SUBJECT: Submission of the report of the Secretary-General on Resolution 71/44 on “Transparency in armaments”

The Office for Disarmament Affairs presents its compliments to the Permanent Missions of Member States to the United Nations and has the honour to refer to resolution 71/44 entitled “Transparency in armaments” (www.un.org/disarmament/register), adopted by the General Assembly on 5 December 2016. This resolution relates to the United Nations Register of Conventional Arms (UNROCA).

By operative paragraphs 4, 5 and 6 (a) of the resolution, respectively, the General Assembly:

“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 […];

Invites Member States in a position to do so, pending further development of the Register, to provide additional information on procurement through national production and military holdings as part of their background information and to make use of the de facto reporting form, or any other method they deem appropriate, for the respective elements;

Calls upon Member States to submit their views on the continuing operation of the Register and its further development, including on whether the absence of small arms and light weapons as a main category in the Register has limited its relevance and directly affected decisions on participation, by completing the questionnaire to be dispatched by the Office for Disarmament Affairs of the Secretariat”.

1. National report

The Office for Disarmament Affairs stands ready to receive Member States’ national reports to UNROCA including on transfers of small arms and light weapons, pertaining to calendar year 2017.

A nil report can be submitted by Governments that last year did not record any imports or exports under UNROCA’s seven main categories of conventional arms, but are nevertheless committed to the principle of transparency in armaments.

Annexes enclosed
Nil reports submitted for calendar year 2017 will remain valid for three years, provided that the reporting State does not register any export or import in the 3-year period. Accordingly, the nil-reporting State will be recorded, by default, as having reported to UNROCA every year during the 3-year period.

A nil report on the seven main categories of conventional weapons may still include information on international transfers of small arms and light weapons, and on issues such as national arms holdings and national arms export policies.

In line with the recommendations of the 2016 Group of Governmental Experts, Member States are strongly encouraged, on a trial basis, to provide information on their international transfers of small arms and light weapons in parallel with the seven categories of the Register.

National reporting is done in a secure web-based environment. Please request your country’s unique user account name and password through conventionalarms-unoda@un.org. Subsequently, your national report can be submitted through www.un.org/disarmament/register.

Only Permanent Missions or national points of contact on UNROCA can request the password. A list of national points of contact is attached to this note.


2. Questionnaire

Resolution 71/44 mentions in addition to the national report a questionnaire. The questionnaire was developed and agreed by the 2016 Group of Governmental Experts, and endorsed by the resolution. It was circulated to all Member States, in 2017, as an annex to the note verbale ODA/07-2017/TIA, dated 20 February 2017.

To date, seven Member States have forwarded their completed questionnaires to UNODA. Member States that have not already done so are called upon to forward their completed questionnaire to conventionalarms-unoda@un.org by 31 May 2018. A copy of the questionnaire is annexed to this note.

The Office for Disarmament Affairs avails itself of this opportunity to renew to the Permanent Missions of Member States to the United Nations the assurances of its highest consideration.

7 February 2018

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2 Finland, Germany, Italy, Romania, Slovakia, Turkey and Ukraine.
This questionnaire was developed by the above-mentioned Group of Governmental Experts. The UN Office for Disarmament Affairs (UNODA) provides services of distribution and collection.

Ideally, the questionnaire is filled out and submitted by your country’s national point of contact. The replies will inform the next Group of Governmental Experts.

The questionnaire can be filled out electronically, saved, and submitted to UNODA at conventionalarms-unoda@un.org. Alternatively, it can be printed, filled out on paper, scanned and submitted to the same address.

In adopting A/71/44, Member States have endorsed the call to complete this questionnaire; your participation will be appreciated.

Details of questionnaire respondent:

Name: ___________________________ Ministry/Organization: ___________________________
Position: ___________________________ Telephone Number: ___________________________
Department: ___________________________ Email: ___________________________

Section 1 – Process and challenges for compiling national reports for UNROCA

1. Has your State developed a national mechanism for the compilation and submission of a national report for UNROCA?
   - Yes [ ]
   - No [ ]

2. Does your State compile and submit a national report on international transfers of conventional weapons for another international or regional instrument?
   - Yes [ ]
   - No [ ]
   - If yes, please specify which other instrument(s) ___________________________

3. Does your State have sufficient resources to compile data for your national report?
   - Yes [ ]
   - No [ ]

4. Does your State face technical challenges when compiling your data?
   - Yes [ ]
   - No [ ]
   - If yes, please specify the technical challenges you face. ____________________________________________________________________________

5. Does your State require technical assistance in compiling data to the UNROCA?
   - Yes [ ]
   - No [ ]
   - If yes, would your country want the UN Secretariat to contact you to follow up regarding your assistance needs?
     - Yes [ ]
     - No [ ]

Section 2 – National reporting authority

1. Has your State appointed a national point of contact (POC) for UNROCA?
   - Yes [ ]
   - No [ ]
   - If yes, but your national POC is not on the attached list of national points of contact, please share the reason(s) why this information was not submitted to UNODA, if any ___________________________

If your national POC information needs updating, please do so (name of agency/unit and email) ___________________________

Please also provide information (name and email) on your preferred Mission POC in New York ___________________________

2. Who is responsible for compiling your national report for UNROCA?
   - National POC [ ]
   - Mission to the UN [ ]
Section 3 – Availability of online UNROCA resources

1. Are you aware that the UNODA website includes a standardised reporting form to assist in compiling and submitting annual reports (www.un.org/disarmament/register)?
   Yes ☐  No ☐

2. Are you aware that the UNODA website (www.un.org/disarmament/register) includes a tool to assist in compiling and submitting annual reports?
   Yes ☐  No ☐

3. Do you know that the UNODA website includes general guidelines on POC responsibilities?
   Yes ☐  No ☐

4. Do you find the interactive UNROCA database (www.unroca.org) useful for accessing data on international transfers of conventional arms?
   Yes ☐  No ☐  Please specify ☐

Section 4 - Expanding the scope

1. Does the inclusion “on a trial basis of small arms and light weapons in parallel with the existing 7 categories of the Register” help to increase the relevance of UNROCA?
   Yes ☐  No ☐

2. Would your state be in favour of the inclusion of small arms and light weapons as a new category of UNROCA?
   Yes ☐  No ☐  Undecided ☐
   If “no” or “undecided”, please elaborate ☐

3. Would your state be in favour of reporting any or all of the following on the same basis as international transfers of items covered by the existing seven categories of the UNROCA:
   Procurement through national production ☐ Yes ☐  No ☐
   Military holdings ☐ Yes ☐  No ☐
   Other ☐ Yes ☐  No ☐
   If yes for “other”, please specify ☐

Section 5 – Other inputs

1. Will your State submit an annual report to UNROCA by 31 May 2018?
   Yes ☐  No ☐
   If no, please specify why not ☐

2. Is the UNROCA a relevant instrument for your State?
   Yes ☐  No ☐
   If no, please specify why not ☐

3. UN General Assembly resolution 71/44 requests Member States to provide their views on the continuing operation of the Register and its further development. Please provide views: