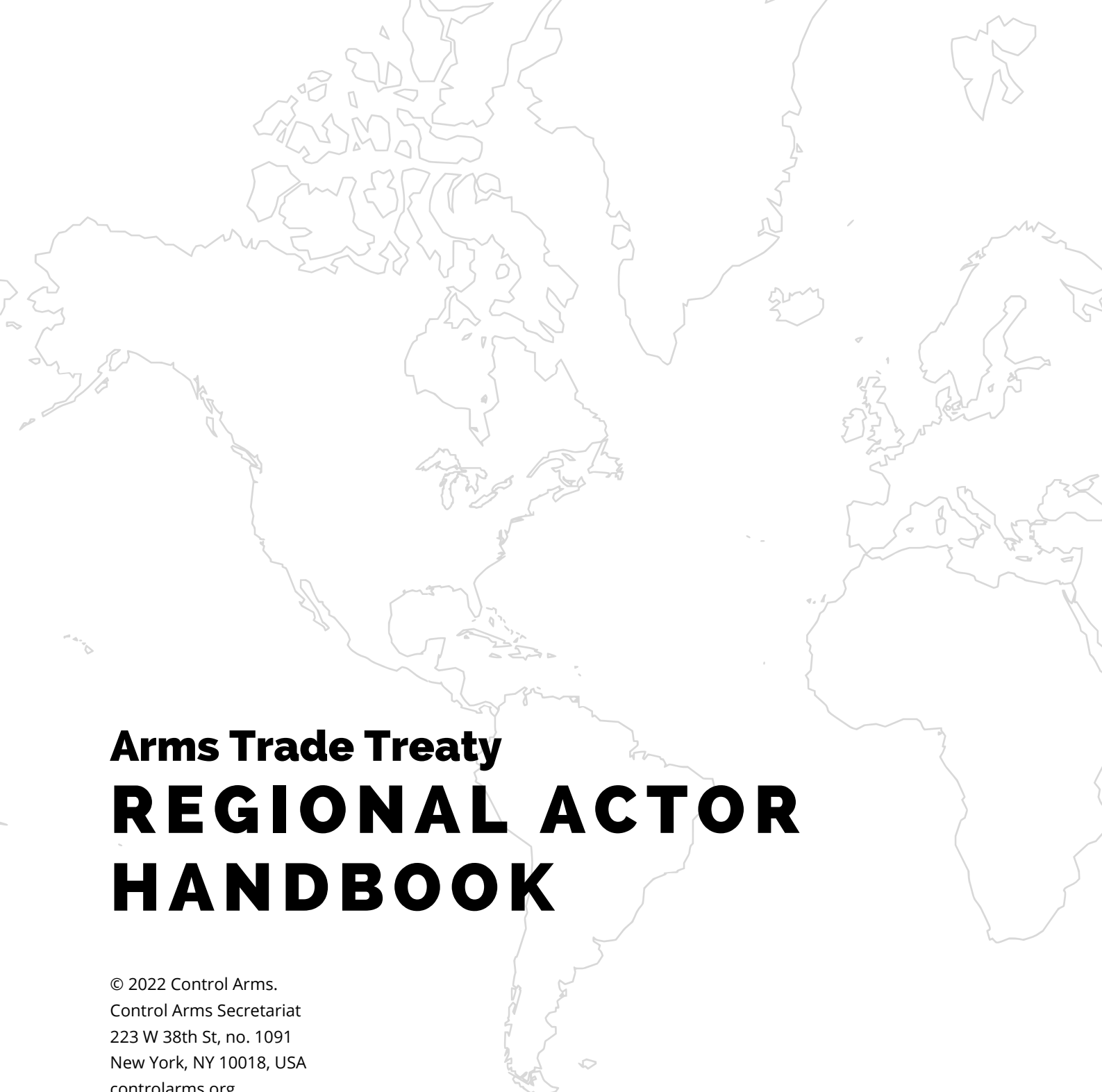




controlarms

Arms Trade Treaty
REGIONAL ACTOR
HANDBOOK



Arms Trade Treaty REGIONAL ACTOR HANDBOOK

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Arms Trade Treaty Regional Actor Handbook
First edition
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Editing: Cindy Ebbs and Hine-Wai Loose
Design: Gabrielle Paloma and Bianca Pabotoy



Federal Foreign Office

controlarms

ABOUT CONTROL ARMS

Control Arms is the international movement working to stop irresponsible arms transfers that fuel conflict and armed violence.

The Control Arms Coalition brings together over 200 non-governmental and civil society organisations from different fields, including human rights, poverty alleviation, conflict reduction, weapons specialists, health, youth, gender experts, survivor networks, parliamentary networks, and legal experts.

Together we work toward universal membership to the Arms Trade Treaty (ATT) through in-depth policy analysis and tailored regional and national campaigns. We work to ensure the effectiveness of the ATT by providing high-quality implementation support to States Parties seeking to develop new legislation, regulations, procedures, and arms control systems.

Control Arms works to achieve its mission through three key objectives:

- Amplify the Voices of Civil Society in the Arms Control Dialogue
- Strengthen Regulations Governing the International Trade in Conventional Arms
- Advance Accountability and Transparency in the Global Arms Trade

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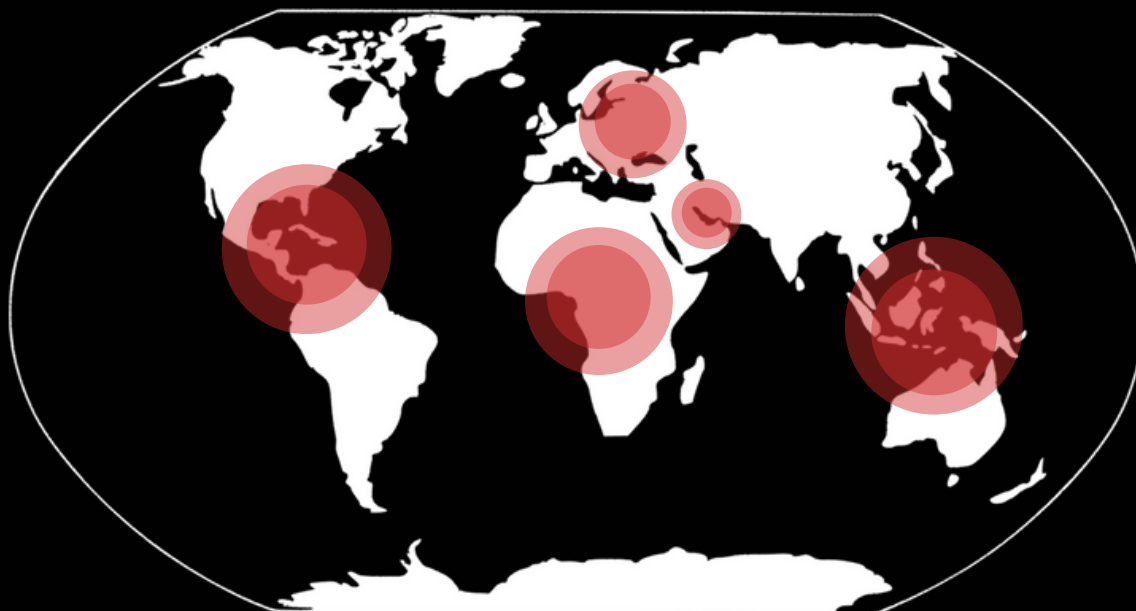
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LIST OF ACRONYMS

