3. Paragraph 2 (a) of the annex to General Assembly resolution 46/36 L identifies the following seven categories of equipment on which Member States are requested to supply data to the Register: battle tanks, armoured combat vehicles, large calibre artillery systems, combat aircraft, attack helicopters, warships, and missiles or missile systems. Based on the reports of the Groups of Experts² convened in 1994, 1997 and 2000, the categories and their definitions to be used for reporting to the Register are as follows:

I. Battle tanks

Tracked or wheeled self-propelled armoury fighting vehicles with high cross-country mobility and a high level of self-protection, weighing at least 16.5 metric tonnes unladen weight, with a high-muzzle-velocity direct-fire main gun of a calibre of at least 75 millimetres.

II. Armoured combat vehicles

Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and cross-country capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 mm calibre or a missile launcher.

III. Large-calibre artillery systems

Guns, howitzers, artillery pieces combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 100 mm and above.

IV. Combat aircraft

Fixed-wing or variable-geometry wing aircraft designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these air-

² See A/49/316, A/52/316, and Appendix I of the report of the 2000 Group of Governmental Experts (A/55/281).

craft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions. The term “combat aircraft” does not include primary trainer aircraft, unless designed, equipped or modified as described above.

V. Attack helicopters

Rotary-wing aircraft designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions.

VI. Warships

Vessels or submarines armed and equipped for military use with a standard displacement of 750 metric tonnes or above, and those with a standard displacement of less than 750 metric tonnes, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.

VII. Missiles and missile launchers

Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this category:

- (a) Also includes remotely piloted vehicles with the characteristics for missiles as defined above;
- (b) Does not include ground-to-air missiles.



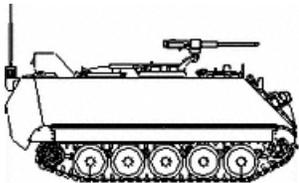
C. Standardized form for reporting international transfers

4. All Member States are called upon to provide annually for the Register data on the number of items exported and imported in each of the seven categories of equipment defined in paragraph 3 above and for that purpose, to utilize the standardized reporting form of international arms transfers. The form was developed in 1992 by the Panel of Technical Experts. The 1997 Group of Experts recommended that the existing reporting format and explanatory notes continue to be used but amended to reflect the recommendation to nominate a national point of contact to be sent with the annual report; to note the national definitions of a transfer; and to indicate changes in national policies (see Part V). In addition to the standardized reporting forms, the 2000 Group of Experts recommended an optional simplified format (see Part IV) for submitting “nil” returns on exports and imports.

5. Column A in the form lists the seven categories as defined above. In column B the exporter State(s) (in the import form) and the importer State(s) (in the export form) are to be entered. Column C in the form includes the number of items of equipment the transfer of which was effected during the relevant reporting year. Transfers, as described in paragraphs 1 (a) and (b) to be reported, are those that have been effected during the relevant reporting year.

6. Columns D and E on the form are included to accommodate data on countries which are neither exporter nor importer countries. In the case of an international transfer involving an export of equipment by a State other than the State of origin, the name of the country of origin should be entered in column D. In the case of an international arms transfer involving transport of equipment to an intermediate location, or involving retention of equipment at an intermediate location for the purpose of the integration of equipment of one category within the Register with equipment of another category, the name of the intermediate location should be entered in column E (e.g., the export of missiles to an intermediate location for integration there with a combat aircraft manufactured at the intermediate location, or vice versa).

7. The right hand column on the form entitled “Remarks”, and divided into two parts, “description of item” and “comments on the transfer”, is designed to offer Member States the opportunity to provide additional information on transfers, thus enhancing its qualitative aspects.



As the provision for such information might be affected by security and other relevant concerns of Member States, this column should be filled in at Member States discretion; no specific guidelines are prescribed. To aid the understanding of the international transfers reported, Member States may wish to indicate designation, type or model of equipment, or use various descriptive elements contained in the definitions of categories I to VII, which also serve as guides to

describe equipment transferred. Member States may also use this column to clarify, for example, that a transfer is of obsolete equipment, the result of production, or for other such explanatory remarks as Member States see fit. The 2000 Group of Experts reaffirmed the view that use of the “Remarks” column helped in understanding the data submitted and added qualitatively to the information in the Register and thus, encouraged States in a position to do so to provide such information.

D. Available background information regarding military holdings, procurement through national production and relevant policies

8. Pursuant to paragraph 7 of General Assembly resolution 46/36 L and its annex (paragraph 3(a)), the Register is to include “information provided by Member States on military holdings, procurement through national production and relevant policies” and for that purpose, Member States are invited to provide such information. Thus, the reporting of the information is voluntary and Member States may submit it in any form they wish.

E. Operation of the Register

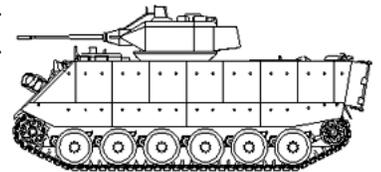
1. Submission of data on transfers

9. In accordance with paragraph 3 of General Assembly resolution 52/38 R entitled “Transparency in armaments”, Member States are called upon to “to provide by 31 May annually the requested data and information for the Register, including nil reports if appropriate, on the basis of resolutions 46/36 L and 47/52 L and the recommendations contained in paragraph 64 of the 1997 report and paragraph 94 of the 2000 report of the Secretary-General on the continuing operations of the Register and its further development”.

10. Data should be submitted on the standardized form for reporting by 31 May annually to the United Nations Headquarters in New York.

11. Member States that do not have anything to report should file a “nil” report, clearly stating that no exports or imports have taken place in any of the seven categories during the reporting period. The 2000 Expert Group concluded that such reporting was important in order to provide as complete a picture as possible of the transactions in equipment covered by the Register and to make use of the Register as a confidence-building instrument.

12. The Department for Disarmament Affairs receives and compiles for the Secretary-General’s annual report data sheets submitted by Member States and stores the reported data in its computerized database.



2. Submission of available background information

13. Available background information provided, on a voluntary basis, on military holdings and procurement through national production, together with an index of other additional information, will be included in the Secretary-General’s annual report. States providing data on military holdings and procurement through national production may request that the data not be published. The above information should be submitted by 31 May of each year.

14. The Department for Disarmament Affairs maintains in its computerized database the information provided voluntarily, together with a running index of other interrelated information submitted, by country, date and title.

F. Annual consolidated report by the Secretary-General

15. According to paragraph 5 of the annex to General Assembly resolution 46/36 L, “the Secretary-General shall provide annually a consolidated report to the General Assembly of the data registered, together with an index of the other interrelated information”.

16. The main part of the annual report consists of (a) the compilation of the reports on international transfers submitted by Member States on the standardized reporting form, as they are received by the Secretary-General, (b) an index of the background information submitted by

Member States and (c) the data and information on military holdings and production through national procurement voluntarily provided by Member States.

G. Access to the Register

17. According to paragraph 4 of the annex to General Assembly resolution 46/36 L, “the Register shall be open for consultation by representatives of Member States at any time”.

18. Member States have access to the computerized data contained in the Register of Conventional Arms.

19. The Secretary-General’s consolidated annual report to the United Nations General Assembly and available background information submitted by Member States are open to the public.

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Part II
QUESTIONS AND ANSWERS

QUESTIONS AND ANSWERS

Basic structure of the Register

1. What type of activities involving conventional arms are to be reported?

Resolutions 46/36 L and 47/52 L call upon Member States to provide data annually on the number of items in seven defined categories of conventional arms imported into or exported from their territory. The resolutions also invite Member States to provide available background information regarding their military holdings, procurement through national production and relevant policies. Furthermore, Member States are encouraged to inform the Secretary-General of their national arms import and export policies, legislation and administrative procedures both on authorization of arms transfers and prevention of illicit transfers.

2. What type of conventional arms are to be reported in the Register?

Part I, section B, lists and defines the seven categories of equipment on which States are requested to supply data to the Register. The categories are: battle tanks, armoured combat vehicles, large calibre artillery systems, combat aircraft, attack helicopters, warships, and missiles and missile launchers.

3. What is the exact meaning of “calendar year”?

Each Member State is requested to provide data on an annual basis regarding exports from and imports into their territory during the previous calendar year. For example, the data on exports and imports submitted to the Register by a Member State by 31 May 2001 would actually contain information for the previous calendar year, which is 2000.

4. Are States requested to report all types of arms transfers, including orders and deliveries?

The Register is to include only data on the number of items in the specified categories of equipment imported into and exported from the territory of States in the previous calendar year. States are to report only those transfers which they consider to have been effected during that reporting year, in conformity with the State’s national criteria used to determine when a transfer takes effect.

Categories of equipment

5. Will States have to report the transfer of trainer aircraft?

Yes, in the event these trainer aircraft are “designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons, or other weapons of destruction”. Primary trainers with none of the above characteristics should not be reported.

6. How are States to determine which transfers of missiles and missile launchers are to be reported?

If a missile launcher is an integral component of an item of equipment in Categories I to VI, it need not be reported separately in Category VII: missiles and missile launchers. Only stand-alone (fixed or mobile) missile launchers are reported separately in Category VII.

Missiles, however, are always reported in Category VII regardless of the category of the equipment which launches them. For example, if *State A* imports 20 Type NEPTUNE missiles: 10 for use by warships, 5 for use by stand-alone missile launchers, and 5 for use by combat aircraft, then all 20 missiles are still reported in Category VII.

7. Under which category would a State report the transfer of one 210 mm multiple-launch rocket system (MLRS) with 30 rockets which have a range of 30 kilometres?

The multiple-launch rocket system (MLRS) falls within the definition of Category III, large calibre artillery systems. However, the rockets should be reported in Category VII, missiles and missile launchers, because they have a range of at least 25 kilometres (see also explanatory note (d) on the standardized reporting form).

8. Will States consulting the Register be able to determine the numbers of missiles and missile launchers imported or exported by a specific country?

The number listed in Category VII indicates the total number of missiles and missile launchers combined. Therefore it is not possible, using the data in the Register alone, to determine their separate numbers unless the reporting State clarifies this in the “Remarks” column of the forms.

Example

State F has exported to *State K* six missile launchers type FLYER and 500 missiles type CATCH-22. The FLYER is a fixed ground-based launcher. The CATCH-22 is a surface-to-surface missile (SSM), has a range of 180 km, and is armed with a conventional warhead. The examples that follow illustrate how *State F* might report on that export, at different levels of transparency.

In Version 1 below, *State F* has aggregated the missile launchers and missiles, and reports 506 items. This version meets the reporting requirement of the Register.

Version 1

EXPORTS

Reports of international arms transfers
(according to United Nations General Assembly resolution 46/36 L)
Reporting country: F
Calendar year: 2000

A Category (I-VII)	B Final importer State(s)	C Number of items	D State of origin if not exporter	E Intermediate location (if any)	REMARKS	
					Description of item	Comments on the transfer
VII. Missiles and missile launchers	K	506				

In Version 2 below, *State F* has chosen to offer additional data, indicating in column C that the items are broken down into 6 missile launchers and 500 missiles. *State F* has used the “Remarks” column to identify the type of both the launcher and missile.

Version 2

EXPORTS

Report of international arms transfers
(according to United Nations General Assembly resolution 46/36 L)
Reporting country: F
Calendar year: 2000

A Category (I-VII)	B Final importer State(s)	C Number of items	D State of origin if not exporter	E Intermediate location (if any)	REMARKS	
					Description of item	Comments on the transfer
VII. Missiles and missile launchers	1) K 2) K	6 506			1) Launcher, Type FLYER 2) Missile, Type CATCH- 22	

9. What about missile launchers on warships? Many ships covered by the Register have the capability to mount missile launchers. Should the transfer of this type of missile launcher be entered as a separate transfer under category VII?

No. All missile launchers mounted on all warships covered by the Register are considered to be an integral component of the warship itself and thus are not to be registered as separate transfers of Category VII equipment. However, in reporting on transfers of warships, States may, if they wish to clarify this point, indicate in the “Remarks” column of the form if and how many missile launchers are mounted on the reported warship(s). If, however, a State exports or imports ship-based missile launchers separately from the ship (as is often the case in order to upgrade or modernize ships that are already in the inventory of a navy), these launchers would not be

considered an integral part of the ship and would, thus, be reported under Category VII of the Register.

10. What about fast attack craft with a standard displacement of less than 750 tonnes equipped with missile launchers with a capability of delivering a missile beyond 25 kilometres? Should the launchers be reported under the missile Category VII?

No. The definition of warships was expanded by the 1992 Panel of Experts to cover warships below the 750 tonnes threshold if they carried missiles and launchers capable of delivering a warhead to a range of more than 25 kilometres. The attack craft should be reported under Category VI warships; the launchers need not be reported.

Example

State B exported to *State J* in 2000 the last two of an order for eight Hermes Class fast attack craft of 400 metric tonnes displacement. The ships are equipped with two twin missile launchers capable of delivering a missile to a range of 35 kilometres. The stock of missiles per ship has already been supplied with the previous ship deliveries prior to 2000. The ships are also equipped with a 40 mm gun.

EXPORTS

Reports of international arms transfers
 (according to United Nations General Assembly resolution 46/36 L)
 Reporting country: B
 Calendar year: 2000

A Category (I-VII)	B Final importer State(s)	C Number of items	D State of origin if not exporter	E Intermediate location (if any)	REMARKS	
					Description of item	Comments on the transfer
VI. Warships	J	2			Hermes Class, 400 tonne fast attack craft. See Note 1.	

Note 1: The ships are equipped with two twin missile launchers.

11. In the definition of Category VII, missiles and missile launchers, “ground-to-air missiles” are excluded and are not required to be reported. Does this mean that surface-to-air missiles mounted on ships are not covered by the Register?

“Ground-to-air” refers only to those surface-to-air missiles which are mounted on fixed land sites or on wheeled or tracked mobile launchers. Therefore, surface-to-air missiles mounted on ships are covered by the Register (see also question 9).

12. Are States asked to report the export or import of components used in the assembly, co-production or upgrading of items associated with the seven categories covered by the Register?

No. The Register only records transfers of complete equipment, as defined in the seven categories. If a component is imported by a State which then uses this component to produce and export a complete equipment covered by the Register, the equipment should be reported.

13. Equipment is sometimes exported/imported complete but in disassembled components (known as “kits”). Should these be reported to the Register?

Strictly speaking, the import and export of these kits need not be reported as a transfer; although States may do so if they wish, making clear that it is a disassembled kit. Another option is for the importing State to supply background information on the equipment as procurement from national production once the equipment is assembled on its territory.

14. How shall items exported by a State other than the State of origin be reported?

They should be reported on the export form, indicating the state of origin in column D of the standardized form.

15. How should the transfers of equipment to an intermediate location be reported?

If, for example, *State A* transfers air-to-air missiles to *State B* for installation on combat aircraft to be exported to *State C*, *State A* should report the export of missiles to *State C* and declare in column E of the form that *State B* is the intermediate location.

Example

In 2000, *State D* exported to *State C* 72 air-to-air missiles (AAM), type GOAL-104A, and 72 air-to-surface missiles (ASM), type STRIKE-S22, both with a range of 36 km. *State C* installed these missiles on the F-19B multi-role fighter aircraft, and then exported them to *State Y* in 2000.

Missiles from D to C

EXPORTS

Reports of international arms transfers
 (according to United Nations General Assembly resolution 46/36 L)
 Reporting country: D
 Calendar year: 2000

A	B	C	D	E	REMARKS	
Category (I-VII)	Final importer State(s)	Number of items	State of origin if not exporter	Intermediate location (if any)	Description of item	Comments on the transfer
VII. Missiles and missile launchers	1) Y 2) Y	72 72		C for re-export to Y		

Missiles from C to Y as part of combat aircraft export

EXPORTS

Reports of international arms transfers
(according to United Nations General Assembly resolution 46/36 L)

Reporting country: C

Calendar year: 2000

A Category (I-VII)	B Final importer State(s)	C Number of items	D State of origin if not exporter	E Intermediate location (if any)	REMARKS	
					Description of Item	Comments on the transfer
VII. Missiles and missile launchers	1) Y 2) Y	72 72	D D		1) AAM, type GOAL-104A 2) ASM, type STRIKE-S22 See Note 1.	

