International transfer of ammunition module
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Foreword

Ageing, unstable and excess ammunition stockpiles pose the dual hazards of illicit proliferation and accidental explosion, which have caused destabilization and humanitarian disaster in all regions of the world.

Crucial for adequate stockpile management is the identification of surpluses – that is, the portion of weapons and ammunition that does not constitute an operational need. When surpluses are not recognized, the entirety of the stockpile may continue to be seen as of operational value. Although not used, weapons and ammunition surpluses thus continue to fill warehouses and can thus pose a significant risk to safety and security.

Defective stockpile management has been assessed as the norm rather than the exception in many countries. Often it is not only surplus stocks that should be the focus of attention, but the lack of appropriate policy for stockpile management. Governments remain unaware of surpluses; their national stockpiles remain a risk to public safety; and diversion from warehouses feed into crime and armed violence.

In 2011, the United Nations developed the International Ammunition Technical Guidelines (IATG) to ensure that the United Nations as a whole consistently delivers high-quality advice and support in ammunition management. Many stakeholders, including international organizations, non-governmental entities and national authorities, use these guidelines.

The IATG, along with other conventional ammunition issues, are managed through the United Nations SaferGuard programme.

Taking into account the diversity in capacity of States, three levels of ascending comprehensiveness are offered in the IATG, referred to as “risk-reduction process levels” (RRPLs). These are indicated within each IATG as either LEVEL 1 (basic), LEVEL 2 (intermediate) or LEVEL 3 (advanced).

The aim of implementing partners should be to maintain stockpile management processes at RRPL 1 as a minimum. This will often reduce risk significantly. Ongoing and gradual improvements could then be made to the stockpile management infrastructure and processes as staff development improves and further resources become available. These additional actions would equate to RRPLs 2 and 3.

The RRPLs are determined by calculating a weighted score of questions about a particular ammunition stockpile. A checklist is available at: https://www.un.org/disarmament/un-saferguard/risk-reduction-process-levels/.

The IATG are reviewed on a regular basis to reflect developing ammunition stockpile management norms and practices, and to incorporate changes due to changing international regulations and requirements. The IATG are also available in multiple languages.

The latest version of each guideline, together with practical IATG implementation support tools, can be found at https://www.un.org/disarmament/un-saferguard/.
Introduction

Effective national controls over the import, export, transit, transhipment and brokering of ammunition are necessary to prevent excessive, destabilizing and illicit transfers of this ammunition, which can pose a serious threat to peace and security, especially in areas beset by conflict and by political and social tensions.

Such transfers can also fuel conflict, violent crime and instability; undermine sustainable development and facilitate grave abuses of human rights and serious violations of international humanitarian law. It is, therefore, a legitimate and urgent concern of the international community that States maintain effective national controls over international transfers of ammunition.

Almost all States maintain laws, regulations and administrative procedures to control the import, export and transit of arms and other military goods and technologies. However, many of these controls need to be strengthened and updated, specifically as they relate to ammunition, and need to be supplemented with effective controls over transhipment and brokering. The way in which all such transfer controls are enforced is also in need of strengthening.

The task of developing effective controls over the international transfer of ammunition is made more difficult by the lack of capacity in some States to put effective controls in place and to enforce them. This is often further compounded by a lack of transparency, which is characteristic of much of the international arms trade, and by limited levels of cooperation and harmonization of practices between States.

This task of developing effective ammunition transfer controls is particularly important, however, given that States that rarely participate in other areas of the conventional arms trade are often importers or exporters of ammunition. In addition, compared with other weapon systems, small arms ammunition is highly vulnerable to diversion to unauthorized users and uses.

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1 This IATG is mainly based on the contents of ISCAS 03.20 National controls over the international transfer of SALW and ISACS 03.21 National controls over the end-user and end-use of internationally transferred SALW as the principles and procedures are much alike.
International transfer of ammunition module

1 Scope

This IATG provides guidance on the development and implementation of effective and accountable controls over international transfers of ammunition. As such, it addresses national controls on the import, export, transit, transshipment, and brokering of ammunition, as well as issues relating to enforcement, international cooperation and public and parliamentary transparency.

This document focuses on the development of controls that will help prevent excessive, destabilizing and illicit transfers of ammunition and will allow for the prosecution of those who engage in such practices. It also focuses on enabling States to exercise restraint when it comes to transferring ammunition internationally in order to prevent transfers that fuel armed conflict or facilitate abuses of human rights or international humanitarian law.

This document is designed to assist government officials who are tasked with devising and implementing effective ammunition transfer controls, as well as officials of the United Nations and international and regional organizations, who support such efforts. It should also be of use to parliamentarians, ammunition manufacturers, nongovernmental organizations, etc. working to improve controls over the international transfer of ammunition.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

A list of normative references is given in Annex A. Normative references are important documents to which reference is made in this guide and which form part of the provisions of this guide.

A further list of informative references is given at Annex B in the form of a bibliography that lists additional documents that contain other useful information on the lotting and batching of conventional ammunition.

3 Terms and definitions

For the purposes of this guide the following terms and definitions, as well as the more comprehensive list given in IATG 01.40:2015(E) Terms, definitions and abbreviations, shall apply.

In all modules of the International Ammunition Technical Guidelines, the words ‘shall’, ‘should’, ‘may’ and ‘can’ are used to express provisions in accordance with their usage in ISO standards.

a) ‘shall’ indicates a requirement: It is used to indicate requirements strictly to be followed in order to conform to the document and from which no deviation is permitted.

b) ‘should’ indicates a recommendation: It is used to indicate that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required, or that (in the negative form, ‘should not’) a certain possibility or course of action is deprecated but not prohibited.

c) ‘may’ indicates permission: It is used to indicate a course of action permissible within the limits of the document.

d) ‘can’ indicates possibility and capability: It is used for statements of possibility and capability, whether material, physical or casual.
4 General Principles

4.1 General

The general principles contained in this clause shall apply to all international transfers of ammunition, i.e. import, export, transit, transhipment and brokering.

4.2 Transfer authorization process

4.2.1 General

All international transfers of ammunition shall be subject to prior, written authorization by the competent national authority in the State:

a) into which the ammunition is to be imported;
b) from which the ammunition is to be exported;
c) with jurisdiction over brokering activities;
d) through whose territory the ammunition is to transit (if applicable); and
e) on whose territory the ammunition is to be transhipped (if applicable).

4.2.2 Domestic source of authorizations

At the national level, responsibility for authorizing the import, export, transit, transhipment and brokering of ammunition should be centralized in a single national authority.

Where such responsibility is not centralized:

a) the number of State agencies mandated to issue such authorizations should be kept to a minimum;
b) there should be clear and direct lines of communication between these agencies;
c) information should be shared among these agencies on a regular basis regarding the import, export, transit, transhipment and brokering of ammunition;
d) within each agency, the number of officials mandated to sign transfer authorizations should be kept to a minimum; and
e) it should not be possible to acquire authorization to export ammunition from more than one State agency. The same should apply for import, transit, transhipment and brokering authorization.

4.2.3 Scope of authorizations

Authorization shall be required for the import, export, transit, transhipment and brokering of each consignment of ammunition, including:

a) unused, used and surplus\(^2\) ammunition;
b) State-to-State transfers;

\(^2\) Including the import, export, transit, transshipment and brokering of ammunition for disposal or destruction.
c) State-to-private transfers;
d) private-to-State transfers;
e) commercial sales (private-to-private);
f) leases;
g) licensed production; and
h) transfers of equipment and technology for the purpose of producing ammunition.

A separate authorization shall be required for each individual export, import, transit and transhipment consignment and for each set of brokering activities necessary to complete a transfer deal.

Simplified procedures may be used to facilitate the authorization process (see Clause 4.2.4).