- AFRIPOL:** The African Union Mechanism for Police Cooperation
- AMERIPOL:** The Police Community of the Americas / Comunidad de Policías de América
- APEC:** Asia-Pacific Economic Cooperation
- APSA:** African Peace and Security Architecture
- ASEAN:** Association of Southeast Asian Nations
- ASEANAPOL:** ASEAN National Police
- ATT** - Arms Trade Treaty
- AU:** African Union
- BAFA:** Federal Office for Economic Affairs and Export Control/Bundesamt für Wirtschaft und Ausfuhrkontrolle
- BICC:** Bonn International Centre for Conflict Studies
- BIMSTEC:** Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation
- BSEC:** Organization of the Black Sea Economic Cooperation
- CAR:** Conflict Armament Research
- CARICOM** - Caribbean Community
- CARICOM IMPACS** - Caribbean Community Implementation Agency for Crime and Security
- CASAC:** Central American Programme on Small Arms Control
- CCPAC:** Central African Police Chief Committee/Comité des Chefs de Police de l'Afrique Centrale
- CDS:** South American Defense Council
- CEEAC/ECCAS:** Economic Community of Central African States
- CEMAC:** Central African Economic and Monetary Community
- CEN-SAD:** Community of Sahel-Saharan States
- CEWARN:** Intergovernmental Authority on Development (IGAD)'s Conflict Early Warning and Response Mechanism
- CIFTA:** The InterAmerican Convention against the Illicit Manufacturing of, and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials
- CITAAC:** Inter-American Convention On Transparency In Conventional Weapons Acquisitions
- CIS:** Commonwealth of Independent States
- CNC-ALPC:** Democratic Republic of Congo National small arms and light weapons commission
- COMESA:** Common Market for Eastern and Southern Africa
- COWARN:** Common Market for Eastern and Southern Africa's early warning system
- CRESMAC:** Maritime Security Regional Coordination Centre for Central Africa (Pointe Noire)
- CREMAO:** Maritime Security Regional Coordination Centre for Western Africa (Abidjan)
- CSDP:** Common Security and Defence Policy
- CSE:** The Cooperative Security Environment
- CSSCJDOT:** South American Council on Public Security, Justice, and Coordination of Actions against Transnational Organized Crime
- CSTO:** Collective Security Treaty Organization
- CTITF:** Regional Support Project to the Counter Terrorism Task Force

LIST OF ACRONYMS

- DDR:** Disarmament, Demobilization, and Reintegration
- DDR:** Disaster Risk Reduction
- DPKRS:** The Directorate of Peacekeeping and Regional Security
- EAC:** East African Community
- EAEU:** Eurasian Economic Union
- EAPCCO:** East Africa Police Chiefs Cooperation Organization
- ECOWAS:** Economic Community of West African States
- EU:** European Union
- EUCs:** End User Certificate
- EUROCONTROL:** European Organization for the Safety of Air Navigation
- EUROPOL:** European Police Office
- FC-G5S:** G5 Sahel joint force
- FOMUC:** Regional Peacekeeping Force to CAR
- GCC:** Gulf Cooperation Council
- GGC/CGG:** Gulf of Guinea Commission
- GTAM:** Working Group on Firearms and Ammunition (MERCOSUR)
- IBIN:** Interpol Ballistic Information Network
- ICC:** Interregional Coordination Centre
- ICGLR:** International Conference on the Great Lakes Region
- ICGLR:** International Conference on the Great Lakes Region
- ICRC:** International Committee of the Red Cross
- IED:** Improvised explosive device
- IGAD:** Intergovernmental Authority on Development
- INTERPOL:** International Criminal Police Organization
- IOC:** Indian Ocean Commission
- IRCC:** Inter-Regional Coordinating Committee
- ISSP:** IGAD Security Sector Programme
- LAS:** Arab League / League of Arab States
- MASE:** The Maritime Security Programme
- MERCOSUR:** : Mercado Común del Sur (in Spanish), Southern Common Market (in English)
- MICOPAX:** ECCAS Mission for the Consolidation of Peace in Central Africa
- MoU:** Memorandum of Understanding
- MRU:** Mano River Union
- MSG:** Melanesian Spearhead Group
- NARC:** North African Regional Capability
- NATO:** North Atlantic Treaty Organization
- OAS:** Organization of American States
- OCO:** Oceania Customs Organization
- ODECA:** Charter of the Organization of Central American States
- OECD:** Organization for Economic Cooperation and Development
- OSCE:** Organization for Security and Co-operation in Europe

LIST OF ACRONYMS

- PICP:** Pacific Islands Chiefs of Police
- PoA:** Programme of Action
- PSSM:** Physical Security and Stockpile Management
- RACVIAC:** Regional Arms Control Verification and Implementation Assistance Centre
- RCC:** Regional Cooperation Council
- RCC:** SARPCCO's Regional Coordinating Committee
- REC:** Regional Economic Community
- RECSA:** The Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States
- RIBIN:** Regional Integrated Ballistic Information Network
- SAARC:** South Asian Association for Regional Cooperation
- SADC:** Southern African Development Community
- SALW:** Small Arms and Light Weapons
- SARCOM:** Sub-Regional Arms Control Mechanism
- SARPCCO:** Southern African Regional Police Chiefs Co-operation Organisation
- SCO:** Shanghai Cooperation Organization
- SDG:** Sustainable Development Goals
- SEESAC:** South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons
- SELEC:** South-East Europe Law Enforcement Centre
- SICA:** Central American Integration Program
- SIPRI:** Stockholm International Peace Research Institute
- SIRAS:** Strengthening the fight against firearms trafficking in Southeastern Europe
- UEAC:** Central African Economic and Monetary Union
- UMA:** Arab Maghreb Union
- UNASUR:** Union of South American Nations
- UNDP:** United Nations Development Programme
- UNLIREC -** UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean
- UNOCA:** United Nations Office for the Coordination of Humanitarian and Economic Assistance Programmes relating to Afghanistan
- UNODA:** United Nations Office for Disarmament Affairs
- UNPOA:** Nairobi Protocol and the ATT
- UNRCPD:** United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific
- UNREC:** United Nations Regional Centre for Peace and Disarmament in Africa
- UNROCA:** UN Register of Conventional Arms
- UNSAC:** United Nations Standing Advisory Committee on Security Questions in Central Africa
- UNSCAR:** UN Trust Facility Supporting Cooperation on Arms Regulation
- WAPCCO:** West African Police Chiefs Committee Organization
- WMD:** Weapons of Mass Destruction



Introduction

The Arms Trade Treaty (ATT) is an international instrument that seeks to set the highest possible common standards to regulate the international trade in conventional weapons. Its aim is to reduce human suffering caused by irresponsible and illicit transfers across international borders. By addressing arms and ammunition flows that prolong conflict and hinder sustainable development the ATT is an instrument that - with effective implementation and compliance - can make a meaningful impact.

The ATT takes a cooperative approach by placing the burden of implementation and compliance upon each State Party, individually and collectively, rather than relying on an institutional review or specific compliance mechanism. Regional actors are uniquely positioned to coordinate and encourage such action among States Parties from which collective norms and standards can be developed. In fact, the Treaty acknowledges the important role of regional actors in supporting its implementation¹ and makes clear that State Parties may request, offer, or receive assistance through regional actors.²

And indeed, Regional Organizations played an important role in the initial development of the ATT. In Africa, for example, the Regional Centre on Small Arms (RECSA) and the Economic Community of West African States (ECOWAS) organized regular regional consultations during the ATT negotiation process, which took place in earnest between 2011 and 2013, to ensure governments remained current with the status of draft text. Similarly, in regions where Regional Organizations played an active role in raising awareness and building capacity to support ATT universalization and implementation, such as in the case of the Caribbean Community (CARICOM), initial rates of ratification and accession outpaced regions with less engagement.

In addition, we see convergence between the commitments outlined in the ATT and those in other international and regional instruments in the field of arms control, including the UN Programme of Action on Small Arms and Light Weapons, the International Tracing Instrument, the Nairobi Protocol, the Kinshasa Convention, the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials (CIFTA), and the EU Common Position. Often, it is the same Regional and sub-Regional Organizations that work to support these instruments that are also pivotal in ATT universalization and implementation, both where they overlap and where they diverge.

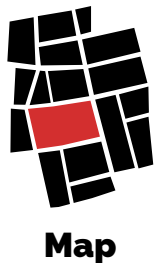
¹Treaty preamble "Mindful also of the role regional organizations can play in assisting States Parties, upon request, in implementing this Treaty"

²Article 16.2 "Each State Party may request, offer or receive assistance through, inter alia, the United Nations, international, regional, subregional or national organizations, non-governmental organizations, or on a bilateral basis."