Note 1: In this case *State C* chooses to supply additional data on the equipment in the remarks column.

16. Should the transfer of second-hand equipment be reported?

Yes. All transfers relating to equipment included in the seven categories should be reported regardless of whether it is new or second-hand equipment.

17. Which State is to report the transfer of an item which was co-produced by three countries?

The transfer should be reported by the final exporting State of the complete equipment. Information concerning the co-production of the item could be given in column D and the "Remarks" section of the standardized form.

Defining an international transfer

18. What is the definition of a transfer?

Agreement on a common definition of a transfer is complicated by differing national practices regarding implementation of rules, regulations and procedures for exports and imports. Therefore, the description of a transfer contained in the report of the 1992 Panel and reaffirmed by the 1994, 1997 and 2000 Groups of Experts remains the guideline for reporting transfers (see A/ 49/316, para. 42). Accordingly, international arms transfers involve, in addition to the physical movement of equipment into or from national territory, the transfer of title to and control over the equipment.

19. Can a transfer of arms occur without the physical movement of equipment across State borders?

Yes. A transfer of arms could occur when title and control of equipment belonging to *State A* positioned overseas is transferred to the host State (*State B*); OR title and control over equipment is transferred to another State (*State C*) but the equipment remains on the host State's (*State B's*) territory. For example, suppose a battalion equipped with battle tanks (Category I) from *State A* is stationed in *State B*. When its mission is complete, the Government of *State A* agrees to sell the tanks to *State B*. When *State B* assumes the title and control of the tanks, both States would report this transaction as a transfer covered by the Register. The same reporting rule could apply if the tanks in question had been stored by *State A* in *State B* as opposed to being in the hands of an active military force as described above. In these cases the determining factor is title and control, not geographic location, nor whether or not they are under the control of armed forces.

20. Must all equipment covered by the Register which moves across international borders be reported?

No. In the above example, if *State A* reinforces its battalion by shipping 20 additional tanks of its own, this is not an export (or import) since the shipment does not involve transfer of title or control of the equipment. Similarly, if these 20 tanks are being shipped to *State B* for the purpose of pre-positioning and remain under the control of *State A*, they are not reported as an export or import.

21. How is the date of export or import determined?

Each State will determine this date based on its national criteria and determine when a transfer becomes effective. States are invited to indicate such national criteria when submitting their export and import data to the Register. However, the precise date of the transfer does not have to be reported; only that it took place within the calendar year in question.

22. What if items covered by the Register are shipped from *State A* in 2000 but do not arrive at their destination in *State B* until 2001? In which year are they to be reported?

If the exporting *State A* maintains title and control over the equipment until it arrives in *State B* both *States A* and *B* will report the transfer as occurring in the year 2001. However, if title and control are assumed by *State B* in *State A's* territory prior to shipment both States will report the transfer as occurring in 2000.

Utilization of reporting forms

23. What is the purpose of the national criteria on transfers in the revised format of the reporting forms?

The 1997 Group of Experts concluded that to facilitate the clarity of submissions, Member States should be encouraged to explain their national criteria for defining a transfer in their annual reports. Explanatory notes on the back of the reporting forms under footnote “f” provide a way of indicating the criteria a State uses in determining when a transfer takes effect.

24. What is the national point of contact?

The 2000 Group of Experts concluded that Member States should designate an official point of contact for Governments on matters directly connected with the Register and that details of the contact point should be sent with the annual report on the understanding that this information will be held by the UN Secretariat and provided on request to Governments only. Furthermore, the Secretariat will maintain an updated list of national points of contact and circulate it to all Member States.

25. What if a State, using the standardized reporting form, submits data on equipment that does not fall under the definition for the categories? For example, suppose a State reports that it exported 30 ground-to-air missiles (specifically excluded from Category VII) or missiles with a range less than the reporting criteria of at least 25 kilometres.

Data submitted by a State using the format of the standardized form will be entered in the Register as submitted, even if it includes equipment outside the seven categories. However, in reporting it must be made clear that the equipment falls outside the definitions.

26. What if a State, after evaluating its exports and imports of conventional arms, determines that it has none which fit the criteria for reporting?

States in this situation are invited to submit a report to the Register clearly stating that no exports or imports have taken place in any of the seven categories during the previous year. Indeed, many States that had neither imported or exported equipment covered by the Register have submitted “nil” reports. The submission of a blank form without any clarification cannot be assumed to be a “nil” report. The 2000 Group of Experts reaffirmed the importance of participation in the Register through the provision of “nil” reports, where applicable. It concluded that such reporting was important in order to provide as complete a picture as possible of the transactions in equipment covered by the Register.

27. Are States requested to submit details on the designation, model or type of the transferred weapons?

The number of participating States using the “Remarks” column in the reporting format to provide designations and descriptions of equipment transferred has increased over the five years of reporting. The “Remarks” column was designed by the 1992 Panel to aid the understanding of international transfers by providing the opportunity, if States so wished, to report the designation, type or model of the equipment being transferred. The 1992 Panel also recommended that this column could also be used to provide additional clarification of transfers, such as if the equipment were obsolete or the result of co-production. The 2000 Group of Experts reaffirmed the view that use of the “Remarks” column helped in understanding the data submitted and added qualitatively to the data and information in the Register and encouraged States in a position to do so to provide such information.

28. What is meant by the term “available background information”, which is referred to in paragraph 10 of resolution 46/36 L?

Pursuant to resolutions 46/36 L and 47/52 L, Member States are invited to submit available background information on military holdings, procurement through national production, and relevant policies. The term “available” indicates that no special reports need to be prepared for submission to the Register. Rather, States are invited to submit those documents generated by their respective Governments during the reporting year on military holdings (for example, number and type of items of equipment in active and reserve units, in storage, etc.), the number and type of items of equipment produced within the State, and any information which makes a State’s policies regarding its production, acquisition and transfers of conventional armaments more transparent.

29. What format should be used for submitting background information?

The background information may be submitted in any form deemed appropriate by a State. The Department for Disarmament Affairs maintains an index of the background information submitted, by country, date and title. States should assign titles to their submissions.

Administration of the Register

30. When should the data and information, including background information, be submitted to the United Nations?

States are asked to submit the requested data and information by 31 May annually. For example, data for calendar year 2000 should be submitted by 31 May 2001. The data and information submitted will become an integral part of the Register. The returns should be sent to the Department for Disarmament Affairs, United Nations Headquarters, Room 3170, New York, NY 10017.

31. What should a State do if, after submitting information for a certain calendar year, it determines that the information was incomplete or contained a technical error?

Returns from previous years show that among the numerous items of data submitted for the Register, a small number of technical errors or omissions have occurred which States have sought to clarify. In such instances, States should provide written information referring to the item in question. There is no cut-off date for such corrections, although they should be submitted as early as possible in order to enable the Secretariat to process them before publication of the annual report of the Secretary-General.

32. What happens to the arms transfer data and the background information once they are submitted?

The Department for Disarmament Affairs keeps a file of the data and information in printed form as submitted by Member States and enters the data in a computerized database. Any State may request the data, by disk or printed copy, at any time. The information will be made public in the Secretary-General's annual report to the General Assembly. The background information will be indexed and filed in the Department for Disarmament Affairs. States providing data on military holdings and procurement through national production may request that the data not be published in the annual report.

33. Will the general public have access to the submitted information?

The Secretary-General's annual report on the Register will be made available to the general public after it is submitted to the General Assembly. Furthermore, as a means of improving access to the Register through the use of modern means of communication, the annual report of the Secretary-General can be accessed through the Internet by visiting the UN home page (<http://www.un.org>) and clicking on "Conventional Arms, Register of" in the Site Index under alphabet C or by directly accessing the home page of the Conventional Arms Branch of the Department for Disarmament Affairs (<http://www.un.org/Depts/dda/CAB/index.htm>). As recommended by the 2000 Group of Experts, DDA is in the process of creating a separate home page for the UN Register of Conventional Arms.

34. If a State has a question on the Register and its implementation, how can it contact the Department for Disarmament Affairs in New York?

Through Mr. Nazir Kamal at fax number (212) 963-1121 or at his e-mail address: kamaln@un.org.

Part III
REPORT OF THE 2000 GROUP OF
GOVERNMENTAL EXPERTS

Report on the continuing operation of the United Nations Register of Conventional Arms and its further development (A/55/281)*

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Foreword by the Secretary-General

When it was first established in 1992, the United Nations Register of Conventional Arms was recognized as an important step forward in international efforts to promote openness and transparency in military matters. Today, as part of a range of international instruments, the Register plays an important part in helping to prevent an excessive and destabilizing accumulation of arms, and provides valuable data for bilateral and regional dialogues on security concerns.

In our rapidly globalizing world, security can no longer be pursued in isolation. We must strive to apply as much transparency as possible to matters related to defence policies and armaments. In this way, we can help minimize the risk of misunderstanding or miscalculation, and thereby contribute to greater trust and more stable relations among States. In this context, I welcome this unanimously adopted report by the 2000 Group of Governmental Experts on the United Nations Register of Conventional Arms.

The report takes into account the work of the Disarmament Commission on international arms transfers, the work of the Conference on Disarmament, the views expressed by Member States, and the 1994 and 1997 reports on the continuing operation and further development of the Register.

The level of participation in the Register in the first eight years has been encouraging. Consistent participation by almost all the major producers, exporters and importers of major conventional weapons has enabled it to cover the great bulk of the global trade in the Register's seven categories. A total of 149 Governments, including 146 Member States, have participated in the Register at least once.

Participation is not yet universal, however. Wider participation by Governments, especially in certain regions and subregions, is of paramount importance to the arms transparency process.

Some States do not see the Register, in its current form, as relevant to their essential security interests. It should be understood, however, that the Register is a dynamic instrument and that its scope can be expanded over time to reflect the full military potential of States.

I am encouraged that support for the Register through regional arrangements and agencies has continued to grow. It has been complemented by regional and subregional efforts to promote a higher degree of openness and transparency in military matters, while taking into account the legitimate security interests of States. In this regard, let me highlight the adoption by the Organization of American States in June 1999 of the landmark Inter-American Convention on Transparency in Conventional Weapons Acquisition. The weapons categories it contains are identical to those in the United Nations Register of Conventional Arms.

I encourage Member States to further the promising trend of increased voluntarily reporting on military holdings and procurement through national production. The Group of Governmental Experts rightly recommends that the process of periodic review of the operation and further development of the Register should be continued, and that the General Assembly should decide at an early date on the next review. The Group envisages a number of activities to be undertaken by the United Nations in this regard. The Secretariat stands ready to provide all possible assistance in further promoting the aims of the Register, with a view to achieving universal participation.

I owe a debt of gratitude to the members of the Group of Governmental Experts for their work in preparing this report, which I commend to the General Assembly for its consideration.

Letter of transmittal

4 August 2000

Sir,

I have the honour to submit herewith the report of the Group of Governmental Experts on the United Nations Register of Conventional Arms. The Group was appointed by you in pursuance of paragraph 5 (b) of General Assembly resolution 52/38 R of 9 December 1997, paragraph 4 (b) of resolution 53/77 V of 4 December 1998 and paragraph 4 (b) of resolution 54/54 O of 1 December 1999, respectively.

The governmental experts appointed were the following:

Colonel Falah Al-Jam'an
Counsellor
Permanent Mission of Jordan to the United Nations
New York

Ms. Angélica Arce
Minister
Permanent Mission of Mexico to the United Nations
New York

Mr. Alamgir Babar (third session)
Deputy Permanent Representative
Permanent Mission of Pakistan to the United Nations
New York

Mr. Giora Becher
Director of Regional Security and Arms Control
Ministry of Foreign Affairs
Israel

Ambassador Mitsuro Donowaki
Special Assistant to the Minister for Foreign Affairs of Japan
Tokyo

Mr. Leonardo Fernandes (second session)
Second Secretary
Permanent Mission of Brazil to the United Nations
New York

Mr. Rafael M. Grossi
Minister
Embassy of Argentina
Brussels

Mr. Kofi A. Annan
Secretary-General of the United Nations
New York

Mr. Wu Haitao
First Secretary
Permanent Mission of China to the United Nations
New York

Lt. Col. (r) José Rufino Menéndez Hernández
Director of the Centre for Disarmament and International Security Studies
Havana

Mr. Jyrki K. Iivonen
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Embassy of Finland
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Mr. Onno D. Kervers
Head of the Nuclear Affairs and Non-Proliferation Division
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The Hague

Ambassador Mária Krasnohorská
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Mr. Pyotr G. Litavrin
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Mr. Satish C. Mehta
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Mr. Anthony Okanlawan Oni
Commodore (Navy)
Lagos

Mr. Paulo Cordeiro de Andrade Pinto (first and third sessions)
Counsellor
Permanent Mission of Brazil to the United Nations
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Ottawa

Mr. Mansour Salsabili (second and third sessions)
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Tehran

Colonel Gerhard Schepe (second and third sessions)
Permanent Mission of Germany to the Conference on Disarmament
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Ms. Christine Seve
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Direction des Relations internationales
Délégation Générale pour l'Armement
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Mr. Shahbaz (first and second sessions)
Director-General (Disarmament)
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Islamabad

Mr. Giovanni Snidle (first and third sessions)
Bureau of Political Affairs
United States State Department
Washington, D.C.

Mr. Tumagole Patrick Tsholetsane
Assistant Director for Regional Arms Matters
Department for Foreign Affairs
Pretoria

Mr. Andrew Wood
Ministry of Defence
London

The report was prepared between March and August 2000, during which the Group had three sessions in New York, the first from 6 to 10 March 2000, the second from 22 May to 2 June 2000 and the third from 24 July to 4 August 2000.

The members of the Group wish to express their appreciation for the assistance they received from members of the Secretariat of the United Nations. In particular, they wish to thank João Honwana, Chief of Conventional Arms Branch, Department for Disarmament Affairs, Nazir Kamal, who served as Secretary of the Group, and Major General Dipankar Banerjee (Retd.) who served as consultant to the Group. The Group is also grateful to Jayantha Dhanapala, Under-Secretary-General for Disarmament Affairs, for the support received from him throughout its work.

I have been requested by the Group of Experts, as its Chairman, to submit to you, on its behalf, the present report which was unanimously approved.

(Signed) Rafael M. Grossi
Chairman of the Group of Governmental Experts on the United Nations
Register of Conventional Arms

I. Introduction

A. *Establishment of the Register*

1. On 7 December 1988, by its resolution 43/75 I, entitled “International arms transfers”, the General Assembly mandated an expert study on arms transfers, including their security and disarmament implications. The study on ways and means of promoting transparency in international transfers of conventional arms (A/46/301, annex), completed and transmitted by the Secretary-General to the General Assembly in 1991, highlighted the positive impact of transparency in armaments. Enhanced transparency, it stressed, could facilitate measures of limitation and restriction by increasing confidence and reducing the risk of misperception. A major recommendation of the study was that the United Nations should establish a universal and non-discriminatory arms transfer register as soon as possible. In that regard, it further recommended that the register should be so designed and maintained as to promote restraint in arms transfers on a unilateral, bilateral or multilateral basis.

2. The General Assembly, by its resolution 46/36 L of 9 December 1991, entitled “Transparency in armaments”, requested the Secretary-General to establish and maintain at United Nations Headquarters a universal and non-discriminatory Register of Conventional Arms and set out the arrangements for the consideration of its development. The Assembly called upon all Member States to provide annually for the Register data on imports and exports of conventional arms in the seven categories covered under the Register, and, pending the expansion of the Register, invited them also to provide to the Secretary-General, with their annual report on imports and exports of arms, available background information regarding their military holdings, procurement through national production and relevant policies, and requested the Secretary-General to record that material and to make it available for consultation by Member States at their request.