4.2.4 Simplified procedures

Simplified procedures may be employed to authorize the import, export, transit or transhipment of ammunition in the following, low risk situations:

a) temporary exports and imports of individual or small amounts of ammunition for the purposes of hunting, sport shooting, evaluation, exhibition or repair; as well as their subsequent re-export and re-import following such activities and procedures;
b) exports and imports of ammunition for use by a State’s own security or military forces; or
c) exports of ammunition to trusted end-users with longstanding and reliable records on the prevention of diversion and misuse.

The range of such exemptions to the full authorization requirements shall be kept to a minimum and should not exceed those listed above.

4.2.5 Timing and sequencing

Transfer authorizations shall be issued prior to a transfer of ammunition taking place; they shall not be issued retroactively. The issuance of transfer authorizations should be sequenced as follows:

a) import authorization, followed by;
b) brokering authorization, followed by;
c) export authorization, followed by;
d) transit and transhipment authorizations (if applicable).

4.2.6 Expiration

The validity of transfer authorizations shall be limited in time; i.e. they shall have an expiry date after which they are no longer valid.

The expiry date shall be clearly marked on transfer authorizations. The validity of authorizations for specific transfers of ammunition should be limited to a reasonable period of time during which the transfer can be made (e.g. 1 year or less).
4.2.7 Revocation

An authorization for a specific transfer of ammunition that has already been granted should be revoked by the competent national authority if:

a) the authorization was obtained under false pretences, including through the provision of incomplete, misleading, or false information;

b) a change in the situation in the country of import creates a clear risk that the ammunition could be used for a purpose listed in Clause 6.4;

c) the conditions under which the authorization was granted change significantly; or

d) one of the parties involved in the transfer is charged with a criminal offence.

The reasons for revoking a transfer authorization should be provided to the affected party in writing. It should be possible for the affected party to appeal such a decision.

A State that revokes a transfer authorization (i.e. for import, export, transit, transhipment or brokering) should inform all other States involved in the transfer of its decision.

4.2.8 Reporting on use

Recipients of transfer authorizations may be required by the competent State authority to submit reports on their use of authorizations. Such a requirement would assist States in collecting data for international, regional, and national reporting purposes and for information exchange mechanisms (see Clauses 17 and 18).

5 Applications for transfer authorizations

The exact information and documentation required in a specific application for transfer authorization will depend on whether ammunition is to be imported, exported, transited, transhipped or brokered. For example, at the time a brokering authorization is granted, the identity of the freight forwarding agent or shipping company may not be known, since arranging such services can constitute an activity to be carried out by the broker, once authorized to do so.

The later clauses of this document, which deal with controls on import, export, transit, transhipment and brokering, provide specific guidance in each instance on the content of applications for transfer authorization. The purpose of this clause is to provide a compendium of relevant information and documentation.

Information and documentation that should be included, if available, in applications for authorization to transfer ammunition include:

a) the name and contact details of the applicant for authorization;

b) the applicant’s operating licence (if applicable, see Clause 8);

c) the import authorization;

d) the export authorization;

e) the transit and transhipment authorizations (if applicable);

f) the end-user certificate;

g) the intended end-use of the consignment;
h) the names, contact details and roles of all parties involved in the transfer, including 1) brokers, 2) freight forwarding agents, 3) transport/shipping carriers, and 4) intermediate consignees;

i) full details of the transport route, including the means of transport to be used for each segment (if any segment involves transport by air, the additional information set out in Clause 13.4.2 should also be included);

j) the value of the consignment; and

k) a detailed description of the consignment’s contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot and/or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

6 Assessment of applications for transfer authorizations

6.1 General

Clear criteria shall be used to assess applications for authorization for the import, export, transit, transhipment and brokering of ammunition. Such criteria shall be contained in national legislation and/or in national policy documents governing the transfer of ammunition.

The exporting, transit or transhipment State’s own economic, social, commercial or industrial interests should not interfere with the application of clear criteria to the assessment process.

In ambiguous or problematic cases, a restrictive approach should be taken (i.e. where there is doubt or a lack of information, an application for authorization to transfer ammunition should be denied).

6.2 Impartiality, fairness and timeliness

Applications for authorizations to import, export, transit, tranship or broker ammunition shall be handled impartially, fairly and within a reasonable period of time.

A decision on whether or not to authorize a transfer should be provided to the applicant in writing. If an application is denied, the reasons for denial should be included in the written decision. It should be possible for the applicant to appeal a negative decision.

6.3 Preliminary assessment

A transfer control system may include a preliminary assessment procedure related to prospective imports, exports, transits, transhipments and brokering of ammunition. Under such a system, a preliminary assessment of the competent national authority may be sought on the likelihood that a planned import, export, transit, transhipment or brokering of ammunition would be granted authorization.

Any preliminary assessment provided by the competent national authority shall be non-binding and may be reversed or otherwise modified as a result of a full assessment of the application for transfer authorization.

6.4 Grounds for denial

Authorization for the export, transit, transhipment or brokering of ammunition shall not be granted if there is a clear risk that the transfer could

a) contravene an arms embargo imposed by the UN Security Council;
b) contravene a regional arms embargo or moratorium by which the exporting, transit or transhipment State, or the State with jurisdiction over the brokering activities, is legally bound;

c) be used to commit genocide, crimes against humanity or serious violations of international humanitarian law or international human rights law;

d) facilitate acts of terrorism;

e) facilitate the commission of violent crime, including organized crime and transnational organized crime;

f) be diverted before reaching the authorized end-user (see Clause 6.5);

g) be re-transferred by the end-user under circumstances that would contravene the original exporting State’s national transfer criteria or international legal commitments, or those of the transit or transhipment States or of the State with jurisdiction over the brokering activities (see Clause 6.5);

h) interfere in matters that are essentially within the domestic jurisdiction of another State, (without prejudice to the application of enforcement measures under Chapter VII of the UN Charter);

i) be used in such a way that would contravene the prohibition on the use or threat of force enshrined in the UN Charter; or

j) contravene any other treaty or legal obligation by which the exporting, transit and transhipment States, or the State with jurisdiction over the brokering activities, are bound.

Authorization for the export, transit, transhipment and brokering of ammunition should not be granted if there is a clear risk that the transfer would:

k) facilitate the violation or suppression of human and peoples’ rights and freedoms, or oppression;

l) worsen the internal security situation in the importing country, e.g. by provoking or prolonging armed conflicts or by aggravating existing tensions;

m) adversely affect regional peace and security, e.g. by contributing to destabilizing accumulations of ammunition in a region, by violating regional moratoria on arms imports, or by otherwise contributing to regional instability;

n) contravene any international, regional or sub-regional commitments of the exporting, transit or transhipment States, or of the State with jurisdiction over the brokering activity, related to non-proliferation, arms control or disarmament;

o) adversely affect sustainable development in the importing State, e.g. through excessive expenditure of the importing State’s economic resources, especially in the absence of public and parliamentary scrutiny; or

p) involve corrupt practices at any stage or the transfer.

6.5 Assessing the risk of diversion and re-transfer

6.5.1 Focus

In applying Clause 6.4 (f and g) of this document, an assessment should be undertaken of

a) the risk that some or all of the ammunition could be diverted before reaching the authorized end-user; and
b) the risk that some or all of the ammunition could be re-transferred by the authorized end-user in a way that would contravene the original exporting State’s national export criteria or international legal commitments or, respectively, those of the transit or transhipment States or of the State with jurisdiction over the brokering activities.

### 6.5.2 Considerations

In conducting such a risk assessment, the following considerations should be taken into account:

a) the respective capacities of the transit, transhipment and importing States to prevent diversion of the ammunition before it reaches its authorized end-user;

b) the record of compliance by the importing State with past end-use assurances;

c) the record of the importing State regarding the issuance of authentic and reliable end-use documentation;

d) the record of the importing State regarding the re-transfer of imported ammunition, and whether it informs the original exporting State when it re-transfers ammunition;

e) the capacity of the authorized end-user to ensure adequate stockpile management of the imported ammunition – in accordance with IATG 03.10 Inventory management – in order to prevent loss and theft; and

f) whether ammunition is to be delivered to private individuals or companies, or by circuitous routes.