Methodology

The ATT Regional Actor Handbook is the final product of a multi-year project developed in three key phases:



Map

An in-depth mapping exercise of 60 Regional Organizations, aimed to capture the initial landscape of Regional and sub-Regional organizations and their involvement in implementing the Arms Trade Treaty or otherwise regulating the international arms trade.

This mapping exercise included desk research covering Regional Organizations' structures, their formal activities, and all legal, normative, or political documents relevant to the arms trade or the Arms Trade Treaty.

During this phase, the team gathered data on a number of factors for each organization, including: the organization's membership; any relevant legal or political documents defining the relationship of the organization to the arms trade and the Arms Trade Treaty; the general area of focus of the organization's work; any relevant organizational rules or regulations concerning the export, import, transit, transshipment, and/or diversion of weapons; any reporting requirements put in place in by organization; and capacity-building or international assistance efforts planned and/or administered by the organization in the arms trade context.

**identify**

Identification of the regional and sub-Regional Organizations most involved in Arms Trade Treaty implementation and other related arms trade regulation efforts.

Organizations were selected based on the data gathered in the first phase of this project, including by selecting organizations with clear mandates to work on issues relevant to the ATT, those with a pattern of related activities, and those with a reputation for engagement in cross-cutting issues and challenges. The 26 organizations selected include the UN regional Centers for Disarmament in each region and, key regional integration organizations, as well as law enforcement and customs organizations. Once selected, the research team contacted and, where possible, interviewed each organization to capture in greater detail the range and depth of the organization's work on ATT implementation and other arms trade regulation. To facilitate discussions and generate further input from key stakeholders during the C2021-2022 SP8 ATT cycle, in October 2021, the research team presented an initial outcome document titled the [ATT Regional Actor Study](#). This Study highlights initial findings and provides an in-depth look at several key Regional Organizations that actively contributed to the Treaty's universalization and implementation. The Study also highlights lessons learned and sets out recommendations on how ATT stakeholders can continue to foster engagement of Regional Organizations in ATT universalization and implementation efforts.



Development and Publication of the Regional Actors Handbook

This second and final resource, the ATT Regional Actors Handbook, sets out a comprehensive mapping of activities and efforts carried out by each of the 29 regional actors identified, including the UN Regional Centers for Disarmament, as well as regional integration and law enforcement organizations. In addition to mapping regional actors' engagement with the ATT, the Handbook also includes analysis of linkages between the ATT and regional arms control instruments and promotes a better understanding of how programmes and activities designed to combat the illicit arms trade, to strengthen arms control regulation and promote transparency in the international arms trade may complement the efforts to implement the Treaty. Finally, the handbook sets out recommendations on how Regional Organizations, ATT States Parties and other stakeholders, both individually and collectively, can support the universalization and effective implementation of the ATT.



Handbook: Structure and Overview

The Regional Actors project as a whole takes stock of the work of Regional Organizations to better understand how they contribute to ATT promotion, universalization, and implementation efforts and to identify opportunities for further engagement of Regional Organizations in supporting the ATT. This Handbook is primarily intended as a guide for ATT States Parties to share useful information with a view toward supporting promotion, universalization, and implementation of the ATT.

While it does not provide a comprehensive view of the work undertaken by Regional Organizations in the area of conventional arms control, it gives a snapshot of the diversity of instruments, policies, tools and activities developed and undertaken in this area by a variety of regional bodies, with a specific focus on the ATT. It also highlights several areas in which the Regional Organization experience can provide guidance and lessons learned for ATT promotion, universalization, and implementation and offers suggestions on how Regional Organizations, ATT States Parties and other stakeholders can work together to achieve them.

PART I - PROFILES OF REGIONAL ORGANIZATIONS

Using the Small Arms Survey Handbook on **"Regional Organizations and the UN Programme of Action on Small Arms (PoA)"** as a model, the first part of the ATT Regional Actors Handbook

showcases the profiles of 27 regional organizations. These organizations were selected for inclusion in the Handbook based on their engagement with the ATT or related instruments and programs.

The profiles are organized in five geographic regions: Africa, the Americas, Asia and Oceania, Europe, and the Middle East. Each profile is comprised of two sections:

1. Organization Description

The 27 Regional Organizations covered in the handbook are categorized into 3 types of organizations 1) UN Regional Centers for Peace and Disarmament ("UN Regional Centers"); 2) Regional Integration Organizations and 3) Regional Law Enforcement Organizations. This section also includes a list of members of each Regional Organization and the status of the ATT universalization among these member states.

Where applicable, the profiles also include information on regional instruments which share linkages or complementarities with the ATT. This section, which includes both legally binding as well as political commitments, covers a range of instruments including treaties, conventions, political declarations, regional roadmaps and frameworks. In addition, as set out in featured boxes, seven legally binding regional instruments on arms control, including CIFTA, ECOWAS Convention, SADC Protocol, are explored in more detail in connection with the ATT.

This analysis seeks to foster a better understanding of the key synergies and complementarities between the ATT and these instruments, in order to better illustrate the relevance of the broad range of activities and efforts by Regional Organizations to the universalization and implementation of the ATT.

2. Account of ATT-related activities

In this section, the research team looked at 2 key areas:

- **ATT Support.** This section summarizes initiatives carried out by Regional Organizations specifically in support of the Treaty's universalization and implementation.
- **Establishing Transfer Controls.** This section captures assistance provided by Regional Organizations in support of the development of arms transfer control systems. It also outlines procedures and activities undertaken by the Regional Organization that relate to the implementation of relevant regional instruments that have a direct or indirect link to the implementation of the ATT. Given the broad range of assistance covered in this subsection, activities are organized in four types of initiatives:
 - **National Control System.** As a primary step towards ATT implementation, States Parties must establish or adapt their existing arms transfer control systems and adopt a national control list, setting out the range of conventional arms and related items that are subject to national trade controls (ATT Article 5). Regional organizations, especially those which are also responsible for the implementation of regional arms control instruments, provide support to members in the development and strengthening of national control systems, including drafting of national control lists, development of end-user controls, regulations for brokering and transit and transshipment, support with record-keeping and capacity building on the implementations of arms transfer control measures. This section therefore captures activities which directly support or complement the Treaty's general implementation requirements as outlined in Article 5 of the ATT.
 - **Legal Assistance.** Another key area through which Regional Organizations indirectly support the Treaty's universalization and implementation is through the provision of legal support to implement regional and international arms control instruments and to develop comprehensive legal frameworks for arms transfer controls at the national and regional level. This section captures these types of activities, including drafting and harmonization of legislation, development of model legislation, awareness-raising initiatives for Members of Parliaments and workshops for national focal points and national Commissions on SALW/Firearms. In many cases, this section illustrates how these efforts can also contribute to ATT domestication efforts.
 - **Diversion Prevention.** Illicit trafficking and diversion of arms remain key challenges across all regions. ATT Article 11 compels each country involved in an arms transfer to "take measures to prevent their diversion." However, much of this burden tends to fall upon exporting states, which are required to prevent diversion "by assessing the risk of diversion of the export and considering the establishment of mitigation measures such as confidence-building measures or jointly developed and agreed programmes" (ATT Art. 11.2). This section captures efforts and actions by Regional Organizations that support these ATT requirements to combat and prevent diversion, including efforts to strengthen PSSM, the collection and destruction of SALW, ammunition and parts and components, identification of and sharing of information on potential points of diversion and misuse, capacity-building for law enforcement and border officials, and workshops on cross-border cooperation.