3. In the same resolution, the General Assembly reiterated its conviction that arms transfers in all their aspects deserved serious consideration by the international community, *inter alia*, because of: (a) their potential effects in further destabilizing areas where tension and regional conflict threaten international peace and security as well as national security; (b) their potentially negative effects on the progress of the peaceful social and economic development of all peoples; and (c) the danger of increasing illicit and covert arms trafficking. It called upon Member States to exercise due restraint in exports and imports of conventional arms, particularly in situations of tension or conflict, and to ensure that they have in place an adequate body of laws and administrative procedures regarding the transfer of arms and to adopt strict measures for their enforcement.

4. The General Assembly furthermore declared its determination to prevent the excessive and destabilizing accumulations of arms, including conventional arms, in order to promote stability and strengthen regional or international peace and security, taking into account the legitimate security needs of States and the principle of undiminished security at the lowest possible level of armaments. It also reaffirmed the inherent right to individual and collective self-defence recognized in Article 51 of the Charter of the United Nations.

B. Developments since 1991

1992 Panel

5. In accordance with General Assembly resolution 46/36 L, the Secretary-General convened a panel of governmental technical experts in 1992. The tasks of the Panel were to assist the Secretary-General:

(a) To elaborate the technical procedures and to make any adjustments to the annex to resolution 46/36 L necessary for the effective operation of the Register;

(b) To prepare a report on the modalities for early expansion of the scope of the Register by the addition of further categories of equipment and the inclusion of data on military holdings and procurement through national production.

6. The General Assembly, by its resolution 47/52 L of 15 December 1992, entitled "Transparency in armaments", endorsed the report of the Secretary-General containing the recommendations of the Panel (A/47/342), called upon all Member States to provide the requested data and information to the Secretary-General by 30 April annually, beginning in 1993, and encouraged Member States to inform the Secretary-General of their national arms import and export policies, legislation and administrative procedures, both as regards authorization of arms transfers and prevention of illicit transfers, in conformity with paragraph 18 of its resolution 46/36 L. Subsequent resolutions of the General Assembly reiterated that request. The Panel also recommended that the consolidated annual report of the Secretary-General to the General Assembly on the data registered and the available background information submitted by Member States be open to the public.

1994 Group of Governmental Experts

7. In accordance with General Assembly resolutions 46/36 L, 47/52 L and 48/75 E of 16 December 1993, the 1994 Group of Governmental Experts was established to report on the continuing operation of the Register and its further development. The Assembly, in its resolution 49/75 C of 15 December 1994, took note of the report of the Secretary-General transmitting the report of the Group (A/49/316). By the same resolution, the General Assembly decided to keep the scope of and participation in the Register under review and, to that end, requested Member States to provide the Secretary-General with their views on the continuing operation of the Register and its further development and on transparency measures related to weapons of mass destruction.

1997 Group of Governmental Experts

8. In accordance with General Assembly resolution 51/45 H of 10 December 1996, entitled "Transparency in armaments", the 1997 Group of Governmental Experts was established to prepare a report on the continuing operation of the Register and its further development, with a view to a decision at the fifty-second session of the Assembly. By its resolution 52/38 R of 9 December 1997, entitled "Transparency in armaments", the General Assembly took note of the report of the Secretary-General transmitting the report of the Group of Experts (A/52/316) and endorsed the recommendations of the report. The Assembly also decided to keep the scope of and participation in the Register under review and to that end, requested Member States to provide their views to the Secretary-General on the continuing operation and further development of the Register. In addition, it requested the Secretary-General, with the assistance of a group of

governmental experts to be convened in 2000 on the basis of equitable geographical representation, to prepare a report on the continuing operation of the Register and its further development, with a view to a decision at its fifty-fifth session.

9. The General Assembly also adopted resolution 52/38 B of 9 December 1997, entitled “Transparency in armaments”, in which it took note of the reports of the Secretary-General on transparency in armaments (A/52/312 and Corr.1 and 2 and Add.1 and 2, and A/52/316) and requested the Secretary-General to seek the views of Member States on ways and means of enhancing transparency in the fields of weapons of mass destruction and transfers of equipment and technologies directly related to the development and manufacture of such weapons with a view to enhancing transparency in the field of conventional weapons.

2000 Group of Governmental Experts

10. By its resolution 54/54 O of 1 December 1999, entitled “Transparency in armaments”, the General Assembly recalled its request to the Secretary-General, with the assistance of a group of governmental experts to be convened in 2000, on the basis of equitable geographical representation, to prepare a report on the continuing operation of the Register and its further development, taking into account the work of the Conference on Disarmament, the views expressed by Member States and his reports on the continuing operation of the Register and its further development, with a view to a decision at its fifty-fifth session. The Assembly also requested Member States to provide the Secretary-General with their views on the continuing operation of the Register and its further development and on transparency measures related to weapons of mass destruction.

11. By its resolution 54/54 I of 1 December 1999, entitled “Transparency in armaments”, the General Assembly requested the Secretary-General, with the assistance of the Group of Governmental Experts to be convened in 2000 and taking into account the views submitted by Member States, to report to the General Assembly at its fifty-fifth session on:

(a) The early expansion of the scope of the Register; and

(b) The elaboration of practical means for the development of the Register in order to increase transparency related to weapons of mass destruction, in particular nuclear weapons, and to transfers of equipment and technology directly related to the development and manufacture of such weapons.

12. The Group of Governmental Experts considered the reports of the 1994 and 1997 groups of governmental experts on the continuing operation of the United Nations Register of Conventional Arms and its further development, as well as related resolutions of the General Assembly.

13. The Group took note of the guidelines and recommendations for objective information on military matters, adopted by the United Nations Disarmament Commission in 1992,¹ in which it was observed that, while the Register should be operated and further developed on the basis of relevant resolutions of the General Assembly, States should in the meantime take practical measures, on the basis of existing agreements, where applicable, and within appropriate forums, to increase openness and transparency in military matters through the provision of objective information, including nuclear weapons, other weapons of mass destruction, the transfer of high technology with military applications, imports and exports of conventional arms, military holdings, procurement through national production and relevant policies.

14. The Group also took note of the report of the Disarmament Commission adopted in 1996, which contains “Guidelines for international arms transfers in the context of General Assembly resolution 46/36 H of 6 December 1991”,² as well as the report of the Disarmament Commission adopted in 1999, which contains “Guidelines on conventional arms control/limitation and disarmament, with particular emphasis on consolidation of peace in the context of General Assembly resolution 51/4 N”.³

15. The Group noted that in the guidelines for international arms transfers adopted by the Disarmament Commission in 1996, it was observed that arms transfers should be addressed in conjunction with the question of maintaining international peace and security, reducing regional and international tensions, preventing and resolving conflicts and disputes, building and enhancing confidence, and promoting disarmament as well as social and economic development. Restraint and greater openness, including various transparency measures, could help in this respect and contribute to the promotion of international peace and security. It was also observed that the United Nations, in keeping with its overall purposes and principles, had a legitimate interest in the field of arms transfers, recognized by the Charter of the United Nations, which referred specifically to the importance of the regulation of armaments for the maintenance of international peace and security. The report further observed that transparency measures concerning arms transfers were not in themselves measures of limitation or restriction, but they could in several ways promote and facilitate the introduction of unilateral or multilateral measures of restraint as well as help in the detection of arms transferred illegally. Among other things, States should respect the principles and purposes of the Charter of the United Nations, including the right of self-defence; Members should refrain in their international relations from the threat or use of force against the territorial integrity or political independence of any State; international arms transfers should not be used as a means to interfere in the internal affairs of other States; and disputes should be settled by peaceful means.

16. The Group also took into account the views of Member States given in response to previous General Assembly resolutions on transparency in armaments.⁴ It also took note of the 1998 and 1999 reports of the Conference on Disarmament⁵ as well as the report of the Group of Governmental Experts on Small Arms, transmitted to the General Assembly by the Secretary-General in his note dated 19 August 1999 (A/54/258), and the report of the Group of Experts on the problem of ammunition and explosives (A/54/155), submitted to the Assembly on 29 June 1999.

17. The Group reviewed the developments that have taken place in arms transparency, including specific issues, in the context of the current global and regional security situation since the inception of the Register in 1992. In view of the scarcity and limited nature of global arrangements devoted to conventional weapons, it was observed that efforts should be made to improve and further develop the United Nations Register of Conventional Arms, which was among only a few global instruments on arms transparency. The Group also observed with satisfaction that the Register had established a norm of transparency and that it had stimulated many Governments to streamline their national systems for monitoring and regulating arms transfer. The Group stressed that submissions by Member States to the Register provide a significant amount of official information which otherwise would not have been available, and that this information provided a basis for regional and international consultations between Governments.

18. The Group reaffirmed the role of the Register as a confidence-building measure designed to improve security among States and recalled that the General Assembly, by its resolution 46/36 L, had considered that an enhanced level of transparency in armaments could contribute to

confidence-building and security among States. The establishment of the Register, as part of a broader range of international efforts to promote transparency in military matters, was a step in that direction and could help to prevent an excessive and destabilizing accumulation of arms, in particular as it covered weapon systems that could be used for offensive operations. In that regard, the Register was an important tool involving transparency and confidence which had the potential of contributing to the easing of tensions and of restraint in arms transfers. The Group also noted that the Register could contribute to enhancing confidence, easing tensions, strengthening regional and international peace and security, and contribute to restraint in military production and the transfer of arms, taking into account the legitimate security needs of States and the principle of undiminished security at the lowest possible level of armaments. In that regard, the Group stressed that further efforts were needed towards achieving the above-mentioned objectives.

19. In considering the development of the Register, the Group took full account of the relationship between transparency and the security needs of States. It reaffirmed that participation in the Register, which was voluntary, was a means by which States could signal their preparedness to enter into dialogue with other States on this aspect of security policy. That can provide a valuable input into bilateral and regional dialogues on security concerns and the evolution of a more cooperative approach to security. In that context, the Group recalled that transparency was not an end in itself, nor was the Register a control mechanism, but rather a confidence-building measure designed to improve security relations among States.

20. Taking into account the views submitted by Member States to the Secretary-General, as called for in the relevant resolutions of the General Assembly, and those raised in its discussions, the Group observed that, notwithstanding that the Register dealt with conventional weapons, the principle of transparency could also apply, in conjunction with other measures, to weapons of mass destruction and to transfers of high technology with military applications, as reflected in the provisions of various relevant legal instruments and in the founding resolution 46/36 L.

II. Review of the operation of the Register

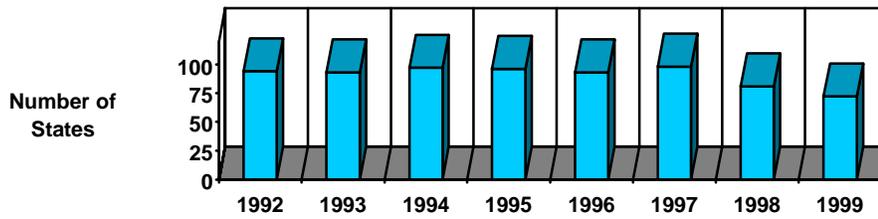
A. General

21. In the course of its deliberations, the Group had at its disposal the data and information submitted by Governments for the Register by 4 August 2000 for the calendar years 1992 to 1999 inclusive.⁶ The Group also had before it the views of Member States on the operation of the Register, submitted in response to General Assembly resolution 46/36 L and subsequent resolutions. In the light of those data and information, the Group reviewed the operation of the Register with a view to making recommendations for enhancing its operation and further development.

B. Extent of participation

22. The Group noted that, with the exception of 1998, in each of the other calendar years of the operation of the Register, over 90 Governments had submitted reports on arms transfers. The number of Governments submitting reports for the calendar years 1992-1999 is indicated in figure 1.⁷

Figure 1
Extent of Participation by States

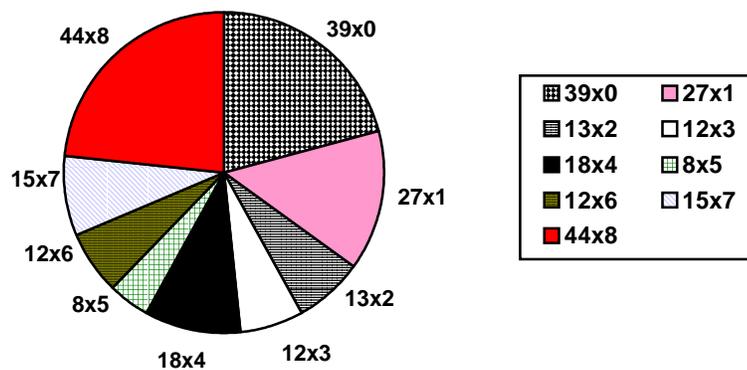


23. The Group was encouraged to note that the level of participation remained one of the highest compared with similar international reporting instruments, such as the United Nations system for the standardized reporting of military expenditures. But it also noted that overall participation was lower in calendar year 1998 than in previous years. In that regard, the Group noted that of the Governments which did not make a submission in 1998, but did so in the previous year, most had submitted a “nil” report. The Group also observed that the Register had entered a consolidation phase, requiring continued efforts to build upon the quantitative and qualitative achievements made so far, and to achieve the goal of universal participation.

24. Not all Governments that had submitted reports had participated consistently each year. The Group took account of the fact that, to date, a total of 149 Governments, including 146 Member States, had participated in the Register at least once by reporting either a “nil” transfer or an actual transfer.

25. Of the eight years of operation of the Register, 44 Governments had participated consistently, while 27 Governments had reported only once, and 39 had never submitted a report. The frequency of reporting by States is shown in figure 2. The graph indicates the number of times a country has reported to the Register since 1992. For example, 15 States reported seven times to the Register, while 27 States reported once to the Register.

Figure 2
Submission by States during calendar years 1992-1999



26. The Group noted that of the States that had participated in the Register one or more times, a varying number had not reported consistently in each calendar year. However, transfers involving some of the States not participating in a given year are reported on in returns submitted by those participating in that year. Although 57 States that had participated one or more times in previous years did not participate in calendar year 1996, 8 of those States were reported upon in returns by participating States in that year. Similarly, in 1997, there were 51 such States, of which transfers involving 7 were reported. In 1998, there were 67 such States, of which transfers involving 13 were reported.

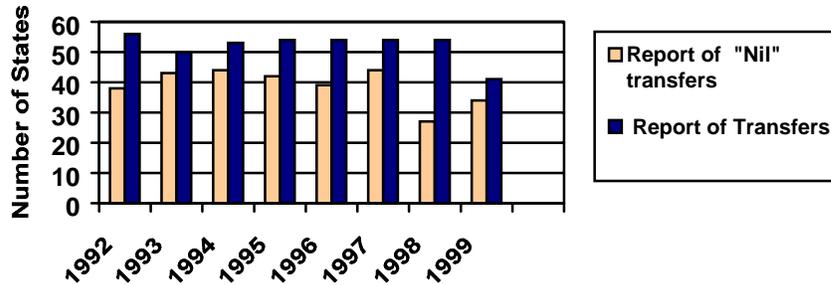
27. Of the Member States that had never submitted reports, there were at least 10 States each year, on average, which were reported upon by other Member States as either an importer or an exporter, reaching a high point of 14 States in calendar year 1997. Related to this is the number of Member States which had never submitted reports and had never been reported upon by other States. The Group noted that the total number of such States was less than 25. This relatively low figure implies that, while a total of 146 Member States have participated in the Register so far, more than 160 States have been reported upon by other States as either an importer or exporter.

28. On the quantitative side, the Group observed that, in addition to the number of States participating each year, account should be taken of the overall coverage of arms transfers provided by the Register. In that regard, it was noted that the total number of States involved in arms transfers covered by the Register in any given calendar year would be substantially greater than the number of participating States in that year, since there were States that had never participated in the Register but had been mentioned by those submitting returns. Similarly, there were States that had not participated in a particular calendar year but had been mentioned in submissions by other States. Thus, for example, while 82 States participated in calendar year 1998, the Register covered references to a total of 106 States, of which 11 had never participated in the Register and 13 had participated at least once in the preceding period. On this basis, the total number for calendar year 1998 amounts to 119.

29. On the qualitative side, it was observed that the Register covered the great bulk of arms trade in the seven categories of conventional weapons, as almost all the significant suppliers and recipients of such weapons submitted reports regularly.