### 6.5.3 Private actors

Particular care shall be taken when assessing applications for authorization to transfer ammunition to recipients that are neither governments nor the authorized agents of governments.

Authorization shall not be granted to transfer ammunition to private actors that have not received the necessary authorizations from the competent authorities of the importing State, including import authorization and end-user certification.

### 6.6 Licensed production, parts and components

Applications for authorization for the export, transit, transhipment or brokering of technology or equipment for the purpose of manufacturing ammunition shall not be granted if there is a clear risk that the finished products would be diverted or transferred to destinations or end-users that would contravene the export control criteria or international legal obligations of, as applicable, the exporting, transit or transhipment States or the State with jurisdiction over the brokering activities.

When assessing applications for authorization to transfer parts and components of ammunition, where it is understood that the goods will be incorporated into ammunition for re-export to a third destination, the identity of the end-user of the ammunition if known, should be taken into account.

### 7 Form and content of transfer authorizations

#### 7.1 Form

Authorizations for the import, export, transit, transhipment and brokering of ammunition shall be formal documents whose validity it is possible to establish and which are difficult to forge or falsify. They should be printed on:

a) the official letterhead of the competent State authority issuing them;
b) paper that is difficult to forge, such as banknote paper; or

c) a widely recognized and internationally used standardized form (e.g. an International Import Certificate).

7.2 Content

The exact content of a transfer authorization will depend on whether ammunition is being imported, exported, transited, transhipped or brokered. The later clauses of this document that deal with controls on import, export, transit, transhipment and brokering provide specific guidance in each instance on the content of authorizations. The purpose of this clause is to provide a compendium of relevant content.

Relevant content that should be included, if available, in authorizations to transfer ammunition include:

a) a unique transfer authorization number;

b) the identity of the competent national authority issuing the authorization;

c) the signature, printed name and position of the designated official of the competent national authority issuing the authorization;

d) the name and contact details of the recipient of the authorization;

e) the date of issuance;

f) the date of expiration;

g) the country of export;

h) the name and contact details of the exporter;

i) the countries of transit and/or transhipment (if applicable);

j) the country of import;

k) the name and contact details of the end-user;

l) the end-use of the consignment;

m) the names and contact details of all parties involved in the transfer, including 1) brokers, 2) freight forwarding agents, 3) transport/shipping carriers, and 4) intermediate consignees;

n) full details of the transport route, including the means of transport to be used for each segment;

o) the value of the consignment; and

p) a detailed description of the consignment’s contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot and/or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

8 Operating licences

8.1 General

In addition to requiring official authorization for each individual transfer of ammunition, a system of operating licences may be used.
An operating licence does not relate to a specific transfer of ammunition, but rather authorizes ammunition exporters, importers, transit and transhipment agents and brokers to operate as such in the first place.

When such a system is in use, companies and individuals shall be required to be in possession of an operating licence before they may submit applications for authorization to make specific transfers of ammunition.

A system of operating licences shall not replace the requirement to obtain authorization for each individual transfer of ammunition.

8.2 Register

As part of a system of operating licences, a register of ammunition exporters, importers, transit and transhipment agents and brokers may be created.

8.3 Criteria

Applicants for operating licences should be required to meet a set of criteria, established by the competent national authority, designed to demonstrate that they are suitable and competent persons.

8.4 Grounds for denial

An application for an operating licence should be refused, inter alia, if

a) the applicant has failed to meet the licensing criteria established by the competent national authority;

b) there is evidence of past involvement by the applicant in illicit trade;

c) information submitted in support of the application is false, inaccurate or incomplete;

d) the intended activity is deemed to be contrary to public or national security; or

e) the applicant has been refused an operating licence in another State on grounds that would apply in the State considering the application, or has a criminal record.

8.5 Expiration

The validity of operating licences shall be limited in time; i.e. they shall have an expiry date after which they are no longer valid.

The expiry date shall be clearly marked on operating licences. The validity of operating licences should be limited to a reasonable period of time (e.g. 3 - 5 years).

The validity of operating licences may be renewed for additional limited periods on application by the holder of the licence to the competent State authority.

The renewal of an operating licence shall be subject to a detailed assessment of compliance by the applicant with the terms of the previously held operating licence.

8.6 Suspension and revocation

An operating licence that has already been granted should be revoked by the competent national authority if:
a) the licence was obtained under false pretences, including through the provision of incomplete, misleading, or false information; or

b) the holder or the operating licence is convicted of criminal activity.

If there are credible charges of, or strong evidence for, the above, an operating licence should be suspended and an investigation conducted.

The reasons for suspending or revoking operating licences should be provided to the affected party in writing. It should be possible for the affected party to appeal such a decision.

The holders of revoked operating licences should be removed from the register of ammunition exporters, importers, transit and transhipment agents and brokers, where such a register exists.

9 **Strengthened controls on the transfer of MANPADS**

Because of the heightened threat posed by illicit transfers of Man-Portable Air Defence Systems (MANPADS), especially to civil aviation, stricter national controls should be applied to their transfer (import, export, transit, transhipment and brokering).

MANPADS shall only be transferred to governments or to agents specifically authorized to act on behalf of governments.

Each individual transfer of MANPADS shall be subject to an individual licensing decision. Simplified procedures (see Clause 4.2.4) shall not apply.

Prior to authorizing exports of MANPADS, the government of the exporting State (original exporting government) should gain the following assurances from the recipient government:

a) the MANPADS shall not be re-exported without the prior, written consent of the original exporting government; and

b) the original exporting government shall be informed promptly of the loss, theft or unauthorized use of any of the exported MANPADS.

The original exporting government should also satisfy itself that the recipient government is willing and able to ensure

c) the safe and secure storage and management of the MANPADS, in accordance with IATG 03.10:2015[E] *Inventory management* and IATG 09.10:2015[E] *Security principles and systems*; and

d) the safe and secure destruction of the MANPADS should they become obsolete or surplus to national requirements, in accordance with IATG 10.10:2015[E] *Demilitarization and destruction*.

10 **Secure transfer requirements**

International transfers of ammunition may be required to take place under the supervision and escort of security forces assigned by the relevant national authorities.

Such strengthened requirements should be imposed on transfers of certain high-risk categories of ammunition, such as Man-Portable Air-Defence Systems (MANPADS).

All transportation of ammunition should be in accordance with IATG 08.10:2015[E] *Transport*. 
11 National legislation

11.1 General

At the national level, laws, regulations and administrative procedures shall exercise effective control over the import, export, transit, transhipment and brokering (i.e. transfers) of ammunition. Such controls shall be adequate to minimize the risk that ammunition could be used for any purpose listed in Clause 6.4.

11.2 Licensing requirement

National legislation shall require that the export, import and brokering of ammunition be licensed by a competent State authority.

National legislation should require that the transit and transhipment of ammunition also be regulated. This may include the creation of a licensing system covering transit and transhipment of ammunition.

The licensing system shall include, at a minimum:

a) a legal basis;
b) an export policy;
c) a decision-making mechanism; and
d) an enforcement mechanism.

11.3 List of controlled goods and services

11.3.1 Control list

National legislation shall contain a control list defining the categories of ammunition that are covered by export, import, transit, transhipment and brokering (i.e. transfer) controls.

The national ammunition control list should be integrated into the broader national control list that identifies all controlled military and dual-use items.

11.3.1.1 Goods

The national ammunition control list should cover all ammunition, its parts and components, as well as the technology for their manufacture, regardless of whether they are

a) new;
b) used (second-hand); or
c) surplus to national requirements.