- **Gender and GBV.** The Arms Trade Treaty (ATT) is the first legally binding global instrument to recognise and create obligations around the connection between arms transfers and gender-based violence. However, the Treaty does not provide guidance on how states should develop and implement GBV criteria required to conduct a risk assessment under ATT Article 7.4. In addition, the Fifth Conference on States Parties to the ATT (CSP5) adopted a set of decisions on gender and GBV centered on three main areas: 1) Gender-balanced representation in ATT-related decision-making processes; 2) gendered impact of armed violence in the context of the ATT; and 3) Implementation of GBV-related risk assessments. A number Regional Organizations have developed policies and guidelines on gender and GBV, including programs to mainstream gender in small arms controls which complement the Treaty's GBV requirements and contribute to the CSP5 commitments on this topic.

PART II - KEY FINDINGS AND RECOMMENDATIONS

This section provides a set of general findings and specific recommendations for Regional Organizations, for ATT States Parties and other stakeholders. The recommendations draw on research findings and take into account the different types of organizations profiled (Regional Integration Organizations, UN Regional Centres, and Law Enforcement Organizations) as well as the challenges they face in relation to ATT promotion, universalization and implementation. In particular, the recommendations highlight opportunities through which Regional Organizations could further their engagement in the ATT as well as ways in which member states can partner with Regional Organizations on ATT-related projects.

ANNEXES

The Handbook also includes three Annexes:

- **Annex I** provides a snapshot of the information provided in the Regional Organization profiles. In table format, this Annex highlights by region which Regional Organizations, carry out work in support of the ATT and which organizations contribute indirectly to the Treaty either through efforts to establish transfer controls, including development of National Control Systems, Legislative Assistance, and Diversion Prevention and Gender & GBV, or through work on Gender and GBV.
- **Annex II** provides a survey of regional instruments and agreements included in the profiles outlined in Part I with a particular focus on their scope and reporting requirements. In terms of scope, Annex 2 identifies the type of weapons each regional instrument seeks to regulate, such as the trade in SALW, Firearms, or Conventional Arms (or a combination of the three), and whether any of the provisions of the instrument applies to ammunition and parts and components. In terms of reporting obligations, the table identifies the regional instruments that require states to submit reports on arms transfers, implementation, or both.
- **Annex III** provides a list of all the Regional Organizations reviewed as part of this study but not selected for inclusion. The list includes a brief description of each Regional Organization as well as general information on activities related to disarmament and arms control as well as cross-cutting issues that implicate the ATT, such as terrorism and organized crime.



ARMS TRADE TREATY REGIONAL ACTOR HANDBOOK

AMERICAS

United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC)

Organization of American States (OAS)

Caribbean Community (CARICOM)

Mercado Común del Sur (MERCOSUR)

Central American Integration Program (SICA)

United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC)



Region: Latin America

Headquarters: Lima, Peru



Type of organization:

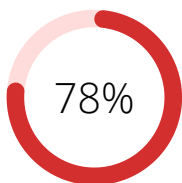
UN Regional Center



Number of Members: 33

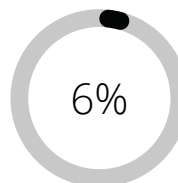
List of members:

Antigua and Barbuda, Argentina, Bahamas, Barbados, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago, Uruguay, and Venezuela



Proportion of RO Members that are ATT States Parties:

78% (26 out of 33)



Proportion of RO Members that are ATT Signatories:

6% (2 out of 33)

About the Organization

Photo source: www.unlirec.org



UNLIREC, established in 1986 and headquartered in Lima, works to “translate the decisions, instruments and commitments of Member States in the field of disarmament and non-proliferation into action, at national, sub-regional, and regional levels.”³ As part of the regional disarmament branch of the UN Office for Disarmament Affairs (UNODA), UNLIREC carries out activities in two main programmatic areas: conventional arms control and non-proliferation. Though UNLIREC works on both conventional arms control and on non-proliferation, the vast majority of UNLIREC’s focus is on conventional arms control – and on small arms control and illicit firearms trafficking, in particular – since that is primarily where states in the region request the organization’s assistance

Activities



ATT Support

UNLIREC supports the universalization and implementation of the ATT in two key ways. First, it conducts a stand-alone five-day course on ATT implementation that provides an article by article overview of the Treaty as well as practical guidance related to legislation, control measures, risk assessment, gender-based violence, and end-use(r) documentation. Second, UNLIREC conducts work in partnership with other Regional Organizations on arms control. For example, UNLIREC and the OAS work closely together on legislative and policy approaches as well as assistance projects relating to stockpile management and weapons destruction. A second example is UNLIREC's work with CARICOM on the Caribbean Firearms Roadmap (see below for more on this collaboration). Also, upon a state's request, UNLIREC will serve as an implementing partner on ATT VTF projects.



Establishing Transfer Controls

National control systems

To support States efforts to strengthen national and regional transfer controls, UNLIREC provides support in drafting and adopting national control lists and developing import/export licensing structures and risk assessment check-lists, templates and practical exercises.⁴

UNLIREC cooperates and coordinates with relevant Regional Organizations, including OAS⁵, CARICOM⁶ and SICA⁷ to support training activities and assist states in implementing practical arms control and disarmament measures. UNLIREC also works closely with the private sector on issues related to regulations, periodic destruction of weapons, stockpile management, marking and tracing, responsible ownership and transfers of weapons.⁸

Diversion prevention

UNLIREC provides training programs and direct support to strengthen states ability to prevent and reduce weapons diversion. Through these courses, UNLIREC works with customs officers and port of entry authorities on developing tools and procedures to detect weapons, parts and components that cross borders illegally, and to carry out seizures of those weapons.

Gender and Gender-based Violence

UNLIREC supports the implementation of UN General Assembly resolution 65/69 which calls for the promotion of the equitable representation of women in all decision-making processes with regard to matters related to disarmament, non-proliferation and arms control.

As part of this work, UNLIREC supports national and regional arms control authorities, law enforcement, judicial operators and legislators to integrate gender-sensitive perspectives into national arms control measures, to generate evidence-based dialogue on the status of firearms possession and use in academic settings with a focus on women and girls or to increase the participation of female officers working on security and arms control.⁹ More recently, UNLIREC also partnered with governments in the region to conduct training on gender perspective in the investigation of crimes involving firearms.¹⁰

Organization of American States (OAS)



Region: Americas

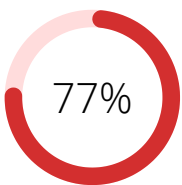
Headquarters: Washington, D.C.



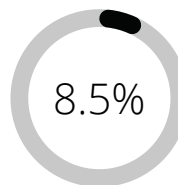
Number of Members: 35

List of members:

Antigua and Barbuda, Argentina, Bahamas, Barbados, Belize, Bolivia, Brazil, Canada, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, the Bahamas, Trinidad and Tobago, United States of America, Uruguay, and Venezuela



Proportion of RO Members that are ATT States Parties:
77% (27 out of 35)



Proportion of RO Members that are ATT Signatories:
8.5% (3 out of 35)

About the Organization

Photo source: www.oas.org/en/



The Organization of American States (OAS) was established in 1948 to achieve among its Member States—as stipulated in Article 1 of the Charter—"an order of peace and justice, to promote their solidarity, to strengthen their collaboration, and to defend their sovereignty, their territorial integrity, and their independence. The Organization, which brings together all 35 independent states of the Americas, uses a four-pronged approach to effectively implement its essential purposes, based on its main pillars: democracy, human rights, security, and development.¹¹

Regional Instruments



Inter-American Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and other related Materials (CIFTA)

Adopted in 1997, CIFTA is a legally binding agreement between the states of the Americas to control and regulate the illicit manufacturing of and trafficking in firearms. Specifically, States Parties to CIFTA are required to: mark firearms; criminalize the illicit manufacture of and trafficking in firearms; establish export, import, and transit license regimes; strengthen controls at points of export; and establish other security measures, including stockpile management and security.

All the OAS Member States have signed the Convention and 31 have ratified it.