30. Taking account of the need to enhance the utility of the Register, it was observed that the goal of universal participation had not yet been reached. While there was a levelling off in the pattern of incremental growth of overall participation in the Register in calendar year 1998, the Group took note of the factors that might account for the lack of universal participation on arms transfers so far. In some cases, States not reporting did not possess equipment or engage in transfers of equipment covered by the seven categories in the Register. In such cases, the importance of submitting "nil" reports was emphasized; otherwise it would not be clear whether transfers had taken place. Nevertheless, it was noted that many States that had neither imported nor exported equipment covered by the Register had submitted "nil" reports, with the partial exception of calendar year 1998. The Group also noted that the number of States reporting transfers had remained relatively stable through the years. The number of Governments submitting "nil" reports for both imports and exports, together with the number of Governments submitting data on arms transfers, is provided in figure 3.

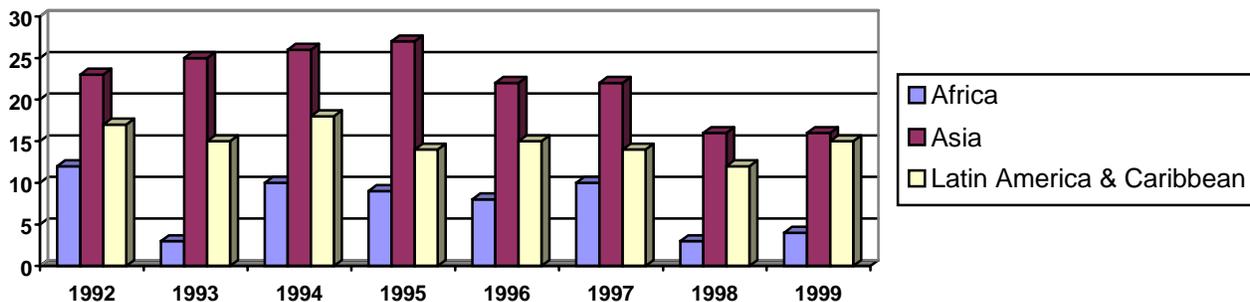
Figure 3
Reporting of Transfers vs. “Nil” reporting

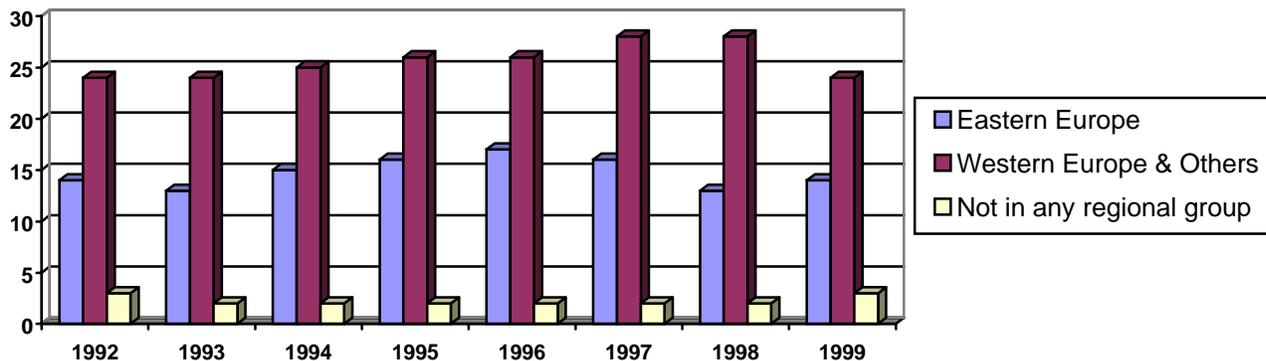


31. There remained, however, a number of States that had not yet participated in the Register by submitting a “nil” report. Their participation, it was emphasized, was important, both for making progress towards the goal of universal participation as well as for expanding the geographical boundaries of confidence-building through transparency. Similarly, it was observed that some States that had been submitting “nil” reports had not been consistent in their participation. For the sustained growth in the level of participation, it was also important that “nil” reports, where appropriate, were submitted, since a substantial number of Governments could be expected to fall in this category in any calendar year, as has been the case since the inception of the Register in 1992. For example, there were 24 States that did not participate in calendar year 1998 but did so in calendar year 1997. Of those, 21 had submitted “nil” reports. The Group also noted that a substantial percentage of participating States had submitted “nil” reports in each of the seven calendar years. In 1998, the percentage recorded was nearly 21, which was the lowest for the period 1992-1998. In all other years, more than 35 per cent had submitted “nil” reports, with a high of over 41 per cent for calendar years 1994 and 1997. For calendar year 1999, 31 States had submitted “nil” reports out of a total of the 78 States that had submitted a return as of 4 August 2000.

32. It was noted that the level of reporting varied from region to region and that that pattern remained consistent throughout the reporting years. In that regard, it was also observed that the level of participation within regions was not consistent for all the regions in calendar year 1998. Participation by region, based on a United Nations list of regional groups,⁸ is provided in figure 4.

Figure 4
Participation by Governments according to region for calendar years 1992-1999





33. It should be noted that the data in figure 4 represent Member States only. Thus, the submissions of the Governments of Switzerland (an observer State), Cook Islands, Niue as well as Kiribati (which is now a Member State) are not included. In all other figures and tables they are included.

34. Additional data on participation by region, showing ratios within regions, are provided in table 1.

Table 1
Regional participation

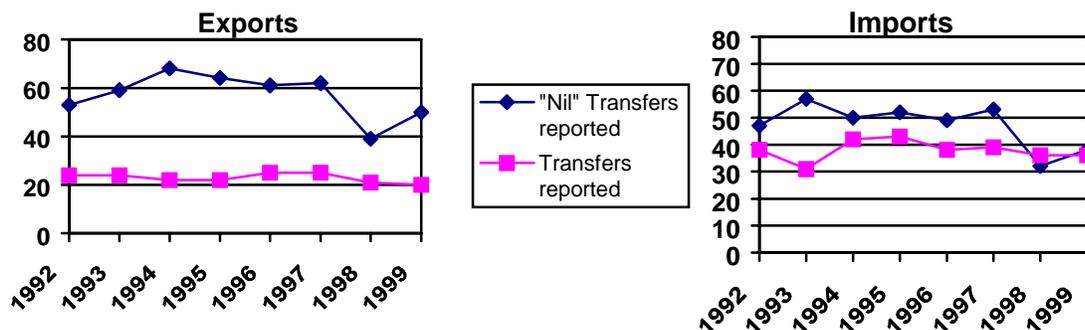
	1992	1993	1994	1995	1996	1997	1998	1999 As of 4 August 2000
Africa	12 of 51	3 of 52	10 of 53	9 of 53	8 of 53	10 of 53	3 of 53	4 of 53
Asia	23 of 47	25 of 47	26 of 48	27 of 48	22 of 48	22 of 48	16 of 48	16 of 48
Eastern Europe	14 of 19	13 of 20	15 of 21	16 of 21	17 of 21	16 of 21	13 of 21	14 of 21
Latin America and the Caribbean	17 of 33	15 of 33	18 of 33	14 of 33	15 of 33	14 of 33	12 of 33	15 of 33
Western Europe and others	24 of 24	24 of 27	25 of 27	26 of 27	26 of 27	28 of 28	28 of 28	24 of 28
Not in any regional group	3 of 5	2 of 5	2 of 3					

C. Reports on exports and imports

35. The Group observed that the number of States reporting exports and imports remained relatively stable throughout the period under review. The number of Governments reporting,

including those which submitted “nil” reports on exports or imports, in the years 1992-1999 is indicated in figure 5 below.

Figure 5
Government reports on imports and exports

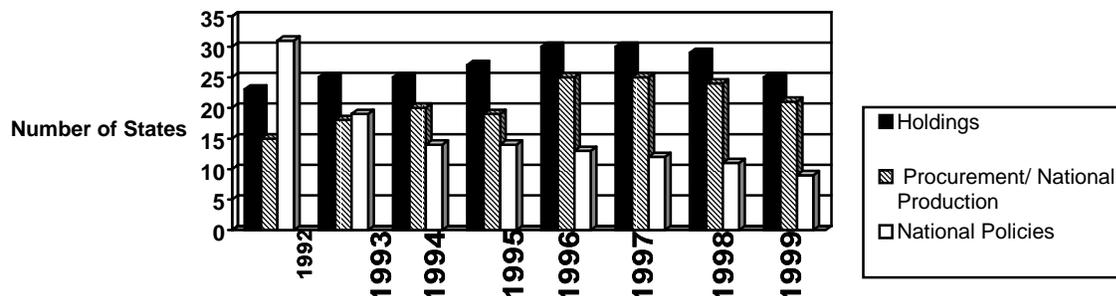


36. It was noted that a number of States, reported upon as an exporter or importer by participating States, did not make any report for the Register. On average, 11 States fell into that category. For calendar years 1996-1998, the figure varied from a low of 7 to a high of 14; they were not the same States in every year.

D. Reports on additional background information

37. The number of States reporting additional background information, in accordance with paragraph 10 of resolution 46/36 L, has increased over the first seven years of reporting with regard to information on procurement through national production and military holdings. Under the terms of the resolution, States are invited (rather than called upon, which is the case for arms transfers) to provide such information. They can submit the information in any form that they wish. With very few exceptions, participating States reported on the seven categories covered by the Register, providing information on procurement through national production and military holdings. A total of 47 Governments submitted reports on their military holdings during the calendar years 1992-1998, of which a large number have reported regularly, while a total of 29 Governments submitted reports regarding their procurement through national production during the period, of which a large number have reported regularly. Of the Governments that reported during the calendar years 1992-1998, on average, seven reported on weapons not within the categories covered by the Register. The Group observed that many States had reported national policies only once and thereafter had reported only changes or additions as they occurred. The overall pattern of reporting of available background information is provided in figure 6.

Figure 6
Holdings, procurement and national policies



E. Assessment of reporting

38. In reviewing the first seven calendar years of the operation of the Register, the Group welcomed the continuing commitment of States reporting to the Register on a regular basis. Continuity of reporting was important not only to preserve the relevance of the Register, but also to provide a basis for any analysis of trends over time. The Group considered that non-participation by States might be for political and bureaucratic reasons. Also, some States might not have been convinced that the Register alone was relevant to their security concerns. In other cases, the existing scope and parameters of the Register could be a reason for non-participation. Additional reasons for non-participation may be a lack of resources or awareness of the operation of the Register. It was also noted that in some cases armed conflict, severe political crises or other negative developments in the international security situation might have hampered reporting.

39. The Group considered, however, that gaining wider participation in the Register was of high importance. As indicated above, over 90 Governments reported to the Register for each of the calendar years 1992 to 1997 inclusive. In calendar year 1998, the number was 82. Nevertheless, for all the calendar years, the information provided by both exporters and importers covered the bulk of the global trade in the seven existing categories of the Register. While this level of reporting is higher than other comparable reporting instruments, consistent reporting by Governments that have not engaged in arms transfers in a calendar year would substantially raise the overall level of participation. Greater awareness of the function of the Register and familiarity with its procedures, it was observed, could also facilitate increased participation. Universality of participation would greatly enhance the value of the Register as a confidence-building measure. Furthermore, failure to report one side of a transfer created uncertainty about the accuracy of that data, which wider participation would serve to reduce.

40. It was observed that, as shown by the analysis of data on the reporting pattern since 1992, a large proportion of non-participating States are likely to fall in the category of potential “nil” reporters. The Group reaffirmed the value of participation by the submission of “nil” reports since such reports helped to complete the overall picture of arms transfers and are a valuable form of participation in the confidence-building process provided by the Register. The Group believed that every effort should be made to encourage States to participate in the Register by submitting a “nil”

report if they have neither imported nor exported equipment in the Register categories during the calendar year subject to reporting.

41. The Group observed that the extension of the deadline for submitting returns from 30 April to 31 May each year, which had been adopted since 1998, following the recommendation contained in the 1997 report of the Group of Governmental Experts, was widely welcomed by Governments, as a number of them had found it difficult to submit their reports by the previous due date, because of their particular situations. Nevertheless, the Group considered it important that States report promptly in order to enable the annual consolidated report on the Register to be prepared as soon as possible after the due date and in good time for consideration by the General Assembly. Prompt reporting would also enhance transparency by shortening the time lag in making such data available to all Member States.

42. In analysing reporting by Governments, the Group noted significant variations among regions. These variations follow a consistent pattern, which could be related to the reasons mentioned in paragraph 38 above. Changes in regional or subregional situations in a particular calendar year may also play a role in the pattern of reporting from regions.

43. The Group observed that mismatches continued to occur on details of transfers, such as the number of items transferred, the date of the transfer and the type of equipment. It considered that an important reason for some of those discrepancies could be the lack of a common definition of a transfer. This led to differing interpretations not only of whether a transfer had taken place, but also of the timing of a transfer. National practices continue to differ and sometimes a transfer is reported in different years, leading to the mismatch in the Register. Agreement on a common definition is complicated by differing national practices regarding the implementation of rules, regulations and procedures for exports and imports. At present the description of a transfer, given in the report of the 1992 Panel and reaffirmed by the 1994 and 1997 groups of governmental experts, remains the guideline for reporting transfers. The Group also believed that among the reasons for discrepancies in reporting of transfers was a lack of knowledge and understanding of the Register and its procedures, and limited availability of resources for implementing the Register.

44. The Group observed that the number of participating States using the “Remarks” column in the reporting format to provide designations and descriptions of equipment transferred had increased over the seven years of reporting. The “Remarks” column was designed by the 1992 Panel to aid the understanding of international transfers by providing the opportunity, if States so wished, to report the designation, type or model of the equipment being transferred. The 1992 Panel also suggested that the column could also be used to provide additional clarification of transfers, such as if the equipment were obsolete or the result of co-production. The number of Governments using the “Remarks” column to indicate types and models in reporting exports and imports is detailed in table 2.

Table 2

Frequency of “Remarks” column use

	<i>1992</i>	<i>1993</i>	<i>1994</i>	<i>1995</i>	<i>1996</i>	<i>1997</i>	<i>1998</i>	<i>1999 as of 4 August 2000</i>
Exporters	15 of 24	16 of 24	17 of 22	19 of 22	23 of 25	26 of 26	22 of 23	19 of 20
Importers	26 of 38	24 of 31	34 of 42	35 of 43	32 of 36	37 of 40	41 of 41	36 of 36

45. The Group reaffirmed the view that use of the “Remarks” column helped in gaining an understanding of the data provided, and in identifying or reducing discrepancies, thereby adding considerable value to the Register. Information on models and types of equipment not only aided clarity but also provided an important qualitative element to reporting. The Group therefore encouraged Governments to maximize their use of this column when reporting transfers.

46. With regard to reporting on available background information, the Group noted the increase in reporting, in accordance with General Assembly resolution 46/36 L, on military holdings and procurement through national production. It also noted that the overwhelming majority of reports provided data on the seven categories of the Register. The Group took account of those voluntary practices and considered that continued dissemination of the information would be useful.

47. The Group also noted with satisfaction the improvements in reporting by States, such as the increasing use of the “Remarks” column, achieved on the basis of recommendations of the 1997 Group of Governmental Experts.

III. Development of the Register

A. General

48. By its resolution 46/36 L, the General Assembly initiated the process for future expansion of the scope of the Register by the addition of further categories of equipment and the inclusion of data on military holdings and procurement through national production. Modalities for such expansion were considered by the 1992 Panel, which presented its findings to the Assembly at its forty-seventh session. The question of further development of the Register was discussed extensively by the 1994 Group of Experts on the continuing operation of the Register and its further development, but no agreement was reached on any of the proposals put forward. The 1997 Group also examined various proposals to further develop the Register. It studied the definitions of the existing seven categories to ascertain whether they still met the purposes of the Register. Proposals and issues relating to weapons of mass destruction and the inclusion of small arms and light weapons were also considered. The 1997 Group studied the implications of the proposed technical adjustments but could not reach agreement on such adjustments.