11.3.2 Services

The national ammunition control list should cover

a) transfers to the government of another State;
b) transfers to private end-users in another State;
c) commercial sales to buyers in another State;
d) leases to users (government or private) in another State;

e) licensed production in another State, including transfers of technology and equipment for this purpose;

f) intangible transfers of software or technology (e.g. through electronic media, fax, telephone, etc.) specifically related to the production of ammunition; and

g) loans, gifts, aid or any other form of transfer of material goods, credit or expertise specifically related to the production of ammunition.

11.4 Roles and responsibilities

National legislation shall clearly identify:

a) the national authority (or authorities) responsible for authorizing ammunition 1) imports, 2) exports, 3) transit 4) transhipment, and 5) brokering; and

b) the role of other national authorities and parliamentary bodies in ammunition transfer controls (see Clause 18).

11.5 Integration of controls

As a general principle, national controls over the import, export, transit, transhipment and brokering of ammunition – including laws, regulations and administrative procedures – should be integrated into a coherent national transfer control regime.

11.6 Creation of offences

The unauthorized export, import, transit, transhipment and brokering of ammunition shall be designated as criminal offences. Individuals engaged in such activities shall be prosecuted under relevant national penal codes.

12 Import controls

12.1 General

The general principles set out in Clauses 4 and 5 of this document shall apply to national controls over the import of ammunition.

Laws, regulations and administrative procedures to control the import of ammunition shall be in place at the national level. These shall exercise effective control over all ammunition entering and remaining in a State’s jurisdiction.

National controls over the import of ammunition shall be sufficient to minimize the risk that the ammunition could be used for any purpose listed in Clause 6.4.

12.2 Goods and services covered

Import controls shall apply to all goods and services covered by the national ammunition control list (see Clause 11.3).
12.3 Import authorization process

12.3.1 General

The import of ammunition shall be subject, on a case-by-case basis, to prior, written authorization by the competent authority of the importing State.

Simplified procedures may be used to facilitate the import authorization process (see Clause 4.2.4).

12.3.2 Source

Responsibility for authorizing the import of ammunition should reside in a single national authority that is clearly identified in national legislation.

12.3.3 Sequencing

Import authorizations should be issued first; before authorizations for brokering, export, transit or transhipment (see Clause 4.2.5).

This establishes the primacy of the importing State in the transfer authorization process for ammunition; insofar as it should not be possible for a transfer process to be initiated until the importing State has indicated that it has no objection to the proposed transfer.

12.4 Applications for import authorization

Applications for import authorization should contain as much of the information listed in Clause 5 as is available at the time of application. At a minimum, however, applications for import authorization should contain:

a) the name and contact details of the applicant (the importer);

b) the name and contact details of the end-user;

c) an end-use assurance, made in accordance with IATG 03.40, National controls over the end-user and end-use of internationally transferred ammunition;

d) the country of export;

e) the name and contact details of the exporter;

f) the value of the import; and

g) a detailed description of the imported ammunition.

12.5 Assessment of applications for import authorization

12.5.1 General

The competent authority of the importing State shall assess each application for import authorization in accordance with clearly defined criteria.

Such criteria should reflect the fact that the quantity and nature of ammunition imports should be commensurate with:

a) legitimate, national self-defence and security requirements;

b) requirements for participating in United Nations and regional peace support operations; and
c) requirements of the civilian population for small arms ammunition, in accordance with national law.

The reliability of the applicant and the end-user should be verified before an import authorization is granted; i.e. the assessment should investigate if the applicant and the end user are legally registered companies or individuals in good financial and legal standing, with no reason to question their ability or intention to comply with national ammunition import controls.

Assessments should be particularly rigorous if the intended recipient of the ammunition is a private company or an individual.

12.5.2 Grounds for denial

Authorization to import ammunition should not be granted if:

a) the information listed in Clause 12.4 has not been provided;

b) the proposed import is found to be inconsistent with Clause 12.5.1 (a, b or c);

c) there is a clear risk that some or all of the ammunition could be diverted before reaching the authorized end-user; or

d) the intended recipient is not legally entitled to be in possession of the ammunition in the country of import.

12.6 Form and content of import authorizations

The form of import authorizations should be in accordance with Clause 7.1. Import authorizations should contain as much of the information listed in Clause 7.2 as is available at the time of issuance of the authorization. At a minimum, however, it should contain:

a) a unique import authorization number;

b) the identity of the competent national authority issuing the authorization;

c) the signature, printed name and position of the designated official of the competent national authority issuing the authorization;

d) the name and contact details of the recipient of the authorization;

e) the date of issuance;

f) the date of expiration;

g) the country of export;

h) the name and contact details of the exporter;

i) the name and contact details of the authorized end-user;

j) the authorized end-use of the consignment;

k) the value of the consignment; and

l) a detailed description of the consignment's contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).
12.7 Recordkeeping

12.7.1 General

The competent authority of the importing State shall keep detailed records of all authorizations issued to import ammunition. These records shall be supplemented with additional information once the import takes place, as indicated below.

Records should be organized and maintained in accordance with IATG 03.10 Inventory management.

Records shall be maintained for at least 20 years, and should be maintained indefinitely.

12.7.2 Import authorization records

The competent authority of the importing State shall keep detailed records of all authorizations issued to import ammunition. Such records should include the

a) import authorization 1) number, 2) issuing agency, 3) issue date, 4) expiry date, and 5) recipient (name and contact details); and

b) name and contact details of the authorized end-user; authorized end use; value of the import; and a detailed description of the consignment's contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

12.7.3 Import records

In addition to the information listed in Clause 12.7.2 in relation to import authorizations, the following information should also be recorded for all actual imports of ammunition:

a) export authorization number, issuing agency, issue date, expiry date, and recipient (name and contact details);

b) end-user certificate number, and issuing agency;

c) a detailed description of the consignment's contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).(see Clause 7.8).

12.8 Marking at the time of import

The packaging of ammunition may be marked with national information at the time of import in accordance with IATG 06.50 Packaging and marking.

12.9 Controls on re-export

The importing State shall honour any contractually agreed restrictions on the re-export of ammunition, including commitments not to re-export without prior authorization by the original exporting State.

In the absence of contractual agreements regarding re-export, the importing State should notify the original exporting State before re-exporting ammunition.
13 Export controls

13.1 General

The general principles set out in Clauses 4 and 5 of this document shall apply to national controls over the export of ammunition.

Laws, regulations and administrative procedures to control the export of ammunition shall be in place at the national level. These shall exercise effective control over all ammunition leaving a State’s jurisdiction.

National controls over the export of ammunition shall be sufficient to minimize the risk that the ammunition could be used for any purpose listed in Clause 6.4.

13.2 Goods and services covered

Export controls shall apply to all goods and services covered by the national ammunition control list (see Clause 11.3).

13.3 Export authorization process

13.3.1 General

The export of ammunition shall be subject, on a case-by-case basis, to prior, written authorization by the competent authority of the exporting State.

Simplified procedures may be used to facilitate the export authorization process (see Clause 5.2.4).

13.3.2 Source

Responsibility for authorizing the export of ammunition should reside in a single national authority that is clearly identified in national legislation.

13.3.3 Sequencing

Authorization to export ammunition should not be granted before an import authorization has been granted by the importing State (see Clause 4.2.5).

13.4 Applications for export authorization

13.4.1 General

Applications for export authorization should contain as much of the information listed in Clause 5 as is available at the time of application. At a minimum, however, applications for export authorization should contain:

a) the name and contact details of the applicant (the exporter);

b) the applicant’s operating licence, if applicable (see Clause 8);

c) the import authorization (issued by the importing State);

d) the end-user certificate, issued in accordance with IATG 03.40:2015[E] End-user and end-use of internationally transferred ammunition module;

e) the intended end-use of the consignment;
f) the names, contact details and roles of all parties involved in the transfer, including 1) brokers, 2) freight forwarding agents, 3) transport/shipping carriers, and 4) intermediate consignees;

g) full details of the transport route, including the means of transport to be used for each segment (if any segment involves transport by air, the additional information set out in Clause 13.4.2 should also be included);

h) the value of the consignment; and

i) a detailed description of the consignment’s contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot and/or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

13.4.2 Additional information on air transport

If an export involves transport of ammunition by air, additional information on air transport logistics should be included in the application for export authorization. This should include:

a) the name and contact details of the air carrier;

b) the aircraft registration number;

c) the aircraft country of registration; and

d) the flight route to be used, including planned stopovers.