Box 1. Core linkages between the ATT and CIFTA

While the scope of CIFTA is limited only to firearms, all CIFTA provisions apply equally to ammunition, explosives and parts and components. In the case of the ATT, while the scope of the Treaty is much broader to include the seven UNROCA categories of conventional arms plus SALW, Articles 8-13 (which cover import, transit and transshipment, brokering, diversion, record-keeping and reporting) do not apply to ammunition or parts and components. However, both instruments share a similar purpose - to prevent and combat the illicit trafficking in arms and to promote cooperation among States Parties in this area (ATT Art. 1 and CIFTA Art. II)

National control system

Both instruments require the establishment of a national control system. The ATT requires states to establish and maintain such a system, including a national control list and CIFTA requires States Parties to establish and maintain an effective control system of export, import and international transit (ATT Art.5.2 and CIFTA Art IX.1).

Export controls

While the ATT includes detailed provisions for exporting state, including an extensive risk assessment process prior to exporting conventional arms, CIFTA requires only that states ensure that the necessary licenses or authorizations from importing and transit states have been issued prior to releasing shipments of firearms, ammunition, explosives, and other related materials (ATT Art 6 and 7 and CIFTA Art VIII). CIFTA also requires states to strengthen controls at the point of export by adopting measures necessary to detect and prevent the illicit arms trafficking (CIFTA Art. X).

Import controls

The ATT includes two requirements for importing states: 1) to provide information, upon request, to the exporting state, to assist them in conducting the export risk assessment, and 2) to take measures to regulate, where necessary, imports under its jurisdiction (ATT Art. 8.1 and 8.2). CIFTA, on the other hand, includes just one key requirement for importing states: to notify the exporting states, upon request, of the receipt of dispatched shipment of arms. In addition, ATT Article 8 also specifies that importing states may request information from the exporting State Party, concerning any pending or actual export authorizations. (ATT Art 8.3).

Transit controls

In its provisions related to export, import and transit controls, CIFTA stipulates that states shall not permit the transit of arms, ammunition and other related materials without a corresponding license or authorization from the receiving state. On the other hand, the ATT specifies only that States Parties “shall take appropriate measures to regulate, where necessary and feasible, the transit or transshipment of conventional arms”. In this regard, CIFTA's provisions are more directive, whereas the ATT allows its State Parties more flexibility to determine how and when to apply transit and transshipment controls. However, through ATT Article 6, the Treaty requires all States Parties to prohibit any transfer of conventional arms, including in transit and transshipment, if the transfer would be in violation of UNSC decisions, such as arms embargoes, or other relevant international obligations, or if the state has knowledge that the arms would be used in the “commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party” (ATT Art. 6). In this regard, the ATT establishes a clear baseline where denial of transit and transshipment licensing requests is required.

Recordkeeping

Both instruments include provisions on recordkeeping. The ATT recordkeeping provisions are focused on national records of issuance of export authorizations or of actual arms exports. CIFTA, on the other hand, requires states to maintain “for a reasonable time information necessary to trace and identify illicitly manufactured and illicitly trafficked firearms”. (ATT Art. 12.1 and CIFTA Art. XI). The recordkeeping provisions under the two instruments are therefore complementary and can serve as a critical tool in states efforts to prevent the diversion and illicit trafficking of arms.

Reporting

Unlike the ATT, there are no reporting requirements under CIFTA. Nonetheless, the OAS is in the process of developing a voluntary questionnaire to be answered every 2 years on measures States Parties have taken to implement the Convention. The OAS plans to include in the survey questions related to firearms control practices, with specific references to the ATT.¹²

Cooperation

CIFTA provides clear requirements and guidance on how states must leverage cooperation to address the illicit firearms trafficking. Under CIFTA, States must cooperate at the bilateral, regional, and international levels to prevent, combat, and eradicate the illicit manufacturing of and trafficking in firearms, ammunition, explosives, and other related materials and must exchange information on “authorized producers, dealers, importers, exporters, and, whenever possible, carriers,” the means of concealment and trafficking routes, legislative experiences, practices, and measures to prevent, combat, and eradicate the illicit manufacturing of and trafficking in firearms (CIFTA Art XIV and XIII.a-d).

In a similar but less prescriptive provision, the ATT encourages states to assist ATT national implementation, including by sharing information on “illicit activities and actors and in order to prevent and eradicate diversion of conventional arms” (ATT Art 15.4). In addition, with the inclusion of the word “encourages”, the Treaty makes it clear that this is not an obligation, but rather a suggested good practice that ATT States Parties may employ in their efforts to address diversion.

Unlike the ATT, CIFTA includes specific requirements for states to exchange information on “techniques, practices, and legislation to combat money laundering” related to illicit trafficking. In contrast, the ATT simply encourages States Parties to take national measures and to cooperate with each other to prevent the transfer of conventional arms from becoming subject to corrupt practices. (CIFTA Art. XIII.e and ATT Art. 15.6).

Both instruments include additional, but unrelated requirements concerning cooperation. CIFTA States Parties are required to share with each “relevant scientific and technological information useful to law enforcement” and to cooperate in tracing to prevent, detect, and investigate the illicit manufacturing of and trafficking in firearms (CIFTA Art. XIII). More generally, the ATT requires cooperation among States Parties to effectively implement the Treaty. However it simply encourages States Parties to “consult on matters of mutual interest and to share information, as appropriate, to support the implementation of this Treaty” and to “exchange experience and information on lessons learned in relation to any aspect of this Treaty.” (ATT Art. 15.1 15.3 and 15.7)

Assistance

Assistance is captured in the ATT in Article 16, which notes that states may seek assistance, including legal or legislative assistance, institutional capacity-building, and technical, material or financial assistance, may request offer or receive bilateral, regional or international assistance and provides for the establishment of a voluntary trust fund to assist requesting States Parties to implement the Treaty. Placing great importance on assistance, CIFTA includes not one but three comprehensive and prescriptive articles on assistance, which range from the sharing of experiences and trainings, to technical assistance and legal assistance.



Inter-American Convention on Transparency in Conventional Weapons Acquisitions (CITAAC)

CITAAC, which entered into force on 21 November 2002, is a regional transparency regime that requires its States Parties to report annually their exports and imports of conventional arms,¹³ including the type and quantity of weapons transferred and the name of the exporting or importing country. Similarly, States Parties are also required to notify the OAS General Secretariat of their weapons acquisitions, whether imported or produced domestically no later than 90 days after incorporation into a state-party's armed forces inventory (CITAAC Art. IV.b).

As the ATT also requires states to report on annual arms imports and exports on some of the same categories of arms,¹⁴ there are strong synergies between the reporting requirements under these two instruments. The ATT reporting template, which is more detailed and comprehensive than CITAAC, could be used by States Parties to submit CITAAC annual reports on exports and imports. However, to comply fully with CITAAC's reporting requirements, States Parties need to submit a separate report on domestic acquisition, which is information not required by the ATT.

Twenty-one OAS countries, including the United States, have signed CITAAC and seventeen have ratified or acceded to it.

Activities



ATT Support

The OAS provides support and guidance to Member States in drafting and updating legislation to ensure that they are compliant with CIFTA and with other relevant international practices and agreements. Most relevant to the ATT is the **Model Legislation on Export Controls (2008)**, which details good practices that outline not only how to operationalize CIFTA, but also contains provisions related to export controls in the ATT.¹⁵ Similarly, the OAS Program of Assistance for Control of Arms and Munitions supports Member States in countering the illicit manufacture¹⁶ of arms and munitions by implementing regulations related to the security, handling and/or destruction of firearms, ammunition, explosives, and other related materials.