49. The 2000 Group of Governmental Experts engaged in an extensive and detailed technical examination of the issue of adjustments to the seven categories of weapons covered by the Register. In that context, it also examined the concepts of force projection and force multiplier

capabilities in the light of technological developments affecting the conduct of modern warfare.⁹ The Group noted that, while in some cases those capabilities might not be offensive systems in themselves, they could add to the effectiveness of offensive systems. The issue of whether weapon systems could be described as offensive or defensive was also discussed more broadly and it was recognized that any distinctions must take into account differences in the military doctrines of States. In the context of force projection and force multiplier capabilities, the Group examined the question of whether this kind of adjustment would make the reporting procedure more complex and whether, in that respect, it might affect both the scope of the Register and the ultimate goal of universal participation. Bearing in mind the ultimate goal of universal participation as well as the further development of the Register, the Group discussed each of the existing categories separately to determine the desirability and feasibility of introducing adjustments. In addition, in the context of issues relating to the expansion of the scope of the Register, the Group considered the issue of including data on military holdings and procurement through national production. The Group also considered the question of the interrelation of small arms and light weapons with the Register, as well as the issue of transparency in weapons of mass destruction, in particular nuclear weapons.

B. Categories of weapons covered by the Register¹⁰

Category I. Battle tanks

50. The Group believed that the existing definition of battle tanks provided adequate coverage. In this regard, it was observed that the technological trend was towards the development of tanks of higher rather than lower tonnage and gun calibre.

Category II. Armoured combat vehicles

51. The Group analysed the current definition of category II and discussed the issue of adjustments covering reconnaissance and target acquisition systems, bridge-laying equipment, armoured recovery vehicles and electronic warfare systems. The question of light tanks was discussed, as such tanks, which potentially fall outside category I, could be examined within the framework of this category, which provided a broad conceptual scope for addressing tanks and other armoured vehicles not covered by the category I definition.

Category III. Large-calibre artillery systems

52. The Group recalled the discussion on adjustments under category III that had taken place in the 1994 and 1997 groups of governmental experts, and examined the relevance and significance of including artillery systems between the ranges of 35 and 100 mm, which fall outside the existing definition. For example, lowering the threshold to 75 mm would include 81 mm and 82 mm mortars, which have seen widespread use in some recent conflicts. The discussion of this issue enabled an analysis of measures to increase transparency in small arms and light weapons. In that regard, the Group took note of the United Nations Conference on Illicit Trade in Small Arms and Light Weapons in all its aspects, to be held in the year 2001.

Category IV. Combat aircraft

53. In category IV, the question of adjustments was discussed in relation to military aircraft, for example, the inclusion of force multipliers such as reconnaissance, command of troops, electronic warfare and force projection capabilities such as air-to-air refuelling and aircraft designed to perform troop transport and airdrop missions. In that regard, the Group also discussed

the question of coverage of systems in the context of their combat role in large-scale offensive operations and surprise attacks. The Group also considered whether the existing definition failed to capture all military aircraft performing specialized electronic warfare, suppression of air defence and reconnaissance missions by only covering “versions of combat aircraft”. Similar consideration on this final point was also given under category V.

Category V. Attack helicopters

54. In category V, as in the case of some other categories, the Group examined the question of adjustments in relation to significant combat support systems, for example, target acquisition (including anti-submarine warfare), communications, command of troops, electronic warfare, mine-laying and transport helicopters. In that regard, as in relation to category IV, the Group discussed the implications of making technical adjustments that might require rephrasing the category title or creating a new category. The technical discussion also generated views regarding the possible parameters of military transport helicopters, including its lift capacity, in order to provide a clear definition for reporting purposes.

Category VI. Warships

55. The discussion on possible adjustments to category VI revolved around the issue of lowering the tonnage of surface warships, and the Group discussed the implications of a possible lowering of the threshold to 400 metric tons, which would include, for example, mine-laying and amphibious vessels. Similarly, the Group considered other developments, such as the firepower of vessels falling below the existing threshold of 750 metric tons, which in some cases were comparable to those possessed by larger vessels. The question was raised as to whether such vessels could be regarded as being potentially destabilizing. The Group also took note of vessels operated by coast guards that are meant for domestic law enforcement, and other vessels that have a coastal patrol role or are devoted to coastal defence.

56. The analysis by the Group extended to the issue of military significance in the context of the Register, that is to say, whether consideration of vessels for possible inclusion in category VI should be confined to those with a “blue water” capability or should cover also other warships that might be significant in a regional context. In that regard, views were exchanged on the issue of the defensive and offensive role of some classes of surface warships, in particular mine-laying/sweeping vessels.

Category VII. Missiles and missile launchers

57. In category VII, the main focus of consideration was the issue of man-portable air defence systems (MANPADS) and the question of transparency in international transfers involving such systems. In that regard, the Group examined in detail the question as to whether missiles of less than 25 km range, particularly surface-to-air systems, were defensive or offensive weapons, and whether they could be deemed to fall outside the scope of the Register. Similarly, it examined the interrelation between MANPADS and the question of small arms and light weapons. In that context, the specific role of the Register in promoting transparency, in contrast to reduction and limitation measures envisaged in arms control instruments, was discussed.

C. Expansion of the scope of the Register

58. In connection with adjustments to the seven categories of the Register, the question of combat support and combat service support capabilities¹¹ frequently arose during the discussion. The issue was thus examined from conceptual and methodological standpoints. Conceptually, for example, combat support and combat service support systems could be addressed separately by adding two new categories, or the existing seven categories could be subdivided to cover combat, combat support and combat service support systems, respectively. In the context of force projection and force multiplier capabilities, the Group examined the question as to whether this kind of adjustment would make the reporting procedure more complex and whether, in this respect, it might affect both the scope of the Register and the ultimate goal of universal participation.

59. The Group discussed the issue of expanding the scope of the Register to include data on military holdings and procurement through national production on the same basis as data on transfers. In particular, it addressed the question of whether such an expansion would promote greater participation in the Register. A proposal was made to work towards expansion with data on procurement through national production, which could fulfil the objective of making the Register more balanced and provide greater transparency. A proposal was also made for transparency in international transfers of military technology.

60. The Group addressed the issue of weapons of mass destruction. In that connection, proposals were made for transparency in nuclear weapons, including bombers and other delivery systems, weapons-grade material and production facilities, as well as for a review of the Register with the aim of including weapons of mass destruction.

IV. Regional aspects

A. Overview

61. In resolution 46/36 L and subsequent resolutions, the General Assembly called upon Member States to cooperate at regional and subregional levels, taking fully into account the specific conditions prevailing in the regions or subregions, with a view to enhancing and coordinating international efforts aimed at increased openness and transparency in armaments.

62. The Group noted variations in the pattern of reporting among the regions. It welcomed the efforts made by regional organizations and arrangements, individual Member States and the United Nations Secretariat to promote participation in the Register. It expressed the belief that this effort should be sustained in order to help achieve the goal of universal participation in the Register. The Group took account of the different security conditions, recognizing that complementary confidence-building and security-building measures and other work to enhance security should take account of specific concerns and security perceptions. In that context, it noted that other measures related to weapons and equipment not covered by the categories in the Register had particular importance in certain regions in ensuring that the whole spectrum of security concerns was taken into account, in particular in those regions in which the threat of armed conflict still existed. The Group also noted that in certain instances the Register had a beneficial influence in stimulating activities in relation to confidence-building measures and discussions on regional security.

B. Support of the Register through regional arrangements and agencies

Asia and the Pacific

63. In the region of Asia and the Pacific, the overall level of participation continues to be relatively modest since the inception of the Register, as can be observed from the data provided in table 1. The highest level of participation was recorded for calendar year 1995 at 56 per cent, while the lowest level was 33 per cent for 1998. A large proportion of non-participating States or States which have not participated consistently are those that would be likely to return a “nil” report.

64. Participation in some subregions, particularly in areas of tension, has been markedly low, affecting the level of overall participation. In this regard, with the aim of achieving universal participation in the Register, the Group stressed the importance of taking into account all the principles contained in the Charter of the United Nations as well as the guidelines for international arms transfers referred to in paragraph 15 of the present report. The Group also took note of the action taken by the General Assembly relevant to the regional context. In resolutions 54/59 of 1 December 1999 and 51/50 of 10 December 1996 on strengthening security and cooperation in the Mediterranean region, the Assembly encouraged all States of the region to favour the necessary conditions for strengthening the confidence-building measures among them by promoting genuine openness and transparency on all military matters by, inter alia, providing accurate data and information to the Register. Similar encouragement was expressed by the Assembly in its resolutions 49/81 of 15 December 1994 and 50/75 of 12 December 1995.

65. From the time of its establishment in 1994, the Association of South-East Asian Nations (ASEAN) Regional Forum (ARF) has been making efforts for the eventual participation by all ARF countries in the Register. An important step in support of the Register was the 1996 decision at the Foreign Ministers meeting to endorse the recommendations of the Inter-Sessional Group on Confidence Building Measures that ARF participants should be encouraged on a voluntary basis to circulate the data submitted to the Register at the same time to other ARF countries. Ministers also endorsed the recommendations that discussions on the Register within the ARF framework should be continued, with a view to enhancing security in the region, and that ARF participants should be encouraged to work together within the United Nations to promote more global participation in the Register. In support of those recommendations, active efforts are under way to explore issues related to participation in the Register and identify possible cooperation among ARF countries.

The Americas

66. Overall participation from Latin America and the Caribbean has been relatively modest since the inception of the Register. The level of participation registered a high of nearly 55 per cent in calendar year 1994 and a low of 36 per cent in 1998. A large proportion of non-participating States or States which have not participated consistently are those that would be likely to return a “nil” report. Bureaucratic reasons have been a major factor for the modest level of participation. However, significant developments in the region in the area of arms transparency are likely to facilitate a higher level of overall participation.

67. On 7 June 1999, following two years of intensive consultations, the General Assembly of the Organization of American States (OAS) adopted the landmark Inter-American Convention on Transparency in Conventional Weapons Acquisitions.¹² The Convention puts in place a concrete mechanism for strengthening regional stability through confidence-building and transparency. It

requires States parties to provide annual reports to the OAS depositary on its imports and exports of conventional weapons covered by the Convention, which are identical to those covered by the United Nations Register. States parties are also required to notify the depositary of its acquisitions of conventional weapons, whether through imports or national production, within 90 days of incorporation in the armed forces. States parties that have not acquired weapons are required to submit a “nil” return no later than 15 June of each year.

68. The Presidents of MERCOSUR (Argentina, Brazil, Paraguay and Uruguay), Chile and Bolivia, at their meeting in Buenos Aires on 30 June 2000, reaffirmed the importance of confidence-building measures in the area of conventional armaments and made an appeal in favour of universal participation in the United Nations Register of Conventional Arms.

Europe

69. Participation by the European States has been the highest among the regions of the world since the inception of the Register. In particular, participation by the countries of Western Europe in calendar years 1997 and 1998 was universal. Among Eastern European States, overall participation has been reasonably high as well as relatively stable, though not universal. There has been an average of approximately 80 per cent participation in recent years.

70. To strengthen confidence and security among its participating States, the Organization for Security and Cooperation in Europe (OSCE) has adopted a number of documents and other confidence- and security-building measures providing for increased transparency on matters related to conventional armaments. In November 1999, at the Istanbul Summit, OSCE adopted the Vienna Document 1999 of the Negotiations on Confidence- and Security-building Measures. The document integrates revisions to preceding versions and a new set of measures covering the following areas: exchange of military information, defence planning, risk reduction, military contacts and visits, prior notifications and observation of certain military activities, constraints on certain military activities, verification and compliance, and regional measures. In addition, the Global Exchange of Military Information (GEMI), adopted at the Budapest Summit in 1994, provides for an annual exchange of information on military holdings covering a range of conventional armaments, including those found in the United Nations Register (except category VII). By a decision of the OSCE Forum for Security Cooperation in December 1997, participating States also circulate annually among themselves their data and other background information as provided to the United Nations Register; this information may be reviewed and discussed annually as well as at the time of the Annual Implementation Assessment Meeting of the Forum, thus encouraging dialogue among participating States. In addition, following a decision by the OSCE Forum in December 1995, participating States provide information annually, in response to a questionnaire, on their policy and national practices for the export of conventional arms and related technology.

71. Members of the European Union (EU) and associated countries continued to promote adherence to the Register by encouraging all States Members of the United Nations to submit national data. In particular, they contacted States that had not submitted their return for a specific year, with the request to submit their return for that year. As a result of those contacts, EU members and associated countries reported a general willingness on the part of the large majority of such States to participate in the Register. In view of this stated willingness, the answer to why a number of these States still do not report to the Register might be found in the observations made by the Group on this issue (see para. 38 above).

Africa

72. Overall participation in the Register by the African States has been the lowest among the regions of the world. It has fluctuated during the calendar years 1992-1998, starting with a high of nearly 24 per cent participation in 1992 and dropping to a low of less than 6 per cent in 1998. A large proportion of non-participating States or States which have not participated consistently are those that would be likely to return a “nil” report.

73. At a subregional conference in N’Djamena, held in October 1999, the United Nations Advisory Committee on Security Questions in Central Africa adopted the N’Djamena Declaration (A/54/530), which called for the creation of a uniform weapons register at the national and subregional levels and urged all States to give effect to the recommendations contained in the guidelines for international arms transfers in the context of General Assembly resolution 46/36 H of 6 December 1991.

74. The Expert Group considered the issue of the relevance of the Register in the regional and subregional context. In that context, the technical examination of possible adjustments to the seven existing categories of the Register included, in some cases, consideration of weapon systems falling within the broad spectrum of small arms and light weapons, which have received a greater focus of attention in Africa in recent years. This is reflected, for example, in the arms transparency initiative of the 16-nation Economic Community of West African States (ECOWAS) as well as other initiatives which are being considered within the framework of the Organization of African Unity.¹³

C. Enhancing implementation at the regional level

75. The Group felt that regional and subregional efforts should be encouraged, as they may pave the way towards a higher degree of openness, confidence and transparency in a region, thereby promoting greater participation in the Register. The Group also believed that such efforts should complement, and not detract from, the operation of the universal and global Register. In that context, the Group believed that it was necessary to undertake further action to promote participation in the Register, since this global transparency instrument has been in operation for the last eight calendar years, and concentrated promotional efforts had not taken place in recent years, as in the early years of the Register. In that regard, the Group recalled that workshops and seminars organized by the former Centre for Disarmament Affairs in different regions from 1993 to 1996 had played a significant role in enhancing awareness and promoting participation in the Register.

76. The Group also felt that promotional and familiarization efforts should be focused, in particular, on those regions or subregions where such efforts are likely to overcome non-participation or inconsistent participation by States. With regard to promoting participation in the Register, the Group noted that a number of States had engaged in multilateral, regional or bilateral efforts to that end. In addition, the Group noted that some Governments had expressed interest in offering assistance to promote the Register at appropriate regional or subregional levels, and that some events were in the process of being organized.¹⁴

V. Implementation of the Register

A. Reporting methods

77. The Group observed that, for many States, national policies of relevance to the Register might not change every year. To add clarity to reporting on national policies on submitting

additional background information it was felt that it might be helpful if States indicated in their report either that there had been “no change” or, if applicable, the nature of the changes. Once a report had been submitted, any changes to national policies that States considered relevant to the Register should be reported. The Group also considered the significance of submitting “nil” returns, where appropriate, and noted that a number of States had used simplified reporting methods for submitting such returns.

B. Contacts among Member States

78. The Group believed that, in order to resolve possible discrepancies in the data submitted by exporters and importers as well as other issues relevant to the Register, direct bilateral contacts were important, as well as other contacts, where appropriate. To that end, the Group encouraged all Governments to appoint an official, national point of contact. Such points of contact could deal with queries arising from the national submissions with a view to resolving misunderstandings. In that regard, the Group noted that, to date, 46 Governments¹⁵ had provided information to the Secretariat regarding their national point of contact. It also noted that other official channels of communication, where appropriate, could play a role in addressing issues relevant to the Register.