13.4.3 Information on the end-user and end-use

Authorization to export ammunition shall not be granted in the absence of authentic documentation specifying the end-user and end-use of the ammunition, in accordance with IATG 03.40:2015[E] End-user and end-use of internationally transferred ammunition module.

The provision of such documentation shall not be the sole basis for determining whether an export authorization will be granted. It shall form only one part of a comprehensive assessment of the suitability of the end-user and end-use of the ammunition in light of national export criteria and the risk of diversion.

13.4.4 Conditional export authorization (due to unavailable information)

In situations where certain required information is unavailable at the time when an application is submitted, an export authorization may be issued on the condition that the missing information is provided to the competent national authority – and reviewed and formally cleared by it – prior to the export taking place.

In such a case, a precise deadline should be set for receipt of the missing information.

A conditional export authorization should be revoked if:

a) all of the missing information is not provided by the deadline set; or

b) the information provided points to a clear risk that the consignment could be used for a purpose listed in Clause 6.4.
13.5  Assessment of applications for export authorization

13.5.1  General

The competent authority of the exporting State shall assess each application for export authorization based on clearly defined criteria.

The reliability of the applicant, the end user and all other parties involved in the transfer should be verified before an export authorization is granted; i.e. the assessment should investigate if the applicant, the end user and all other parties to the transfer are either State agencies, legally registered companies or individuals in good financial and legal standing and with no reason to question their ability or intention to comply with national ammunition export controls.

Assessments should be particularly rigorous if the intended recipient of the ammunition is a private company or an individual.

13.5.2  Grounds for denial

Authorization to export ammunition shall not be granted if:

a) the information listed in Clause 13.4 has not been provided;

b) any of the grounds for denial listed in Clause 6.4 apply; or

c) an assessment conducted in accordance with Clause 6.5 finds a clear risk of diversion or re-transfer.

13.5.3  Inter-agency involvement

While the authority to issue ammunition export authorizations should reside in a single national authority (see Clause 4.2.2), the assessment of applications for export authorizations should include inputs from all relevant authorities across government.

Government officials should be provided with sufficient resources and training to enable them to make detailed assessments of applications for export authorization, including the identification of false documentation and assessments conducted in accordance with Clause 6.5.

13.6  Form and content of export authorizations

The form of export authorizations should be in accordance with Clause 7.1. Export authorizations should contain as much of the information listed in Clause 7.2 as is available at the time of issuance of the authorization. At a minimum, however, they should contain:

a) a unique export authorization number;

b) the identity of the competent national authority issuing the authorization;

c) the signature, printed name and position of the designated official of the competent national authority issuing the authorization;

d) the name and contact details of the recipient of the authorization;

e) the date of issuance;

f) the date of expiration;

g) the countries of transit and/or transhipment (if applicable);

h) the country of import;
i) the name and contact details of the authorized end-user;

j) the authorized end-use of the consignment;

k) the names and contact details of all parties involved in the transfer, including the 1) brokers, 2) freight forwarding agents, 3) transport/shipping carriers, and 4) intermediate consignees;

l) full details of the transport route, including the means of transport to be used for each segment;

m) the value of the consignment; and

n) a detailed description of the consignment's contents including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

13.7 Recordkeeping

13.7.1 General

The competent authority of the exporting State shall keep detailed records of all authorizations issued to export ammunition and of all actual exports that take place as a result of such authorizations.

Records should be organized and maintained in accordance with IATG 03.10:2015[E] Inventory management.

Records shall be maintained for at least 20 years, and should be maintained indefinitely.

13.7.2 Export records

Records of export authorizations and actual exports should include the:

a) export authorization 1) number, 2) issuing agency, 3) issue date, 4) expiry date, and 5) recipient (name and contact details);

b) country of import;

c) import authorization 1) number, 2) issuing agency, 3) issue date, 4) expiry date, and 5) recipient (name and contact details);

d) countries of transit (if applicable);

e) end-user certificate 1) number, 2) issuing agency (in the importing State), and 3) end-user (name and contact details);

f) names and contact details, where applicable, of the 1) brokers, 2) freight forwarding agents, 3) transport/shipping carriers, and 4) intermediate consignees;

g) value of the export; and

h) detailed description of the ammunition authorized for export, including their 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).
14 Transit and transshipment controls

14.1 General

The general principles set out in Clauses 4 and 5 of this document should apply to national controls over the transit and transshipment of ammunition.

Laws, regulations and administrative procedures to control the transit and transshipment of ammunition should be in place at the national level. These should exercise effective control over all ammunition entering a State’s jurisdiction for the purpose of transit or transshipment.

National controls over transit and transshipment should be sufficient to minimize the risk that ammunition could be used for any purpose listed in Clause 6.4.

14.2 Goods and services covered

Transit and transshipment controls should apply to all goods and services covered by the national ammunition control list (see Clause 11.3).

14.3 Transit and transshipment authorization process

14.3.1 General

The transit and transshipment of ammunition should be subject, on a case-by-case basis, to prior, written authorization by the competent authority of the State in which the transit or transshipment is to take place.

Simplified procedures may be used to facilitate the transit and transshipment authorization processes (see Clause 4.2.4).

14.3.2 Source

Responsibility for authorizing the transit and transshipment of ammunition should reside with the same national authority responsible for authorizing the export of ammunition.

14.3.3 Sequencing

Authorization for the transit or transshipment of ammunition should not be granted before the importing State has granted an import authorization and the exporting State has granted an export authorization (see Clause 4.2.5).

14.4 Applications for transit and transshipment authorization

Applications for transit and transshipment authorization should contain as much of the information and documentation listed in Clause 5 as is available at the time of application. At a minimum, however, applications for transit and transshipment authorization should contain:

a) the name and contact details of the applicant;

b) the import authorization;

c) the export authorization;

d) the end-user certificate;

 e) the intended end-use of the consignment; and
f) a description of the consignment, including their 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

14.5 Assessment of applications for transit and transhipment authorization

14.5.1 General

The competent authority of the State through whose territory ammunition is intended to transit or on whose territory it is intended to be transhipped should assess each application for transit and transhipment authorization based on clearly defined criteria.

Assessments should be particularly rigorous if the intended recipient of the ammunition is a private company or an individual.

14.5.2 Grounds for denial

Authorization for the transit or transhipment of ammunition should not be granted if:

a) the information listed in Clause 14.4 has not been provided;

b) any of the grounds for denial listed in Clause 6.4 apply; or

c) an assessment conducted in accordance with Clause 6.5 finds a clear risk of diversion or re-transfer.

14.6 Form and content of transit and transhipment authorizations

The form of transit and transhipment authorizations should be in accordance with Clause 7.1. At a minimum, transit and transhipment authorizations should contain:

a) a unique transit or transhipment authorization number;

b) the identity of the competent national authority issuing the authorization;

c) the signature, printed name and position of the designated official of the competent national authority issuing the authorization;

d) the name and contact details of the recipient of the authorization;

e) the date of issuance;

f) the date of expiration;

g) the country of export;

h) the name and contact details of the exporter;

i) the name and contact details of the authorized end-user;

j) the authorized end-use of the consignment;

k) the value of the consignment; and a detailed description of the consignment’s contents including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).
14.7 Recordkeeping

14.7.1 General

The competent authority of the transit and/or transhipment State should keep detailed records of all authorizations issued for the transit or transhipment of ammunition and of all actual transits and transhipments that take place as a result of such authorizations.

Records should be organized and maintained in accordance with IATG 03.10 Inventory management.