Establishing Transfer Controls

National control systems

The OAS has initiated a number of projects to strengthen transfer controls across the region which are relevant to ATT practitioners. For instance, workshops held in Mexico in 2013 sought to assist the government in strengthening its national exports control system, including through the sharing of international best practices, exchange of information and intelligence, and discussion of risk assessment and options for licensing processes.¹⁷ Similarly, between 2015 to 2018, the OAS Mission to Support the Peace Process in Colombia (MAPP/OAS), which carried out monitoring and support tasks related to the peace policy in Colombia, also included activities related to transfer controls.¹⁸

The OAS conducts projects aimed to strengthening capacities related to physical security and stockpile management (PSSM), arms and ammunition marking and tracing,¹⁹ export,²⁰ and brokering controls that indirectly contribute to ATT implementation. In addition, the EU-funded project “Central American Firearms Roadmap,” which provides countries in the region with a regional, coordinated, and evidence based approach to firearms controls, will also advance the implementation of key ATT provisions.²¹

Diversion prevention

The OAS is working to develop the Cross-Border Regional Communication Mechanism on Illicit Transfers of Firearms, Ammunition and Other Related Materials (MCTA). This mechanism, inspired by the transparency and information-sharing principles in the ATT and based on EU best practices, will serve as a secure communication channel between States Parties on matters related to issuing or denying export, import, and transit licenses. The mechanism can be used to share and request information related to arms and ammunition transfers, allowing for prompt identification of possible vulnerabilities or risks which may make diversion more likely.²²

Gender and Gender-based Violence

The OAS has initiated a workstream on gender. The organization is in the process of creating regional standards, followed by training programs on how to prevent gender-based violence committed with firearms, therefore indirectly contributing to the understanding and implementation of Article 7.4 of the ATT.

Caribbean Community (CARICOM)/Caricom IMPACTS



Region: Caribbean

Headquarters: Georgetown, Guyana



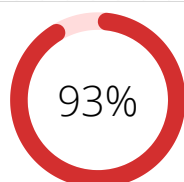
Type of organization:
Regional Integration



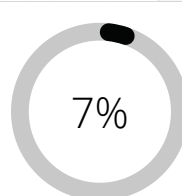
Number of Members: 15

List of members:

Guyana, Dominica, Suriname, Antigua and Barbuda, Bahamas, Barbados, Belize, Grenada, Haiti, Jamaica, Montserrat, Saint Lucia, St Kitts and Nevis, St Vincent and the Grenadines, Trinidad and Tobago



Proportion of RO Members that are ATT States Parties:
93% (13 out of 14 states²³)



Proportion of RO Members that are ATT Signatories:
7% (1 out of 14 states)

About the Organization

The Caribbean Community (CARICOM) was founded in 1973 with the aim to achieve political and economic integration among Caribbean countries. Related to the ATT, the Caribbean Community Implementation Agency for Crime and Security (CARICOM IMPACS) was established in 2006 to coordinate efforts related to small arms trafficking and controls in the region. It has direct responsibility for research, monitoring, evaluation, analysis, preparation of documents and reports, and development and implementation of projects with respect to CARICOM's crime and security agenda. Part of CARICOM IMPACS role is to provide and facilitate international cooperation and assistance for its CARICOM Member States. As part of this role, the organization was a key resource for states and stakeholders during the ATT negotiations and continues to actively support ATT.²⁴

Regional Instruments



CARICOM Declaration on Small Arms and Light Weapons

Adopted in 2011, this regional instrument commits Member States to implement all necessary actions at the national and regional level to combat the illicit trade in small arms and light weapons and their ammunition. The CARICOM Declaration reiterates Member States' commitment to the implementation of the 2001 Programme of Action to Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons and calls for the establishment of a global ATT.²⁵



The Roadmap for Implementing the Caribbean Priority Actions on the Illicit Proliferation of Firearms and Ammunition across the Caribbean in a Sustainable Manner by 2030 (Caribbean Firearms Roadmap)

The Caribbean Firearms Roadmap was developed by UNLIREC and CARICOM IMPACS to consolidate and operationalize the political commitments made by CARICOM Member States in the 2019 document titled Caribbean Priority Actions on Addressing Illicit Trafficking of Firearms.²⁶

The Caribbean Firearms Roadmap has four primary goals:

1. To reinforce regulatory frameworks governing firearms and ammunition;
2. To reduce the illicit flow of firearms and ammunition into, within, and beyond the Caribbean;
3. To bolster law enforcement capacity to combat illicit firearms and ammunition trafficking and their illicit possession and misuse; and,
4. To systematically decrease the risk of diversion of firearms and ammunition from government and non-government-owned arsenals.²⁷

The goal most directly related to the ATT in the Caribbean Firearms Roadmap is the first one: “to reinforce regulatory frameworks governing firearms and ammunition,” particularly through three of its targets. Target 1.1 calls for “universal adherence to relevant regional and/or international firearms instruments,” and ATT implementation and compliance with ATT reporting are listed as actions to be undertaken by states by the end of 2022. Target 1.2 makes reference to the fact that the CARICOM Model Legislation seeks to strengthen Member States’ abilities to implement relevant international instruments, including the ATT. Finally, Target 1.4 calls for “enforcement of existing import and export control laws on firearms,” and refers to ATT trainings delivered by UNLIREC in the international assistance and cooperation section.²⁸

Activities



ATT Support

In 2016, the CARICOM Secretariat developed the **CARICOM Model Law: Arms Trade Treaty Bill** (ATT Model Law) to strengthen the ability of CARICOM Member States to join and implement the ATT. The Model Law goes beyond the requirements of the ATT by taking into consideration the unique circumstances and particularities of the region.²⁹ CARICOM IMPACS also provide a range of training programs and assistance to Member States in the region, including to support the adoption of the ATT Model Law in order to build institutional capacity at the national level and ensure Member States fulfill the ATT’s reporting requirements.³⁰ In partnership with the Women’s Institute for Alternative Development (WINAD), and more recently with the Caribbean Coalition for Development and the Reduction of Armed Violence (CDRAV), CARICOM IMPACS has also carried out projects to review national ATT legislation and, with the Mines Advisory Group (MAG), on weapons destruction in Trinidad and Tobago.³¹



Establishing Transfer Controls

National control systems

CARICOM IMPACS assists Member States with strengthening their arms transfer control systems through the provision of trainings and resources on small arms control standards,³² end user controls and brokering controls.³³ For instance, in January 2021 the organization in partnership with the Small Arms Survey, launched a joint project “to improve the capacity of CARICOM States to prevent the illicit circulation of small arms and light weapons and enhance States’ implementation of commitments under international and regional arms control instruments.”³⁴ Similarly, in January 2022, CARICOM IMPACS and UNODC organized a virtual regional meeting on the establishment of Integrated Firearms Centres in the Caribbean region. The Integrated Firearms Centres would collect, analyze and distribute information at national level as well as act as a focal point for the purpose of information exchanges and cooperation with law enforcement agencies in other countries. The Centres would be responsible for implementing firearms control, including forensics, firearms registries, investigating and tracing illicit trafficking of firearms, their parts and components and ammunition, and other related crimes.³⁵

Diversion prevention

Close cooperation between INTERPOL and CARICOM IMPACS allows the Regional Organization to facilitate coordination in efforts to prevent and prosecute cases of illicit trafficking and diversion of arms and ammunition in the region.

CARICOM IMPACS has also established a Regional Integrated Ballistic Information Network (RIBIN) that targets “crime guns” through ballistic identification and encourages sharing of information among CARICOM Member States. RIBIN also enables states in the region to connect and utilize the Interpol Ballistic Information Network (IBIN), allowing for international collaboration among law enforcement agencies worldwide.³⁶

Gender and Gender-based Violence

With its strong focus on safeguarding human rights, CARICOM also developed initiatives to prevent gender-based violence, including the implementation of the GBV criteria in the ATT. The CARICOM Secretariat has in place a CARICOM Gender Equality Policy that champions gender equality and the empowerment of women through projects carried out with Member States as well as international and regional development partners. In 2022, CARICOM also launched a series of consultations focused on the development of a “CARICOM Regional Gender Equality Strategy (CRGES)” that will provide a framework for strategic action to achieve gender equality and women’s empowerment in the region.³⁷

Mercado Común del Sur (MERCOSUR)



Region: South America

Headquarters: Montevideo,
Uruguay



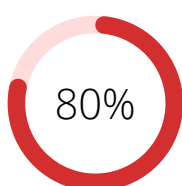
Type of organization:
Regional Integration



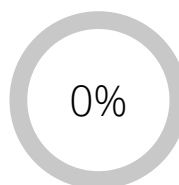
Number of Members: 5

List of members:

Venezuela, Brazil, Paraguay,
Uruguay, Argentina



**Proportion of RO Members
that are ATT States Parties:**
80% (4 out of 5)



**Proportion of RO Members
that are ATT Signatories:**
None

About the Organization

MERCOSUR is an economic and political process aimed at promoting free trade and movement of goods, people, and currency among its members. MERCOSUR also addresses peace and security and arms control issues at the inter-governmental level and establishes sub-regional political commitments to control the illicit arms trade. MERCOSUR decisions are binding and do not require approval or ratification by national legislatures.