C. Access to data and information reported

79. In order to enhance the value of the Register as a tool to build confidence in security matters, Member States must be assured of the widest possible access by Member States to the data and information stored in the Register database. This could be achieved in a number of ways, including the use of electronic means, as appropriate. In that regard, the Group discussed a number of ideas for enhancing the use of electronic means in the maintenance and universalization of the Register, including the following: a separate and well-designed home page for the Register in the Secretariat web site on disarmament matters, with links to other arms transparency instruments and databases; making national submissions to the Register available electronically through a user-friendly database with a searchable facility; inclusion of the updated United Nations information booklet on the Register in the proposed Register home page; and dissemination of publicity material prepared by the Department for Disarmament Affairs, particularly to inform national Governments of the relevance of the Register as a confidence-building measure. The Group also considered the possibility of electronic filing of national submissions to the Register.

D. Role of the United Nations Secretariat

80. The Group noted the importance of the role of the Secretariat in giving advice to Member States, when requested, on technical aspects of completing reports to the Register and in clarifying technical ambiguities in reports submitted. To enhance participation, timely reporting to the Register as well as timely preparation of the annual consolidated report of the Secretary-General to the General Assembly, the Group believed that it was important that the Secretariat play a role in promoting awareness of the Register and the procedures for reporting. In that regard, the Group considered a proposal for organizing annual workshops or consultative meetings on the Register prior to the deliberations in the First Committee or during the early stages of the session of the Committee.

81. The Group expressed appreciation of the role of the Department for Disarmament Affairs in disseminating useful information and educational material relating to the Register. In that

regard, it commended the Department for publishing the United Nations information booklet on the Register and encouraged a regular update of the booklet.

82. The Group commended the Department for Disarmament Affairs for co-sponsoring a South Asia regional conference in Sri Lanka in June 2000, at which issues related to the Register were discussed. Focusing on the theme “Countering Small Arms and Light Weapons Proliferation in South Asia”, the conference was hosted by the Colombo-based Regional Centre for Strategic Studies and also sponsored by Bradford University, United Kingdom.¹⁶ The Group observed that the Department for Disarmament Affairs could facilitate the further holding of workshops and seminars at the regional and subregional levels with a view to achieving greater participation and enhancing familiarity with the Register and its procedures. The Group noted that the United Nations regional centres for peace and disarmament had a significant role to play in the process.

E. Future review of the Register

83. The Group stressed the importance of periodic reviews of the continuing operation of the Register and its further development. It recalled its observation noted above that the Register had entered a phase where renewed efforts were needed to ensure that it moved forward towards the goal of universal participation and its further development. The Group recommended that the practice of holding periodic reviews should be continued. It also noted that, by 2002, the Register would have completed 10 years of operation, representing a significant achievement which could provide an opportunity to take stock of its operation and address the future development of the Register.

VI. Conclusions and recommendations

A. Conclusions

84. The Group concluded that the United Nations Register of Conventional Arms had made significant progress since its inception in 1992 and that it was entering a period of consolidation, requiring renewed efforts to ensure progress towards universal participation as well as its further development. It noted that the Register had showed a consistent level of participation over the years and improved quality of information provided by States. Nevertheless, the Group observed that there were wide variations in the level of reporting among the regions, which called for additional targeted efforts at the regional and subregional levels to encourage wider participation.

85. While noting that a large number of States had reported to the Register at least once, the Group reaffirmed the importance of encouraging consistent participation in the Register and of submitting “nil” reports, where applicable, as that helped to provide as complete a picture as possible of the transactions in equipment covered by the Register. “Nil” reports, where applicable, would also help towards achieving the goal of universal participation, as the pattern of reporting since 1992 had shown that a significant number of States were likely to enter a “nil” report in any calendar year.

86. The Group expressed satisfaction with the increased use of the “Remarks” column, indicating designations, models or types of transferred equipment, and concluded that the reports containing such information added qualitatively to the data contained in the Register, thus enhancing its value as a confidence-building measure. It encouraged States to provide such information.

87. The Group stressed the importance of prompt reporting in order to facilitate early dissemination of the data and information for submission to the General Assembly. It concluded

that the inclusion of a note verbale together with the reporting forms dispatched by the Secretariat to Member States by the end of January of each year would help to facilitate timely submission.

88. The Group encouraged Member States to provide their official point of contact to the Secretariat for onward dissemination to interested Member States. It concluded that a designated national point of contact could play a significant role in facilitating efficient reporting as well as clarifying issues that might be raised by the data submitted.

89. With regard to the further development of the Register, the Group discussed the question of including procurement through national production on the same basis as for transfers. It reaffirmed the goals of early expansion of the Register and welcomed the voluntary reporting by a number of States on military holdings and procurement through national production.

90. The Group recognized the importance of the principle of transparency and its relevance to weapons of mass destruction. In its consideration of proposals to add a new category to include such weapons, the Group reviewed the nature of the Register, regional security concerns and existing international legal instruments concerning the subject matter, as well as General Assembly resolution 46/36 L. In view of all these factors, particularly taking into account that the Register covered conventional arms only, the Group agreed that the question of transparency in weapons of mass destruction was an issue that should be addressed by the General Assembly.

91. The Group considered a number of adjustments to the existing seven categories, as follows:

- Under category II, the inclusion of armoured combat vehicles which performed reconnaissance, target acquisition, electronic warfare or command of troops, and in addition, battle tanks not covered by category I;
- Under category III, the lowering of the calibre threshold to 75 millimetres;
- Under category IV, the inclusion of aircraft designed or equipped to perform air-to-air refuelling, troop transport, air drop missions and electronic warfare. In addition, the inclusion of other military aircraft not covered by the existing definition;
- Under category V, the incorporation of helicopters designed or equipped to perform troop transport, combat support missions or electronic warfare. In addition, the inclusion of other military aircraft not covered by the existing definition;
- Under category VI, lowering the surface warship tonnage threshold to 400 tonnes;
- Under category VII, lowering the range of missiles to include systems below the present 25 kilometres range, in particular man-portable air defence systems (MANPADS).

As no agreement was reached on any of these adjustments, the Group decided that further consideration should be given to the matter in the next periodic review.

92. The question of the relationship between the existing categories and possible new categories of equipment of conventional arms, including light weapons and small arms, was discussed, as was the way that relationship could be of relevance to the purpose of the Register. The Group took note of the United Nations Conference on Illicit Trade in Small Arms and Light Weapons in All Its Aspects, to be held in 2001.

93. In order to facilitate universal participation as well as the continued development of the Register, as called for by the General Assembly in resolution 46/36 L and subsequent resolutions, the Group concluded that the review process, initiated at the time of establishment of the Register,

should be continued. Such a review process was essential to the task of ensuring the continued progress of the Register.

B. Recommendations

94. The Group recommends that:

(a) Member States should participate in the United Nations Register of Conventional Arms with a view to achieving the shared goal of universal participation in that instrument;

(b) Member States should be reminded of the importance of participating in the Register, both in reporting data and information and in making “nil” reports on imports and exports of conventional weapons covered by the Register;

(c) Member States in a position to do so should make use of the “Remarks” column in the standardized reporting form to provide additional data, such as types or models;

(d) Member States should be encouraged to report promptly in order to help ensure the early dissemination to Governments of the data and the information in the reports;

(e) Member States should nominate a national point of contact for matters connected with the Register and details on the contact point should be sent with the annual submission on the understanding that this information will be held by the Secretariat and provided on request to Governments only; furthermore, the Secretariat should maintain an updated list of national points of contact and circulate it to all Member States;

(f) The note verbale which the Secretariat sends annually to the Member States along with the standard reporting forms should also include an attachment for the filing of “nil” returns by States that do not have transfers to report. This attachment should read as follows: “The Government of ..., in reference to General Assembly resolution ..., confirms that it has neither exported nor imported any equipment in the seven categories of the United Nations Register of Conventional Arms for the calendar year ... and therefore submits a ‘nil’ return.” The text of the note verbale should accordingly contain a reference to the attached form for reporting “nil” returns;

(g) The Secretariat should assist Member States, as appropriate, in the implementation of agreed regional and subregional confidence-building measures;

(h) The General Assembly should decide on the appropriate time to conduct a full review of the continuing operation and further development of the Register at an early date;

(i) The General Assembly should consider a provision for additional resources to the Secretariat to operate and maintain the Register and to:

(i) Update the United Nations information booklet on the United Nations Register of Conventional Arms on the basis of the present recommendations and distribute it among the Member States;

(ii) Send a note verbale, with the reporting forms, to Member States by the end of January and reminders, where appropriate, at the beginning of June;

(iii) Ensure that all information relating to the Register is electronically available as soon as possible. The updated United Nations information booklet on the Register should also be made available in the Register web site both as a hypertext linked series of pages and as a downloadable document. The Secretariat should

continue to provide the General Assembly with the annual consolidated report of data and information registered, including that provided on a voluntary basis on military holdings and procurement through national production, together with an index of other additional background information. States providing data on military holdings and procurement through national production may request that these data not be published;

(iv) Ensure that all basic data and information relevant to the Register is available electronically in all official languages of the United Nations;

(v) Undertake a study with the assistance of a technical expert to determine the feasibility of electronic filing of national submissions to the Register;

(vi) Develop a separate home page for the Register, using a graphic design for efficient use of the Register data, and establish links between this home page and other comparable registers and data banks established by other international and regional organizations;

(vii) Send complete submissions to capitals and to all permanent missions to the United Nations in electronic form or hard copy, as appropriate;

(viii) Facilitate informal meetings relevant to the Register, such as briefings by the Secretariat on its operation and procedures, in parallel to the meetings of the First Committee;

(ix) Facilitate the holding of regional or subregional workshops and seminars, as appropriate, particularly to encourage greater participation.

Notes

¹ See Official Records of the General Assembly, Forty-seventh Session, Supplement No. 42 (A/47/42).

² Ibid., Fifty-first Session, Supplement No. 42 (A/51/42), annex I.

³ Ibid., Fifty-fourth Session, Supplement No. 42 (A/54/42), annex III.

⁴ A/52/312 and Corr.1 and 2 and Add.1 and 2; A/53/334 and Corr.1 and Add.1; A/54/226 and Add.1 and 2.

⁵ Official Records of the General Assembly, Fifty-third Session, Supplement No. 27 (A/53/27); *ibid.*, Fifty-fourth Session, Supplement No. 27 (A/54/27).

⁶ Returns for the latest calendar year 1999 have not been completed and therefore the data for that year are incomplete.

⁷ In the present report the data presented in figures 1 to 6 and tables 1 and 2 reflect submissions by Member States and other participating States as of 4 August 2000. Returns for the latest calendar year 1999 have not been completed and therefore the data for that year is incomplete.

⁸ The unofficial list is used only for General Assembly elections.

⁹ Force projection refers to the military capacity to transport army and air force units to a distant spot and, if necessary, land them under fire in order to engage a local enemy; and force multiplier refers to any piece of technology that allows a smaller body of soldiers, or a smaller group of tanks, artillery, fighter aircraft, etc., to defeat a larger force of similar type. The definitions were used only as a working basis to facilitate discussion in the Group, and are derived from David Robertson, *Guide to Modern Defense and Strategy* (Detroit, Michigan, Gale Research Company, 1987).

¹⁰ Paragraph 2 (a) of the annex to General Assembly resolution 46/36 L identifies seven categories of equipment on which Member States are requested to supply data to the Register. Based on the adjustments to the annex developed by the 1992 Panel, which were reaffirmed by the 1994 and 1997 groups of experts, the categories and their definitions to be used for reporting to the Register are as follows: battle tanks, armoured combat vehicles, large-calibre artillery systems, combat aircraft, attack helicopters, warships, and missiles and missile launchers.

Inclusive definitions for the categories are presented in appendix I to the present report.

¹¹ Combat support refers to fire support and operational assistance provided to combat elements; and combat service support refers to support provided to combat forces, primarily in the fields of administration and logistics. For example, in the context of category I, a combat support system could be a bridge layer, while a combat service support system could be an armoured recovery vehicle. These definitions were used only as a working basis to facilitate discussion in the Group, and are derived from North Atlantic Treaty Organization, Glossary of Terms and Definitions (modified version 01 AAP-6(V)), dated 16 July 1999.

¹² To date, the Convention has been signed by 19 OAS member States, including major conventional arms importers and exporters. The Convention grew out of an OAS resolution adopted in 1997 that stipulated that OAS would consider the desirability of a legal framework to provide advance notification of major arms acquisitions covered by the United Nations Register of Conventional Arms.

¹³ In October 1998, members of ECOWAS agreed on a moratorium on the import, export and manufacture of small arms and light weapons in West Africa. Within the framework of the moratorium, they agreed in December 1999 to implement a subregional arms register. The United Nations Regional Centre for Peace and Disarmament in Africa is assisting in this effort within the framework of the Programme for Coordination and Assistance for Security and Development in Africa (PCASED). See also Report of the Meeting of Experts, First Continental Meeting of African Experts on Small Arms and Light Weapons, Addis Ababa, 17-19 May 2000 (SALW/RPT/EXP(I)).

¹⁴ Canada and Japan have agreed to organize a seminar for ARF participants, to be held jointly with an ASEAN member country, and with the participation of the Department for Disarmament Affairs, on “Transparency and Responsibility in Transfer of Conventional Weapons” in early 2001.

¹⁵ As of 4 August 2000.

¹⁶ Co-sponsorship by the Department for Disarmament Affairs was facilitated by a financial contribution from the Government of Japan.

Statement in the First Committee
Chairman of the 2000 Group of Governmental Experts*
11 October 2000

I have the pleasure today to introduce the report on the continuing operation and further development of the United Nations Register of Conventional Arms as mandated by resolution 54/54/0 of December 1, 1999 on transparency in armaments. The report carries the document symbol A/55/281.

The General Assembly gave our Group a very specific mandate to look into the functioning of this mechanism, and in doing so to take into consideration the work of other bodies including the Conference on Disarmament and the Disarmament Commission, in order to produce a balanced assessment of the operation of this important tool for transparency and confidence-building.

This exercise was not an easy one.

The experts faced the challenge of analyzing an impressive volume of data and information accumulated over the past eight years, evaluated possible problems, explored remedies and proposed practical suggestions, and accomplished all this without losing sight of the prevailing political circumstances in which the Register evolves.

The task was hard, but we emerged from it with a renewed sense of the importance of the Register as a confidence-building measure designed to improve security among States.

All the experts agreed without hesitation that the establishment of this mechanism, as part of a broader range of international efforts to promote transparency, was indeed a step in the right direction. Our faith in its potential to help prevent the destabilizing accumulation of arms, ease tensions and promote restraints in arms transfers remains intact.

In sum, Mr. Chairman, the experts were able to reaffirm the validity and relevance of an instrument that is approaching its tenth anniversary.

Let me briefly highlight some of the most important findings of our work.

Review of the operation of the Register

Our Group analyzed data and information submitted by governments to the Register for the last eight calendar years.

These confirmed that over the years the level of participation has remained one of the highest compared with similar international reporting instruments. There are of course ups and downs in the curve, but it is fair to say that the Register has reached a level of participation that regularly approaches 100 States.

In our report you will find a number of figures and graphics that illustrate this trend.

Mr. Chairman, conventional wisdom tells us that statistics can support different and sometimes even opposing conclusions.

* Mr. Rafael Grossi, Minister, Embassy of Argentina, Brussels.

When it comes to the levels of participation in the Register, some view the bottle as half full, but others view it as half empty. What is important in my view is that the Register has maintained a fairly consistent level of participation that allows us to observe what the Register covers on the qualitative side, which is the great bulk of arms trade in the seven categories of conventional weapons as almost every significant supplier and recipient of such systems submit their reports regularly.

But of course the goal of universal participation has not yet been reached.

Gaining wider participation in the Register is of the highest importance.

Greater awareness of the functioning of the Register and a deeper familiarity with its procedures are necessary. Every effort should be made to make sure that we reach out to those, that for different reasons, may have chosen not to participate or do it on an irregular basis. In this context, it is worth noting that many States which do not participate would likely fall in the category of “nil” reporters; these are countries that simply do not buy or sell in the seven categories.

After looking into all these problems the Group has put forward a number of recommendations, which I will refer to shortly.