Records should be maintained for at least 20 years, and should be maintained indefinitely.

14.7.2 Transit and transhipment records

Records of transit and transhipment authorizations and of actual transits and transhipments of ammunition should include the:

a) transit or transhipment authorization 1) number, 2) issuing agency, 3) issue date, 4) expiry date, and 5) recipient (name and contact details);

b) country of import;

c) import authorization 1) number, 2) issuing agency (in the importing State), 3) issue date, 4) expiry date, and 5) recipient (name and contact details);

d) end-user certificate 1) number, 2) issuing agency (in the importing State), and 3) end-user (name and contact details);

e) export authorization 1) number, 2) issuing agency (in the exporting State); 3) issue date, 4) expiry date, and 5) recipient (name and contact details);

f) value of the consignment; and

g) detailed description of the ammunition, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

15 Brokering controls

15.1 General

The general principles set out in Clauses 4 and 5 shall apply to national controls over the brokering of ammunition.

Laws, regulations and administrative procedures to control the brokering of ammunition shall be in place at the national level. These shall exercise effective control over all ammunition brokering activities that take place within a State’s jurisdiction.

National controls over the brokering of ammunition shall be sufficient to minimize the risk that they ammunition could be used for any purpose listed in Clause 6.4.

15.2 Jurisdiction

National controls shall be exercised over all ammunition brokering activities that take place on the territory of a State, regardless of whether:

a) such activities are carried out by nationals or non-nationals of the State in question; or
b) the ammunition being brokered ever enters the jurisdiction of the State in which the brokering activities take place.

Where domestic law allows, control should also be exercised over ammunition brokering activities that are conducted outside of the State’s territory by nationals or residents of the State.

### 15.3 Goods, services and activities covered

#### 15.3.1 Goods and services covered

Brokering controls shall apply to all goods and services covered by the national ammunition control list (see Clause 11.3).

#### 15.3.2 Primary brokering activities

National controls on the brokering of ammunition shall apply:

- a) to the negotiation or arrangement of transactions that involve the international transfer of ammunition in return for some form of benefit, whether financial or otherwise (i.e. brokering activities), including 1) serving as a finder of business opportunities for one or more parties, 2) putting parties to a transaction in contact with each other, or 3) assisting parties to a transaction in reaching agreement or concluding contracts, obtaining the necessary authorizations and documentation, or arranging the necessary payments.

- b) to brokering activities that involve the transfer of ammunition between States other than the State in whose jurisdiction the brokering activities take place; and

- c) regardless of whether 1) the ammunition passes through the territory of the State in which the brokering activity takes place, or 2) the broker takes ownership of the consignment.

#### 15.3.3 Secondary brokering activities

National controls on the brokering of ammunition should also apply to secondary brokering activities, which include the following services:

- a) freight forwarding;

- b) transportation (by land, sea and air, including charter services);

- c) financial; and

- d) insurance.

Controlling secondary brokering activities can increase a State’s oversight of the trade in ammunition. In doing so, however, unmanageable administrative burdens should be avoided.

### 15.4 Brokering authorization process

#### 15.4.1 General

Each set of brokering activities necessary to arrange a transfer of ammunition between States other than the State in which the brokering activities take place shall be subject, on a case-by-case basis, to prior, written authorization by the competent authority of the State in whose jurisdiction the brokering activities take place.

Simplified procedures may be used to facilitate the brokering authorization process (see Clause 4.2.4).
National controls on brokering may also apply to transfers that involve the export or import of ammunition from or to the State in whose jurisdiction the brokering activities take place (even though such exports shall be subject to the controls set out in Clauses 12 and 13 of this document).

15.4.2 Source

Responsibility for authorizing the brokering of ammunition should reside in the same national authority that is responsible for authorizing the export of ammunition (see Clause 4.2.2).

15.4.3 Sequencing

A brokering authorization should not be granted before the importing State has granted an import authorization, but may be granted before export, transit and transhipment authorizations (see Clause 4.2.5), since arranging such authorizations can constitute brokering activities.

15.4.4 Operating licence

Persons (natural or legal) that regularly engage in ammunition brokering activities should be required to be in possession of an operating licence (see Clause 8).

Holders of broker operating licences should be registered with the national authority responsible for authorizing exports of ammunition.

15.5 Applications for brokering authorization

Applications for authorization to broker an international transfer of ammunition should contain as much of the information and documentation listed in Clause 5 as is available at the time of application. At a minimum, however, applications should contain:

a) the name and contact details of the applicant for authorization (the broker);

b) the applicant's operating licence (see Clause 15.4.4);

c) the country of import;

d) the import authorization;

e) the name and contact details of the end-user;

f) an end-use assurance, authenticated in accordance with IATG 03.30, End-user and end-use of internationally transferred ammunition module:

g) the country of export;

h) the name and contact details of the exporter;

i) the value of the consignment; and

j) a detailed description of the consignment's contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

15.6 Assessment of applications for brokering authorization

15.6.1 General

The competent authority of the State in whose jurisdiction brokering activities are intended to take place shall assess each application for brokering authorization based on clearly defined criteria.
Assessments should be particularly rigorous if the intended recipient of the ammunition is a private company or an individual.

15.6.2 Grounds for denial

Authorization to broker an international transfer of ammunition shall not be granted if:

a) the information listed in Clause 15.5 has not been provided;
b) any of the grounds for denial listed in Clause 6.4 apply; or
c) an assessment conducted in accordance with Clause 6.5 finds a clear risk of diversion or re-transfer.

15.7 Form and content of brokering authorizations

The form of brokering authorizations should be in accordance with Clause 7.1.

At a minimum, brokering authorizations should contain:

a) a unique brokering authorization number;
b) the identity of the competent national authority issuing the authorization;
c) the signature, printed name and position of the designated official of the competent national authority issuing the authorization;
d) the name and contact details of the recipient of the authorization (the broker);
e) the date of issuance;
f) the date of expiration;
g) the country of import;
h) the name and contact details of the end-user (authorized by the importing State);
i) the end-use of the consignment (authorized by the importing State);
j) the country of export;
k) the name and contact details of the exporter;
l) the value of the consignment; and
m) a detailed description of the consignment's contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

15.8 Recordkeeping

15.8.1 General

The competent national authority shall keep detailed records of all authorizations it issues to broker international transfers of ammunition.

Records should be organized and maintained in accordance with IATG 03.10 Inventory management.

Records shall be maintained for at least 20 years, and should be maintained indefinitely.
15.8.2 Brokering records

Brokering records should include the:

a) brokering authorization, 1) number, 2) issuing agency, 3) issue date, 4) expiry date, and 5) recipient (name and contact details);

b) country of import;

c) import authorization, 1) number, 2) issuing agency (in the importing State); 3) issue date, 4) expiry date, and 5) recipient (name and contact details);

d) end-user certificate, 1) number, 2) issuing agency (in the importing State), and 3) end-user (name and contact details);

e) country of export;

f) name and contact details of the exporter;

g) value of the consignment; and

h) a detailed description of the consignment's contents, including 1) quantities, 2) types, 3) models, 4) calibres, 5) lot or batch numbers, 6) countries of manufacture or most recent import, and 7) import marking (if applicable).

16 Enforcement mechanisms

16.1 General

Mechanisms that ensure compliance with laws, regulations and administrative procedures related to ammunition transfers shall be in place at the national level.

Such mechanisms shall:

a) keep relevant companies and individuals informed of their legal obligations; and

b) allow for the investigation and prosecution of violations of ammunition transfer controls.

16.2 Outreach to industry

16.2.1 General

Outreach to industry – e.g. companies and individuals involved in the manufacture, buying, selling, brokering, transportation and storage of ammunition in relation to their international transfer – can improve compliance with national laws, regulations and administrative procedures relating to the transfer of ammunition.

Such outreach can also alleviate the administrative burden on competent national authorities by providing pertinent information that enables industry bodies to install their own internal control mechanisms.