Regional Instruments

In 1998, MERCOSUR issued the **Southern Cone Presidential Declaration on Combating the Illicit Manufacturing and Trafficking in Firearms, Ammunition and Related Materials**.³⁸ This led to the establishment of a joint registration mechanism for firearms, ammunition, explosives and other related materials within the MERCOSUR Security Information System.³⁹ This mechanism combines registries of individuals and legal entities that buy, sell, exchange, import, export and distribute firearms, with registries of ports of shipment and importation and national registries of individual and institutional firearms owners.

In 2000, MERCOSUR adopted the **Código de Correspondencia Regional de Armas del Mercosur**, a mechanism which seeks to harmonize definitions for certain categories of firearms by compiling and identifying differences in the denominations of firearms and ammunition used by the MERCOSUR States.⁴⁰ Further, in 2001 MERCOSUR and its Associated Members established the Working Group on Firearms and Ammunition (GTAM).

The GTAM serves as a forum for sub-regional cooperation on controlling the production and transfer of firearms and ammunition and exchanging information on issues relevant to the ATT. The GTAM also assists countries in making progress towards the implementation of international instruments on firearms.

As part of its work, the GTAM also supports the development of legislation on stockpile controls at the national and sub-regional level, raises awareness of and public support for small arms issues and establishes convergent sub regional security policies to facilitate information sharing and cooperation.⁴¹ For example in 2004, the GTAM adopted a memorandum of understanding on the Exchange of Information on the Illicit Manufacturing and Trafficking of Firearms, Ammunition, Explosives and Other Related Materials to tackle the problem of illicit cross-border trafficking and help promote cooperation among national law enforcement authorities.⁴²

Activities



ATT Support

Within the GTAM's discussions on the harmonization of arms control policies and measures at the sub-regional level, work is undertaken on general ATT implementation. For example, in 2018, the GTAM focused on the link between the ATT, the Sustainable Development Goals (SDGs) and the UNPoA, related legislative changes needed to implement arms control instruments as well as the incorporation of a gender focus that promotes gender equality.⁴³



Establishing Transfer Controls

National control systems

The 24th Meeting of the GTAM held in 2013 discussed the potential for regional harmonization of firearms marking codes to facilitate tracing. Transfer controls were also discussed.⁴⁴ Building on these discussions, in 2014 at the 25th Meeting of the GTAM, participants discussed progress more broadly on relevant multilateral instruments, including the ATT, and the potential for sub-regional harmonization of national legislation.

Similarly, the 37th Meeting of GTAM held in 2021, discussed plans and expectations for the ATT process including the establishment of the Diversion Exchange Forum (DIEF). Member States also shared measures taken at the national level to address the illicit trafficking and diversion of arms and ammunition, including through financial support from the ATT Voluntary Trust Fund.⁴⁵

Central American Integration Program (SICA)



Region: Central America

Headquarters: San Salvador,
El Salvador



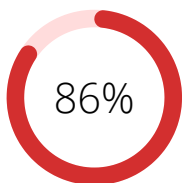
Type of organization:
Regional Integration



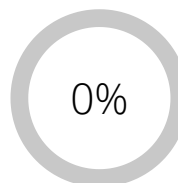
Number of Members: 7

List of members:

Belize, Costa Rica, El Salvador, Guatemala,
Honduras, Nicaragua, Panama



**Proportion of RO Members
that are ATT States Parties:**
86% (6 out of 7)



**Proportion of RO Members
that are ATT Signatories:**
None

About the Organization

Photo source: www.sica.int



The **Central American Integration System (SICA)** was formed with the signing of the Tegucigalpa Protocol in 1991, which amended the Charter of the Organization of Central American States (ODECA) of 1962. The Protocol embodies a vision of Central America as a region of peace, democracy and development.⁴⁶ The **Framework Treaty on Democratic Security** was signed in 1995. This Treaty initiated the Central American Democratic Security Model, based on democracy and the strengthening of its institutions and of the rule of law. The foundations of the Democratic Security Model include, among others, the strengthening of civilian power, the reasonable balance of forces, the safeguarding of individuals and their property, the eradication of violence, corruption, impunity, terrorism, and the fight against drug and arms trafficking.⁴⁷

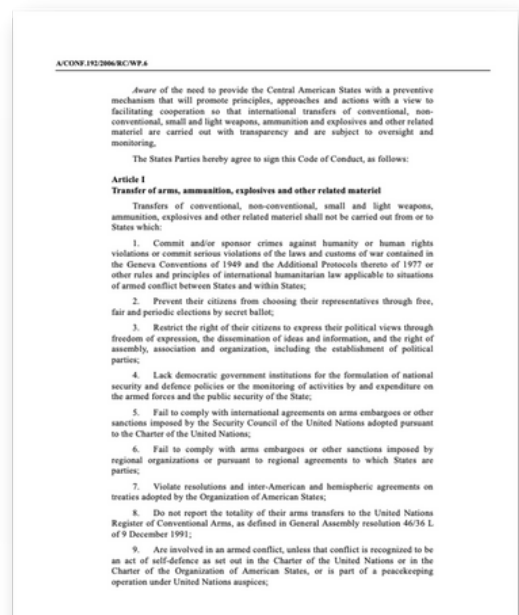
Regional Instruments



Code of Conduct on Arms Transfer

More relevant to the ATT is the **Code of Conduct on Arms Transfer**, which SICA adopted in 2005. The Code stipulates in Article 1 that transfers of conventional, non-conventional, small and light weapons, ammunition, explosives and other related material shall not be carried out from or to States which, among other things:

1. Commit and/or sponsor crimes against humanity or human rights violations or commit serious violations of the laws and customs of war contained in the Geneva Conventions of 1949 and the Additional Protocols thereto of 1977 (...);
2. Fail to comply with international agreements on arms embargoes or other sanctions imposed by the Security Council of the United Nations (...);
3. Fail to comply with arms embargoes or other sanctions imposed by regional organizations or pursuant to regional agreements to which States are parties;
4. Violate resolutions and inter-American and hemispheric agreements on treaties adopted by the OAS;
5. Do not report the totality of their arms transfers to the United Nations Register of Conventional Arms;
6. Are involved in an armed conflict, unless that conflict is recognized to be an act of self-defense as set out in the Charter of the United Nations or in the Charter of the OAS, or is part of a peacekeeping operation under United Nations auspices.”⁴⁸



In 2007, SICA adopted the **Central American Security Strategy**, which seeks to guide coordinated actions on security matters, including crime reduction, violence prevention, and reintegration programmes. The strategy, revised in 2011, includes among its objectives arms control, crime and violence prevention, the fight against terrorism, the strengthening law enforcement institutions, and other police issues. Activities related to arms control include: the implementation of relevant international treaties, including CIFTA; adoption of best practices for the control of arms trafficking in the region by customs and border authorities; establishment of information exchanges on legally registered firearms and a regional register of seized firearms; establishment of fora in which the legal standards of each country regarding arms control are analyzed in order to implement international standards at the domestic level. The strategy also aims to orient coordinated actions on regional security matters.⁴⁹

Activities



Establishing Transfer Controls

National control systems

In 2003, SICA launched the Central American Programme on Small Arms Control (CASAC). In 2009, CASAC undertook a multi-year project supported by the EU on national arms control systems. Through CASAC, SICA has carried out public awareness campaigns, conferences, and multidisciplinary capacity building activities.