The systematic study of the figures and submissions by States have also led us to the conclusion that many States are willing to give more information on their transfers by using the “remarks” column in the Reporting format, and by providing the type and the designation of the transferred equipment. This is a most encouraging political message in favour of transparency and predictability.

Development of the Register

The original resolution 46/36/L, approved by the General Assembly in 1991, initiated a dynamic process based on provisions for expansion through the addition of further categories of equipment, the inclusion of data on military holdings, and procurement through national production. Since then, successive reviews have tackled this question without succeeding in efforts to create such an expansion.

Aware of the underlying political differences on this matter, our Group engaged in an extensive and detailed technical examination of the seven categories. We studied the present definitions in order to establish their validity in the present security and technological environment. We hope that our report will benefit from this effort since an attempt was made for the first time to systematically expose some of the issues affecting the relevance of each of the seven categories in view of the evolution that took place since the establishment of the Register almost ten years ago.

It is our hope that these elements will be taken up in future reviews so that the Register will adapt to an ever-changing environment.

Obsolescence is a danger that we have to avoid if we want the system to be meaningful and relevant at the military level.

Nobody wants a Register that deals with equipment to be superseded by technological progress, or by the emergence of new concepts that affect the characterization of large destabilizing categories of equipment, which lies at the origin of this mechanism.

Along with the technical discussions, the question pertaining to the expansion of the scope was again considered by the Group.

Although the objective of an early expansion has not yet been achieved, additional degrees of transparency remain firmly inscribed in the Register's agenda. But that objective is not easy to achieve. As we all know, this instrument deals with armaments and any substantial modification depends on the political and security climate of the times.

As the Register continues accumulating data and information in increasingly good quality, I can only hope that participating States will soon agree on taking an additional step forward in the direction of confidence and transparency.

Regional aspects

This time the report includes a well-focused region-by-region evaluation where variations in participation are clearly exposed. This approach should allow us to undertake the necessary actions to promote the Register in different parts of the world according to their specific priorities and needs.

I am particularly encouraged by the fact that our Group has unanimously recommended the holding of regional or subregional seminars and workshops to promote greater participation. These activities, which will start early next year, are critical in increasing the number of participants.

In the early years of the Register, a number of such meetings were organized in different parts of the world, which enabled the newly created mechanism to rise to an unprecedented height for this kind of exercise. Now, almost ten years after the beginning, it is time to go out again and promote, explain, and recruit more countries. I am happy to see that the important States are playing a leading role in the field of transparency in armaments, and they have already pledged their support to facilitate the Department for Disarmament Affairs task as the focal point in this promotional effort.

Finally, the recommendations section of the report introduces a number of practical measures aimed at facilitating States participation, and the Secretariat's handling and management of the Register.

The report is there for your consideration and it speaks for itself. It is the result of a hard-sought consensus among a number of extremely qualified experts whom I have had the honour to coordinate in our joint efforts over the past few months.

We have spared no effort to respond in the best possible manner to the mandate given to us by the General Assembly.

Before I conclude, allow me to share with you some personal thoughts on the exercise we have just concluded and the road ahead for the Register.

The Register is now a consolidated integral part of the security landscape. It is functioning, and, as I said before, currently covers a large portion of the legitimate trade in seven important categories of conventional weaponry.

But we can do better.

Near universality is what we want.

This is why we have to go out to the regions to make a serious effort in favour of the widest possible participation.

An up-to-date, relevant Register is what we want.

This is why our technical deliberations—long overdue in the eyes of some, premature for others—need to continue. I encourage you to bring this message to your respective capitals, as we will have to prepare for the next phase in the gradual improvement of the Register. Our discussions indicated that there are zones where the Register approaches the realms of small arms and light weapons. A loophole has been identified and action will have to be taken.

The high hopes of the international community are placed on next year's conference on illicit trade in small arms and light weapons.

Our deliberations have shown great concern in vast areas of the world about the effects of transfers of systems, which lie somewhere in-between what is small and medium size and the categories covered by the United Nations Register.

We hope that the 2001 conference may benefit from our conclusions in this regard.

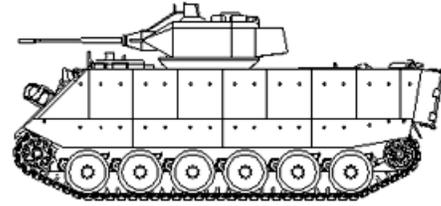
Transparency on weapons of mass destruction has been a recurrent issue since the inception of the Register. This time we analyzed this question again and came to the agreed conclusion that this issue needs to be considered by the General Assembly as our Register covers only conventional armaments.

This clear division of labour will surely benefit all interested parties as it allows the Register to proceed and places a problem of global concern in the right forum.

In closing, let me extend my warmest thanks to the experts who participated in this exercise and made this report possible. I would like to name them one by one: Colonel Gerhard Schepe from Germany, Ambassador Maria Krasnohorska from the Slovak Republic, Ambassador Mitsuro Donowaki from Japan, Onno Kervers from the Kingdom of the Netherlands, Lt Colonel José Rufino Menéndez Hernández from Cuba, Mansour Salsabili from the Islamic Republic of Iran, Giora Becher from Israel, Pyotr Litavrin from the Russian Federation, Debra Price from Canada, Satish Mehta from India, Jyrki Iivonen from Finland, Shabhaz from Pakistan, María Angélica Arce de Jeannet from Mexico, Wu Haitao from China, Paulo Cordeiro from Brazil, Christine Seve from France, Colonel Falah al-Jamán from Jordan, Patrick Tsholetsane from South Africa, Giovanni Snidle from the United States of America, Andrew Wood from the United Kingdom, and Anthony Oni from Nigeria.

Mr. Chairman, the Register of Conventional Arms is a practical, yet unique instrument in the family of confidence-building measures. I am convinced that as time passes we will fully realize how useful it is and, more importantly, how significant it could still become in our efforts to promote peace and security around the world.

This report is a humble step in that direction.



Part IV
BASIS FOR SUBMITTING RETURNS
BY MEMBER STATES

BASIS FOR SUBMITTING RETURNS BY MEMBER STATES

The United Nations Register of Conventional Arms was established under General Assembly resolution 46/36 L of 9 December 1991. Reporting by Member States to the Register is based on that resolution and its annex, as well as on the following documents:

- Resolution 47/36 L of 15 December 1992, which adjusted the annex to resolution 46/36 L;
- Resolution 52/38 R of 8 January 1998, which endorsed the adjustments for reporting to the Register recommended under paragraphs 64 of the Report of the 1997 Group of Governmental Experts on the continuing operation of the United Nations Register of Conventional Arms and its further development;
- Resolution 55/33 U of 20 November 2000, which endorsed the adjustments for reporting to the Register recommended under paragraphs 94 of the Report of the 2000 Group of Governmental Experts on the continuing operation of the United Nations Register of Conventional Arms and its further development.

These documents are reproduced below.

Resolution 46/36 L¹

6 December 1991

Transparency in armaments

The General Assembly,

Realizing that excessive and destabilizing arms build-ups pose a threat to national, regional and international peace and security, particularly by aggravating tensions and conflict situations, giving rise to serious and urgent concerns,

Noting with satisfaction that the current international environment and recent agreements and measures in the field of arms limitation and disarmament make it a propitious time to work towards easing tensions and a just resolution of conflict situations, as well as more openness and transparency in military matters,

Recalling the consensus among Member States on implementing confidence-building measures, including transparency and exchange of relevant information on armaments, likely to reduce the occurrence of dangerous misperceptions about the intentions of States and to promote trust among States,

Considering that increased openness and transparency in the field of armaments could enhance confidence, ease tensions, strengthen regional and international peace and security and contribute to restraint in military production and the transfer of arms,

Realizing the urgent need to resolve underlying conflicts, to diminish tensions and to accelerate efforts towards general and complete disarmament under strict and effective international control with a

¹ The resolution was adopted by 150 Member States voting in favour, none against, and two abstaining.

view to maintaining regional and international peace and security in a world free from the scourge of war and the burden of armaments,

Recalling also that in paragraph 85 of the Final Document of the Tenth Special Session of the General Assembly it urged major arms supplier and recipient countries to consult on the limitation of all types of international transfer of conventional arms,

Disturbed by the destabilizing and destructive effects of the illicit arms trade, particularly for the internal situation of affected States and the violation of human rights,

Bearing in mind that, in accordance with the Charter of the United Nations, Member States have undertaken to promote the establishment and maintenance of international peace and security with the least diversion for armaments of the world's human and economic resources, and that the reduction of world military expenditures could have a significant positive impact for the social and economic development of all peoples,

Reaffirming the important role of the United Nations in the field of disarmament and the commitment of Member States to take concrete steps in order to strengthen that role,

Recalling its resolution 43/75 I of 7 December 1988,

Welcoming the study submitted by the Secretary-General, pursuant to paragraph 5 of resolution 43/75 I and prepared with the assistance of governmental experts, on ways and means of promoting transparency in international transfers of conventional arms, as well as the problem of the illicit arms trade, taking into account views of Member States and other relevant information,

Recognizing the major contribution of an enhanced level of transparency in armaments to confidence-building and security among States, and also recognizing the urgent need to establish, under the auspices of the United Nations, as a first step in this direction, a universal and non-discriminatory register to include data on international arms transfers as well as other interrelated information provided to the Secretary-General,

Stressing the importance of greater transparency in the interest of promoting readiness to exercise restraint in accumulation of armaments,

Considering that the standardized reporting of international arms transfers together with the provision of other interrelated information to a United Nations register will constitute further important steps forward in the promotion of transparency in military matters and, as such, will enhance the role and effectiveness of the United Nations in promoting arms limitation and disarmament, as well as in maintaining international peace and security;

Recognizing also the importance of the prevention of the proliferation of nuclear weapons and other weapons of mass destruction,

1. *Recognizes* that an increased level of openness and transparency in the field of armaments would enhance confidence, promote stability, help States to exercise restraint, ease tensions and strengthen regional and international peace and security;

2. *Declares its determination* to prevent the excessive and destabilizing accumulation of arms, including conventional arms, in order to promote stability and strengthen regional or international peace

and security, taking into account the legitimate security needs of States and the principle of undiminished security at the lowest possible level of armaments;

3. *Reaffirms* the inherent right to individual or collective self-defence recognized in Article 51 of the Charter of the United Nations, which implies that States also have the right to acquire arms with which to defend themselves;

4. *Reiterates its conviction*, as expressed in its resolution 43/75 I, that arms transfers in all their aspects deserve serious consideration by the international community, *inter alia*, because of:

(a) Their potential effects in further destabilizing areas where tension and regional conflict threaten international peace and security and national security;

(b) Their potentially negative effects on the progress of the peaceful social and economic development of all peoples;

(c) The danger of increasing illicit and covert arms trafficking;

5. *Calls upon* all Member States to exercise due restraint in exports and imports of conventional arms, particularly in situations of tension or conflict, and to ensure that they have in place an adequate body of laws and administrative procedures regarding the transfer of arms and to adopt strict measures for their enforcement;

6. *Expresses its appreciation* to the Secretary-General for his study on ways and means of promoting transparency in international transfers of conventional arms, which also addressed the problem of the illicit arms trade;

7. *Requests* the Secretary-General to establish and maintain at United Nations Headquarters in New York a universal and non-discriminatory Register of Conventional Arms, to include data on international arms transfers as well as information provided by Member States on military holdings, procurement through national production and relevant policies, as set out in paragraph 10 below and in accordance with procedures and input requirements initially comprising those set out in the annex to the present resolution and subsequently incorporating any adjustments to the annex decided upon by the General Assembly at its forty-seventh session in the light of the recommendations of the panel referred to in paragraph 8 below;

8. *Also requests* the Secretary-General, with the assistance of a panel of governmental technical experts to be nominated by him on the basis of equitable geographical representation, to elaborate the technical procedures and to make any adjustments to the annex to the present resolution necessary for the effective operation of the Register, and to prepare a report on the modalities for early expansion of the scope of the Register by the addition of further categories of equipment and inclusion of data on military holdings and procurement through national production, and to report to the General Assembly at its forty-seventh session;

9. *Calls upon* all Member States to provide annually for the Register data on imports and exports of arms in accordance with the procedures established by paragraphs 7 and 8 above;

10. *Invites* Member States, pending the expansion of the Register, also to provide to the Secretary-General, with their annual report on imports and exports of arms, available background information regarding their military holdings, procurement through national production and relevant

policies, and requests the Secretary-General to record this material and to make it available for consultation by Member States at their request;

11. *Decides*, with a view to future expansion, to keep the scope of and the participation in the Register under review, and, to this end:

(a) *Invites* Member States to provide the Secretary-General with their views, not later than 30 April 1994, on:

- (i) The operation of the Register during its first two years;
- (ii) The addition of further categories of equipment and the elaboration of the Register to include military holdings and procurement through national production;

(b) *Requests* the Secretary-General, with the assistance of a group of governmental experts convened in 1994 on the basis of equitable geographical representation, to prepare a report on the continuing operation of the Register and its further development, taking into account the work of the Conference on Disarmament as set forth in paragraphs 12 to 15 below and the views expressed by Member States, for submission to the General Assembly with a view to a decision at its forty-ninth session;

12. *Requests* the Conference on Disarmament to address, as soon as possible, the question of the interrelated aspects of the excessive and destabilizing accumulation of arms, including military holdings and procurement through national production, and to elaborate universal and non-discriminatory practical means to increase openness and transparency in this field;

13. *Also requests* the Conference on Disarmament to address the problems of, and the elaboration of practical means to increase, openness and transparency related to the transfer of high technology with military applications and to weapons of mass destruction, in accordance with existing legal instruments;

14. *Invites* the Secretary-General to provide to the Conference on Disarmament all relevant information, including, *inter alia*, views submitted to him by Member States and information provided under the United Nations system for the standardized reporting of military expenditures, as well as on the work of the Disarmament Commission under its agenda item entitled "Objective information on military matters";

15. *Further requests* the Conference on Disarmament to include in its annual report to the General Assembly a report on its work on this issue;

16. *Invites* all Member States, in the meantime, to take measures on a national, regional and global basis, including within the appropriate forums, to promote openness and transparency in armaments;

17. *Calls upon* all Member States to cooperate at a regional and subregional level, taking fully into account the specific conditions prevailing in the region or subregion, with a view to enhancing and coordinating international efforts aimed at increased openness and transparency in armaments;

18. *Also invites* all Member States to inform the Secretary-General of their national arms import and export policies, legislation and administrative procedures, both as regards authorization of arms transfers and prevention of illicit transfers;

19. *Requests* the Secretary-General to report to the General Assembly at its forty-seventh session on progress made in implementing the present resolution, including relevant information provided by Member States;

20. *Notes* that effective implementation of the present resolution will require an up-to-date database system in the Department for Disarmament Affairs of the Secretariat;

21. *Decides* to include in the provisional agenda of its forty-seventh session an item entitled “Transparency in armaments”.

Annex²

Register of Conventional Arms

1. The Register of Conventional Arms (“the Register”) shall be established, with effect from 1 January 1992, and maintained at the Headquarters of the United Nations in New York.

2. Concerning international arms transfers:

(a) Member States are requested to provide data for the Register, addressed to the Secretary-General, on the number of items in the following categories of equipment imported into or exported from their territory:

I. Battle tanks

A tracked or wheeled self-propelled armoured fighting vehicle with high cross-country mobility and a high level of self-protection, weighing at least 16.5 metric tonnes unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre.

II. Armoured combat vehicles

A tracked or wheeled self-propelled vehicle, with armoured protection and cross-country capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 20 millimetres calibre or an anti-tank missile launcher.

III. Large calibre artillery systems

A gun, howitzer, artillery piece combining the characteristics of a gun and a howitzer, mortar or multiple-launch rocket system, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 100 millimetres and above.

² These definitions were amended by resolution 47/52 L as a result of the recommendations of the 1992 Panel of Experts (A/47/342), which were reaffirmed by the 1994 and 1997 Group of Governmental Experts (A/49/316 and A/52/316, respectively).

IV. Combat aircraft

A fixed-wing or variable-geometry wing aircraft armed and equipped to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons, or other weapons of destruction.