16.2.2 Information dissemination

Companies and individuals that are involved in any aspect of the international transfer of ammunition should be provided with clear information concerning their obligations under national ammunition transfer controls, including:

a) relevant national laws, regulations and administrative procedures;
b) relevant regional and international agreements to which the State is a party;

c) the national ammunition control list (see Clause 11.3);

d) a list of States subject to arms embargos imposed by the UN Security Council, or a regional organization of which the State is a member;

e) the names and contact details of the national authority (or authorities) responsible for authorizing the import, export, transit, transhipment and brokering of ammunition;

f) forms to be used when requesting authorization for the import, export, transit, transhipment and brokering of ammunition; and

g) relevant customs information.

16.2.3 Information updates

Changes to national laws, regulations and administrative procedures related to the international transfer of ammunition should be communicated to industry in a timely manner.

16.2.4 Training

Relevant companies and individuals should be provided with training to improve their understanding of the objectives and scope of ammunition transfer controls.

16.2.5 Inspection

Regular inspection visits should be carried out to verify that relevant companies and individuals are complying with national laws, regulations and administrative procedures related to the international transfer of ammunition.

National laws, regulations and administrative procedures related to the international transfer of ammunition shall include provisions that enable the investigation, prosecution and punishment of violations.

Sanctions that are sufficient to punish and deter violations of ammunition transfer controls shall be in place. Such sanctions may be based around a mix of civil and criminal penalties including fines, confiscation of proceeds from transactions and custodial sentences.

Sanctions shall apply to all violations that take place on a State’s territory, regardless of whether they are committed by nationals or non-nationals.

Where domestic law allows, sanctions should also apply to activities conducted outside of a State’s territory by nationals and residents of the State.

Subject to national legal practice, the following types of offences shall be punished through fines or imprisonment:

a) the import, export, transit, transhipment or brokering of ammunition in violation of national transfer control legislation;

b) the attempted export, import, transit and transhipment, and brokering of ammunition in violation of national transfer control legislation;

c) violations or attempted violations of the conditions of the import, export, transit, transhipment or brokering authorization;

d) submission of false information in connection with an application for authorization;
e) organizing, directing, aiding, abetting, facilitating or counselling the commission of an offence in violation of national transfer control legislation; and

f) any other violation or attempted violation of the transfer control legislation.

16.3 Violation of arms embargoes

The violation and attempted violation of arms embargoes imposed by the UN Security Council shall be designated as criminal offences under national legislation.

Suspected violations of UN Security Council arms embargoes by persons (natural or legal) within the jurisdiction of a State shall be investigated and, if substantiated, prosecuted.

The provisions of this Clause should also apply to arms embargoes or moratoria imposed by a regional organization of which the State in question is a member.

16.4 Customs

National customs authorities play an important role in supervising and enforcing ammunition transfer controls.

At the point of entry, exit, transit and transhipment (unless the transhipment takes place within an area not subject to customs controls), customs officials shall determine that:

a) the consignment of ammunition is accompanied by all required authorizations and documentation, in particular 1) the import authorization, 2) the export authorization, 3) the transit and transhipment authorizations (if applicable), and 4) the end-user certificate; and

b) the actual content of the consignment is consistent with the description of the consignment contained in the authorizations.

Customs officials should receive specialized training to enable them to recognize and intercept illicit transfers of ammunition.

The competent national authority (or authorities) responsible for authorizing the import, export, transit, transhipment and brokering of ammunition should cooperate with the national customs authority, including by sharing information on approved and denied applications to transfer ammunition internationally.

17 International cooperation and assistance

17.1 General

Harmonized laws and policies on ammunition transfer controls should be developed through coordination and cooperation at bilateral and multilateral levels and through regional organizations.

Such coordination and cooperation may include:

a) the sharing and promotion of best practice in the form of national laws, regulations and administrative procedures related to ammunition transfers;

b) the confidential exchange of information on transfers of ammunition;

c) comparative research on different national export controls (both regulatory and operational) in a region, in order to identify similarities and differences;

d) regional seminars to advance harmonization; and
e) the provision of technical advice (e.g. by financing the secondment of customs, export authorization or other relevant officials to the region).

17.2 Sharing information on national practice

17.2.1 General

States should exchange information regularly on:

a) the content of national laws, regulations and administrative procedures relevant to controlling transfers of ammunition;

b) the practical application of such laws, regulations and administrative procedures; and

c) the application of criteria for the assessment of applications for transfer authorizations.

17.2.2 Agencies to involve

Such exchanges should be coordinated by relevant regional organizations and should involve close co-operation among the following agencies and departments:

a) national authorities responsible for authorizing transfers of ammunition;

b) ammunition management agencies (ministries of defence);

c) other ministries involved in assessing applications for transfer authorizations;

d) relevant inter-ministerial committees;

e) intelligence services;

f) customs authorities (to the extent they are competent);

g) authorities concerned with the screening of companies and operations of companies engaged in brokering activities;

h) other agencies involved in data administration; and

i) criminal prosecution and surveillance authorities.

States and international/regional organizations in a position to do so should assist other States, upon their request, to develop and implement appropriate laws, regulations and administrative procedures related to controlling the import, export, transit, transhipment and brokering of ammunition, including through the provision of training and technical assistance.

17.3 Exchange of information on transfers

17.3.1 General

The sharing of information on transfers of ammunition serves to build confidence, promote harmonization across States of transfer control policies, and assist government officials in the assessment of applications for transfer authorization.

17.3.2 UN Register of Conventional Arms

States should report, on an annual basis, their imports and exports of ammunition to the UN Register of Conventional Arms.
In cases where no ammunition have been imported or exported during a calendar year, States should nevertheless submit a nil report to the Register.

NOTE 1 The United Nations Register of Conventional Arms is a global transparency mechanism designed to prevent excessive and destabilizing accumulations of conventional arms and to encourage restraint in arms transfers and military holdings. Within the scope of the Register, UN Member States are invited to report on their international transfers of ammunition.

NOTE 2 Every year, the UN Office for Disarmament Affairs (UNODA) invites Member States, by means of a note verbale, to communicate to the UN Register, by 31 May, their reports on the export and import of conventional arms, as well as additional background information, for the previous calendar year. For further information, see www.un.org/disarmament/convarms/Register/.

17.3.3 Regional mechanisms

17.3.3.1 Imports and exports

Regional mechanisms should be in place for sharing information (including confidential information) on:

a) exports and imports of ammunition;

b) denials and revocations of ammunition transfer authorizations; and

c) approvals of export and import operating licences (see Clause 8).

If a State has denied an application for authorization to export ammunition and has communicated this to other States in the region, other States in the region should not authorize a similar export of ammunition without first consulting with the State that denied export authorization.

17.3.3.2 Brokering

Regional mechanisms should be in place for sharing information on brokering activities related to ammunition, including:

a) lists of brokers registered with competent national authorities;

b) approvals of brokering operating licences (see Clause 15.4.4);

c) denials and revocations of brokering operating licences; and

d) prosecutions and convictions of ammunition brokering offences.

If a State has denied an application for a broker operating licence and has communicated this to other States in the region, other States in the region should not grant a broker operating licence to the same person (natural or legal) without first consulting with the State that denied the authorization.

17.3.4 Ad hoc mechanisms

Mechanisms to receive and fulfil ad-hoc requests for information from other States concerning the import, export, transit, transhipment and brokering of ammunition should be in place at the national level.

17.3.5 Other relevant information

States should also share other relevant information that may serve to promote the harmonization of States’ ammunition transfer control policies and assist the officials of other governments in assessing applications for transfer authorization, including:
a) seizures of illicitly trafficked ammunition, including, 1) their origin, and 2) the means used to intercept them;

b) persons (natural or legal) under investigation for, or convicted of, violating national transfer control laws, UN arms embargoes or regional arms embargoes or moratoria; including, 1) brokers, 2) freight forwarding agents, 3) transport carriers (land, sea and air), and 4) intermediate consignees;

c) routes used to transport illicit ammunition;

d) means used to conceal illicit ammunition consignments;

e) end-users that have diverted ammunition consignments in contravention of end-user assurances;

f) end-users with unsafe and insecure ammunition management practices; and

g) non-State entities that are, or may be, attempting to acquire ammunition, in particular MANPADS.

17.3.6 Confidentiality

In the interest of transparency, information regarding the international transfer of ammunition, both legal and illicit, should be shared as freely and openly as possible.

However, the confidentiality of information shared in connection with the international transfer of ammunition shall be respected to the extent requested by the State providing the information.

18 Public and parliamentary transparency

18.1 General

Making international transfers of ammunition transparent to the general public can enhance public confidence, prevent excessive and destabilizing accumulations of ammunition and strengthen peace and security. For this reason, public transparency of ammunition transfers should be increased at the international, regional and national levels, including by engaging in information exchange as set out in Clause 17.3.

Involving parliaments in, and making them accountable for, the development and implementation of transfer controls can result in greater restraint and responsibility when it comes to transferring ammunition internationally. For this reason, parliaments should oversee and be held accountable for the development and implementation of ammunition transfer controls, and may have a formal role in the assessment of applications for transfer authorization.

18.2 National reporting

National reports detailing international transfers of ammunition should be published on a regular basis. Such reports should include information on authorizations granted and denied for ammunition imports, exports, transits, transhipments and brokering activities, as well as the quantities and types of ammunition involved, countries of import, and end-users.

18.3 Mechanisms of parliamentary oversight

A parliamentary committee may be established to examine government practice on the international transfer of ammunition in light of the State’s legal and other commitments, including its regional and international commitments.

Such a parliamentary committee may be granted an advisory role in relation to the assessment of applications for authorization to transfer ammunition internationally.
In this context, mechanisms may be put in place to ensure that sensitive information does not enter the public domain.
Annex A
(normative)
References

The following normative documents contain provisions, which, through reference in this text, constitute provisions of this part of the guide. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. However, parties to agreements based on this part of the guide are encouraged to investigate the possibility of applying the most recent editions of the normative documents indicated below. For undated references, the latest edition of the normative document referred to applies. Members of ISO maintain registers of currently valid ISO or EN:

a) Protocol against the Illicit Manufacturing and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime (UN Firearms Protocol);

b) IATG 01.40:2015[E] Terms, glossary and definitions. UN ODA. 2015;

c) IATG 03.10:2015[E] Inventory management. UN ODA. 2015;

d) IATG 03.40:2015[E] End-user and end-use of internationally transferred ammunition module. UN ODA. 2015;

e) IATG 03.50:2015[E] Tracing of ammunition. UN ODA. 2015;

f) IATG 06.50:2015[E] Packaging and marking. UN ODA. 2015;

g) IATG 08.10:2015[E] Transport. UN ODA. 2015;

h) IATG 09.10:2015[E] Security principles and procedures. UN ODA. 2015; and


The latest version/edition of these references should be used. The UN Office for Disarmament Affairs (UN ODA) holds copies of all references used in this guide. A register of the latest version/edition of the International Ammunition Technical Guidelines is maintained by UN ODA, and can be read on the IATG website: www.un.org/disarmament/un-saferguard/. National authorities, employers and other interested bodies and organisations should obtain copies before commencing conventional ammunition stockpile management programmes.

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3 Where copyright permits.
Annex B  
(informative)  
References

The following informative documents contain provisions, which should also be consulted to provide further background information to the contents of this guide:


b) ISACS 05.40 *Weapons: Collection.* UN CASA. 2011;


The latest version/edition of these references should be used. The UN Office for Disarmament Affairs (UN ODA) holds copies of all references* used in this guide. A register of the latest version/edition of the International Ammunition Technical Guidelines is maintained by UN ODA, and can be read on the IATG website: [www.un.org/disarmament/un-safeguard](http://www.un.org/disarmament/un-safeguard/). National authorities, employers and other interested bodies and organisations should obtain copies before commencing conventional ammunition stockpile management programmes.

*Where copyright permits.*
Annex C
(informative)

INTERPOL

INTERPOL is mandated to assist States in the implementation of the International Tracing Instrument, which the UN General Assembly adopted in 2005 (International Tracing Instrument, paragraphs 33 - 35). INTERPOL's role is specified to facilitate tracing operations and assist in investigations to identify and trace illicit small arms ammunition when requested by a member State.

INTERPOL developed the INTERPOL Firearms Trace Request, which complements the existing communication system and provides an easy-to-use tool for law enforcement officers to trace ammunition that has been recovered during an investigation. INTERPOL also provides the INTERPOL Firearms Reference Table (IFRT) to assist member States in the correct identification of firearms recovered in crime, which may assist in identifying the ammunition also recovered at the crime scene.

C.2 INTERPOL Firearms Tracing Request (IFTR)

INTERPOL’s Firearms Programme comprises a three-pronged approach to assist member States with obtaining the best weapons and ammunition intelligence possible using the information on the outside of the firearm and the data that can be gleaned from the inside of the firearm to prevent and solve crime. The INTERPOL Firearms Trace Request gives the investigator the international means to request, from the country of manufacture or legal import, the firearm’s ownership history. It is available on the INTERPOL I-24/7 Network in all four official INTERPOL languages.

Illicit firearms traced through INTERPOL are checked against firearms reported to INTERPOL by member States as lost or stolen. INTERPOL also checks available information in relation to the individual from whom the firearm was recovered, as well as checking his/her passport and vehicle against relevant INTERPOL databases. Global participation in firearms tracing through INTERPOL would establish the system as a crucial central point for tracing illicit firearms in the context of law enforcement investigations. Ammunition may also be included in such requests.

C.3 INTERPOL Firearms Reference Table (IFRT)

INTERPOL assists member States in the identification of illicit firearms by hosting a comprehensive and continually upgraded library of most firearms types and models in existence. The INTERPOL Firearms Reference Table (IFRT) facilitates the correct identification of the recovered firearm prior to submitting a tracing request. It forms part of INTERPOL’s aim to provide a web-based solution to identifying and tracing illicit firearms. Knowledge of the firearm used assists in the identification of complimentary ammunition.

The IFRT is an easy-to-use system containing over 250,000 firearms references and 57,000 high quality images. INTERPOL using data supplied and annually updated by the Royal Canadian Mounted Police developed the web-based application, currently available in French and English.

C.4 INTERPOL Ballistic Information Network (IBIN)

The third prong of INTERPOL’s Firearms Programme is the INTERPOL Ballistic Information Network (IBIN), currently under development. IBIN will be the first large-scale international platform for the sharing and comparing of ballistics data. IBIN will connect member States/territories that have the IBIS© technology and wish to participate. It will also connect States or regional alliances that may acquire the system in the future.

It is anticipated that IBIN will link separate crimes across international borders that would otherwise not have been known to law enforcement. Over time, analysis of the shared ballistics data is
expected to reveal illicit firearm trafficking routes and provide police with critical information about firearm traffickers and other violent criminals.
Amendment record

Management of IATG amendments

The IATG guidelines are subject to formal review on a five-yearly basis, however this does not preclude amendments being made within these five-year periods for reasons of operational safety and efficiency or for editorial purposes.

As amendments are made to this IATG they will be given a number, and the date and general details of the amendment shown in the table below. The amendment will also be shown on the cover page of the IATG by the inclusion under the edition date of the phrase 'incorporating amendment number(s) 1 etc.'

As the formal reviews of each IATG are completed new editions may be issued. Amendments up to the date of the new edition will be incorporated into the new edition and the amendment record table cleared. Recording of amendments will then start again until a further review is carried out.

The most recently amended, and thus extant, IATG will be the versions that are posted on the UN SaferGuard IATG website at www.un.org/disarmament/un-saferguard/.

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