V. Attack helicopters

A rotary-wing aircraft equipped to employ anti-armour, air-to-ground, or air-to-air guided weapons and equipped with an integrated fire control and aiming system for these weapons.

VI. Warships

A vessel or submarine with a standard displacement of 850 metric tonnes or above, armed or equipped for military use.

VII. Missiles or missile systems

A guided rocket, ballistic or cruise missile capable of delivering a payload to a range of at least 25 kilometres, or a vehicle, apparatus or device designed or modified for launching such munitions.

(b) Data on imports provided under the present paragraph shall also specify the supplying State; data on exports shall also specify the recipient State and the State of origin if not the exporting State;

(c) Each Member State is requested to provide data on an annual basis by 30 April each year in respect of imports into and exports from their territory in the previous calendar year;

(d) The first such registration shall take place by 30 April 1993 in respect of the calendar year 1992;

(e) The data so provided shall be recorded in respect of each Member State;

(f) Arms “exports and imports” represent in the present resolution, including its annex, all forms of arms transfers under terms of grant, credit, barter or cash.

3. Concerning other interrelated information:

(a) Member States are invited also to provide to the Secretary-General available background information regarding their military holdings, procurement through national production, and relevant policies;

(b) The information so provided shall be recorded in respect of each Member State.

4. The Register shall be open for consultation by representatives of Member States at any time.

5. In addition, the Secretary-General shall provide annually a consolidated report to the General Assembly of the data registered, together with an index of the other interrelated information.

Resolution 47/52 L³

15 December 1992

Transparency in armaments

The General Assembly,

Recalling its resolution 46/36 L of 9 December 1991 entitled “Transparency in armaments”,

Continuing to take the view that an enhanced level of transparency in armaments contributes greatly to confidence-building and security among States and that the establishment of the Register of Conventional Arms, contained in the annex to resolution 46/36 L, constitutes an important step forward in the promotion of transparency in military matters,

Welcoming the Secretary-General’s report on the technical procedures and adjustments to the annex to resolution 46/36 L necessary for the effective operation of the Register and on the modalities for its early expansion,

Welcoming also the guidelines and recommendations for objective information on military matters as adopted by consensus in the Disarmament Commission,

Welcoming further the report of the Conference on Disarmament on its agenda item entitled “Transparency in armaments”,

1. *Declares* its determination to ensure the effective operation of the Register of Conventional Arms as provided for in paragraphs 7, 9 and 10 of its resolution 46/36 L;
2. *Endorses* the recommendations contained in the Secretary-General's report on the technical procedures and adjustments to the annex to the above-mentioned resolution necessary for the effective operation of the Register;
3. *Notes* the suggestions offered in the report as a first step in the consideration of modalities for early expansion of the Register;
4. *Calls upon* all Member States to provide the requested data and information to the Secretary-General by 30 April annually, beginning in 1993;
5. *Encourages* Member States to inform the Secretary-General of their national arms import and export policies, legislation and administrative procedures, both as regards authorization of arms transfers and prevention of illicit transfers, in conformity with paragraph 18 of its resolution 46/36 L;
6. *Reaffirms* its request to the Secretary-General to prepare a report on the continuing operation of the Register and its further development with the assistance of a group of governmental experts convened in 1994 on the basis of equitable geographical representation;
7. *Requests* the Secretary-General to ensure that sufficient resources are made available for the United Nations Secretariat to operate and maintain the Register;

³ The resolution was adopted without a vote.

8. *Encourages* the Conference on Disarmament to continue its work undertaken in response to the requests contained in paragraphs 12 to 15 of resolution 46/36 L;

9. *Requests* the Secretary-General to report on progress made in implementing the present resolution to the General Assembly at its forty-eighth session;

10. *Decides* to include in the provisional agenda of its forty-eighth session the item entitled “Transparency in armaments”.

Resolution 52/38 R⁴

8 January 1998

Transparency in armaments

The General Assembly,

Recalling its resolutions 46/36 L of 9 December 1991, 47/52 L of 15 December 1992, 48/75 E of 16 December 1993, 49/75 C of 15 December 1994, 50/70 D of 12 December 1995 and 51/45 H of 10 December 1996,

Continuing to take the view that an enhanced level of transparency in armaments contributes greatly to confidence-building and security among States and that the establishment of the United Nations Register of Conventional Arms constitutes an important step forward in the promotion of transparency in military matters,

Welcoming the consolidated report of the Secretary-General on the Register, A/52/312 and Corr.1 and 2 and Add.1 and 2, which includes the returns of Member States for 1996,

Welcoming also the response of Member States to the request contained in paragraphs 9 and 10 of resolution 46/36 L to provide data on their imports and exports of arms, as well as available background information regarding their military holdings, procurement through national production and relevant policies,

Welcoming further the report of the Secretary-General on the continuing operation of the Register and its further development, A/52/316,

Stressing that the continuing operation of the Register and its further development should be reviewed in order to secure a Register that is capable of attracting the widest possible participation,

1. *Reaffirms its determination* to ensure the effective operation of the United Nations Register of Conventional Arms as provided for in paragraphs 7 to 10 of resolution 46/36 L;

2. *Takes note* of the report of the Secretary-General on the continuing operation of the Register and its further development, and endorses the recommendations contained therein;

⁴ The resolution, as a whole, was adopted by 155 Member States voted in favour, none against, and 11 abstained. On operative paragraph 5 (b), 153 Member States voted in favour, none against, and nine abstained. On operative paragraph 7, 151 Member States voted in favour, none against, and 15 abstained.

3. *Calls upon* Member States, with a view to achieving universal participation, to provide the Secretary-General by 31 May annually with the requested data and information for the Register, including nil reports if appropriate, on the basis of resolutions 46/36 L and 47/52 L and the recommendations contained in paragraph 64 of the 1997 report of the Secretary-General on the continuing operation of the Register and its further development;

4. *Invites* Member States in a position to do so, pending further development of the Register, to provide additional information on procurement from national production and military holdings and to make use of the "Remarks" column in the standardized reporting form to provide additional information such as types or models;

5. *Decides*, with a view to further development of the Register, to keep the scope of and participation in the Register under review, and to that end:

(a) *Requests* Member States to provide the Secretary-General with their views on the continuing operation of the Register and its further development and on transparency measures related to weapons of mass destruction;

(b) *Requests* the Secretary-General, with the assistance of a group of governmental experts to be convened in the year 2000 on the basis of equitable geographical representation, to prepare a report on the continuing operation of the Register and its further development, taking into account the work of the Conference on Disarmament, the views expressed by Member States and his reports on the continuing operation of the Register and its further development, A/49/316 and A/52/316 with a view to a decision at its fifty-fifth session;

6. *Requests* the Secretary-General to implement the recommendations within his competence contained in his 1997 report on the continuing operation of the Register and its further development and to ensure that sufficient resources are made available for the Secretariat to operate and maintain the Register;

7. *Invites* the Conference on Disarmament to consider continuing its work undertaken in the field of transparency in armaments;

8. *Reiterates its call upon* all Member States to cooperate at the regional and subregional levels, taking fully into account the specific conditions prevailing in the region or subregion, with a view to enhancing and coordinating international efforts aimed at increased openness and transparency in armaments;

9. *Requests* the Secretary-General to report to the General Assembly at its fifty-third session on progress made in implementing the present resolution;

10. *Decides* to include in the provisional agenda of its fifty-third session the item entitled "Transparency in armaments".

Report of the 1997 Group of Governmental Experts on the continuing operation of the United Nations Register of Conventional Arms and its further development (A/52/316)⁵

Relevant sections of paragraph 64 under “Recommendations”:

The Group recommends that:

(a) Member States participate in the Register with a view to achieving the shared goal of universal participation in this instrument;

(b) Member States be reminded of the importance of participating in the Register, both in reporting data and information and in making “nil” reports on exports and imports;

(c) Member States nominate a national point of contact for matters connected with the Register and that details on the contact point be sent with the annual report on the understanding that this information will be held by the Secretariat and provided on request to Governments only; furthermore, the Secretariat should maintain an updated list of national points of contact and circulate it to all Member States;

(d) The annual due date for reporting be changed from 30 April to 31 May but that Member States should be encouraged to report promptly in order to help ensure the early dissemination to Governments of the data and information in the reports;

(e) The existing reporting format and explanatory notes continue to be used but amended to take account of the recommendation in subparagraph (c) above, to note the national definitions of a transfer and to indicate changes in national policies, as shown in appendix II;

(f) Member States in a position to do so should make use of the “Remarks” column in the standardized reporting form to provide additional information, such as types or models;

Report of the 2000 Group of Governmental Experts on the continuing operation of the United Nations Register of Conventional Arms and its further development (A/55/281)⁶

Relevant sections of paragraph 94 under “Recommendations”:

The Group recommends that:

(a) Member States participate in the United Nations Register of Conventional Arms with a view to achieving the shared goal of universal participation in this instrument;

(b) Member States be reminded of the importance of participating in the Register, both in reporting data and information, and in making “nil” reports on imports and exports of conventional weapons covered by the Register;

⁵ The recommendations of the 1997 Group of Governmental Experts were endorsed by General Assembly resolution A/52/38 R.

⁶ The recommendations of the 2000 Group of Governmental Experts were endorsed by General Assembly resolution 55/33/U.

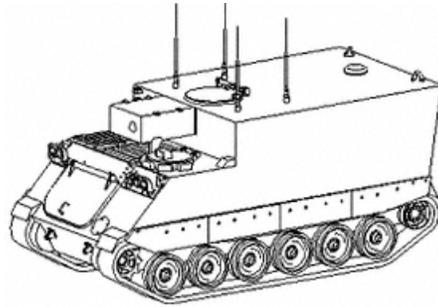
(c) Member States in a position to do so should make use of the “Remarks” column in the standardized reporting form to provide additional data, such as types or models;

(d) Member States should be encouraged to report promptly in order to help ensure the early dissemination to Governments of the data and the information in the reports;

(e) Member States should nominate a national point of contact for matters connected with the Register and that details on the contact point be sent with the annual submission on the understanding that this information will be held by the Secretariat and provided on request to Governments only; furthermore, the Secretariat should maintain an updated list of national points of contact and circulate it to all Member States;

(f) The note verbale, which the Secretariat sends annually to the member States, along with the standard reporting forms, should also include an attachment for the filing of “nil” returns by States that do not have transfers to report. This attachment should read as follows: “*The Government of ... in reference to General Assembly resolution... confirms that it has neither exported nor imported any equipment in the seven categories of the United Nations Register of Conventional Arms for the calendar year... and therefore submits a “nil” return (emphasis added).*” The text of the note verbale should, accordingly, contain a reference to the attached form for reporting “nil” returns.

*
* * *



Part V
REPORTING FORMS
FOR THE REGISTER

REPORTING FORMS FOR THE REGISTER*

Annex I

Standardized form for reporting international transfers of conventional arms (exports)^a

EXPORTS

Report of international conventional arms transfers
(according to United Nations General Assembly resolution 46/36 L)

Reporting country: _____

National point of contact: _____
(Organization, telephone, fax) (FOR GOVERNMENTAL USE ONLY)

Calendar year: _____

<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E^b</i>	<i>Remarks^c</i>	
<i>Category (I-VII)</i>	<i>Exporter State(s)</i>	<i>Number of items</i>	<i>State of origin (if not exporter)</i>	<i>Intermediate location (if any)</i>	<i>Description of item</i>	<i>Comments on the transfer</i>
I. Battle tanks						
II. Armoured combat vehicles						
III. Large calibre artillery systems						
IV. Combat aircraft						
V. Attack helicopters						
VI. Warships						
VII. Missiles and missile launchers ^d						

National criteria on transfers: _____
The nature of information provided should be indicated in accordance with explanatory notes *e* and *f*.

* See Appendix II of the report of the 2000 Group of Governmental Experts (A/55/281).

Explanatory notes

^a Member States that do not have anything to report should file a “nil” report clearly stating that no exports or imports have taken place in any of the categories during the reporting period.

^b International arms transfers involve, in addition to the physical movement of equipment into or from national territory, the transfer of title to and control over the equipment. Member States are invited to provide with their return a concise explanation of national criteria used to determine when an arms transfer becomes effective. (See paragraph 42 of the annex to document A/49/316.)

^c In the “Remarks” column Member States may wish to describe the item transferred by entering the designation, type, model or any other information considered relevant. Member States may also wish to use the “Remarks” column to explain or clarify aspects relevant to the transfer.

^d Multiple-launch rocket systems are covered by the definition of category III. Rockets qualifying for registration are covered under category VII. (See section VII, page 5.)

^e Check any of the following provided as part of your submission:

	Check
(i) Annual report on imports of arms	—
(ii) Annual report on exports of arms	—
(iii) Available background information on military holdings	—
(iv) Available background information on procurement through national production	—
(v) Available background information on relevant policies and/or national legislation	—
(vi) Other (please describe)	—

^f When reporting transfers, which of the following criteria, drawn from paragraph 42 of the annex to document A/49/316, were used:

	Check
(i) Departure of equipment from the exporter's territory	—
(ii) Arrival of equipment in the importer's territory	—
(iii) Transfer of title	—
(iv) Transfer of control	—
(v) Other (please provide brief description below)	—

Annex II

Standardized form for reporting international transfers of conventional arms (imports)^a

IMPORTS

Report of international conventional arms transfers
(according to United Nations General Assembly resolution 46/36 L)

Reporting country: _____

National point of contact: _____
(Organization, telephone, fax) (FOR GOVERNMENTAL USE ONLY)

Calendar year: ____

<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>	<i>E^b</i>	<i>Remarks^c</i>	
<i>Category (I-VII)</i>	<i>Exporter State(s)</i>	<i>Number of items</i>	<i>State of origin (if not exporter)</i>	<i>Intermediate location (if any)</i>	<i>Description of item</i>	<i>Comments on the transfer</i>
I. Battle tanks						
II. Armoured combat vehicles						
III. Large calibre artillery systems						
IV. Combat aircraft						
V. Attack helicopters						
VI. Warships						
VII. Missiles and missile launchers ^d						

National criteria on transfers: _____

The nature of information provided should be indicated in accordance with explanatory notes *e* and *f*.

Explanatory notes

^a Member States that do not have anything to report should file a “nil” report clearly stating that no exports or imports have taken place in any of the categories during the reporting period.

^b International arms transfers involve, in addition to the physical movement of equipment into or from national territory, the transfer of title to and control over the equipment. Member States are invited to provide with their return a concise explanation of national criteria used to determine when an arms transfer becomes effective. (See paragraph 42 of the annex to document A/49/316.)

^c In the “Remarks” column Member States may wish to describe the item transferred by entering the designation, type, model or any other information considered relevant. Member States may also wish to use the “Remarks” column to explain or clarify aspects relevant to the transfer.

^d Multiple-launch rocket systems are covered by the definition of category III. Rockets qualifying for registration are covered under category VII. (See section VII, page 5.)

^e Check any of the following provided as part of your submission:

	<i>Check</i>
(i) Annual report on imports of arms	—
(ii) Annual report on exports of arms	—
(iii) Available background information on military holdings	—
(iv) Available background information on procurement through national production	—
(v) Available background information on relevant policies and/or national legislation	—
(vi) Other (please describe)	—

^f When reporting transfers, which of the following criteria, drawn from paragraph 42 of the annex to document A/49/316, were used:

	<i>Check</i>
(i) Departure of equipment from the exporter's territory	—
(ii) Arrival of equipment in the importer's territory	—
(iii) Transfer of title	—
(iv) Transfer of control	—
(v) Other (please provide brief description below)	—

SIMPLIFIED FORM FOR SUBMITTING “NIL” RETURNS
ON EXPORTS AND IMPORTS⁷

The Government of, in reference to General Assembly resolution of, confirms that it has neither exported nor imported any equipment in the seven categories of the United Nations Register of Conventional Arms for the calendar year, and therefore submits a “nil” return.

*
* * *

⁷ The simplified form for reporting “nil” returns was recommended by the 2000 Group of Governmental Experts. The recommendations contained in the report A/55/281 was endorsed by General Assembly resolution A/55/33 U of 20 November 2000.