CASAC has organized training programmes and courses on border controls, illicit trafficking and forensics. For example in 2015, CASAC provided training to government officials from El Salvador, Belize, Dominican Republic, Honduras, Guatemala, Costa Rica, and Panama to strengthen their capacities in the implementation of firearms control and in preventing the illicit firearms traffic and explosive material in Central America. The project included investigation training for law enforcement supporting enhanced cooperation between police services.⁵⁰

In 2016, CASAC co-organized a regional seminar to bring together judges, prosecutors, police investigators, and government representatives from all SICA Member States to address illicit firearms trafficking using an integrated approach. The overall aim was to define mechanisms to counter illicit trafficking departing from regional instruments, harmonizing and updating legal frameworks, identifying good practices in police and judiciary matters and dismantling firearms trafficking within organized criminal structures.⁵¹

Diversion Prevention

In the framework of the Support For The Fight Against Illegal Possession And Trafficking Of Firearms In Central America And Neighboring Countries Project, between 2012 and 2015 SICA-CASAC delivered training courses with the objective of assisting Central American States to strengthen the capacity of national customs and police operatives to more effectively detect and intercept small arms and their parts and components. The courses were designed as a response to the illicit trafficking modus operandi of smuggling small arms and parts and components in small shipments through entry points (airports, ports, and land checkpoints).⁵²



Footnotes

³ UNLIREC (2021) "About UNLIREC."

⁴ UNLIREC (2018) "Building State Capacity to Implement the Arms Trade Treaty" Conventional Arms Programme

⁵ UNLIREC (2017) "UNLIREC and OAS provide regional platform for States to engage in open debate on combating WMD proliferation"

⁶ UNLIREC (2020) "UNLIREC and CARICOM IMPACS hold virtual encounter with Caribbean States on adoption of Caribbean Firearms Roadmap"

⁷ UNLIREC (2022). "Donors and Partners"

⁸ Regimbal, M. UNLIREC Official, Interview with authors, 22 June 2021.

⁹ UN Office for Disarmament Affairs (2018) "Women, Disarmament, Non-Proliferation and Arms Control"

¹⁰ UNLIREC (2021) "UNLIREC conducted training on gender perspective in the investigation of crimes involving firearms aimed at Mexican officials." See also: UNLIREC (2022) "UNLIREC holds first in-person course on promoting gender mainstreaming in firearms-related criminal investigations in Peru"

¹¹ Organization of American States (OAS). "Who We Are"

¹² De Luca, P. A., OAS official, Interview with authors, 16 August 2022.

¹³ The seven categories of conventional arms covered by CIFTA - battle tanks, armoured combat vehicles (ACVs), large-calibre artillery, combat aircraft, attack helicopters, warships, and missiles and missile systems - mirror those of the U.N. Register of Conventional Arms and of the ATT.

¹⁴ Besides the seven categories of arms listed above, the ATT also includes in its scope small arms and light weapons.

¹⁵ The other eight model regulations, legislation and commentaries relate to: International Movement (2003); Brokers (2003); Marking and Tracing (2007); 5) Illicit Manufacturing (2008); Confiscation and Forfeiture (2010); Controlled Delivery (2012); Security Measures (2014); Recordkeeping, Confidentiality and Exchange of Information (2014).

¹⁶ De Luca, P. A., OAS official, Interview with authors, 16 August 2022.

¹⁷ De Luca, P. A., OAS official, Interview with authors, 16 August 2022. Also European Union (2022) "Council Decision (CFSP) 2022/847 of 30 May 2022 in support of efforts to prevent and combat illicit proliferation and trafficking of small arms and light weapons (SALW) and ammunition and their impact in the Americas"

¹⁸ SIPRI (2022) "OAS Maintains Mission To Support The Peace Process In Colombia (MAPP/OAS)" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

¹⁹ A system with open source coding was recently developed and implemented in 6 pilot countries.

²⁰ SIPRI (2022) "Activities" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

²¹ De Luca, P. A., OAS official, Interview with authors, 16 August 2022. Also European Union (2022) "Council Decision (CFSP) 2022/847 of 30 May 2022 in support of efforts to prevent and combat illicit proliferation and trafficking of small arms and light weapons (SALW) and ammunition and their impact in the Americas"

²² De Luca, P. A., OAS official, Interview with authors, 16 August 2022.

²³ Montserrat is a British Overseas Territory and cannot join the ATT.

²⁴ Joseph, C. CARICOM Impacts official, Interview with authors, 5 August 2021.

²⁵ The Arms Trade Treaty was adopted two years later

²⁶ Regimbal, M (2020) "Joint Statement by UNLIREC and CARICOM IMPACS" CBSI High Level Dialogue 2020. United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean Organization

²⁷ UNLIREC (2020) "Roadmap for Implementing The Caribbean Priority Actions on the Illicit Proliferation of Firearms and Ammunition across the Caribbean in a Sustainable Manner by 2030"

²⁸ Ibid



Footnotes

- ²⁹ Joseph, C. CARCOM IMPACS official, Interview with authors, 05 August 2021.
- ³⁰ Ibid
- ³¹ Mutota, F. Coordinator of CDRAV. Communication with authors, 04 October 2022.
- ³² SIPRI (2022) "CARICOM And UNIDIR Deliver Regional Training Of Trainers Workshop On The International Small Arms Control Standards (ISACS) And Assessment Tools In Trinidad And Tobago". Activities Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.
- ³³ SIPRI (2017) "ATT-Related Activities In Latin America And The Caribbean: Identifying Gaps And Improving Coordination" Mark Bromley And Alfredo Malaret
- ³⁴ Kendol Morgan. "CARICOM IMPACS and the Small Arms Survey Establish a Memorandum of Understanding to Reduce Gun Violence in the Caribbean." CARICOM TODAY. 19 January 2021.
- ³⁵ UNODC (2022) "UNODC's Global Firearms Programme organises with CARICOM IMPACS a virtual regional meeting for Caribbean countries on Integrated Firearms Centres"
- ³⁶ CARICOM IMPACS (2022) "Regional Integrated Ballistic Information Network"
- ³⁷ CARICOM (2022) "Caricom Secretariat Begins Consultation On Draft Gender Equality Strategy". See also: CARICOM (2022) "Stepping It Up: A Strategy To Achieve Gender Equality In The Caribbean Community"
- ³⁸ Official title "Declaración Presidencial sobre cómo Combatir la Fabricación y el Tráfico Ilícito de Armas, Munición y Materiales Relacionados en el Cono Sur"
- ³⁹ MERCOSUR (1098) Acuerdo N°7/98 de la Reunión de Ministros del Interior del MERCOSUR "Entendimiento Entre El Mercosur, La Republica De Bolivia Y La Republica De Chile Relativo Al Mecanismo Conjunto De Registro De Compradores Y Vendedores De Armas De Fuego, Municiones, Explosivos Y Otros Materiales Relacionados"
- ⁴⁰ Código de Correspondencia Regional de Armas del Mercosur
- ⁴¹ Berman, E and Maze, K. (2016). "Regional Organizations and the UN Programme of Action on Small Arms (PoA) Handbook" Small Arms Survey
- ⁴² MERCOSUR Decisión CMC No. 15/04: Memorando de Entendimiento para el Intercambio de Información sobre la Fabricación y el Tráfico Ilícito de Armas de Fuego, Municiones, Explosivos y Otros Materiales Relacionados.
- ⁴³ SIPRI (2022) "XXXI Meeting Of Mercosur Working Group On Firearms And Ammunition (GTAFM)" Arms Trade Treaty – Mapping ATT-relevant Cooperation and Assistance Activities (2021). 5 June 2018.
- ⁴⁴ SIPRI (2022) "XXIV MEETING OF THE MERCOSUR WORKING GROUP ON FIREARMS AND AMMUNITION (GTAM)". Arms Trade Treaty – Mapping ATT-relevant Cooperation and Assistance Activities (2021).
- ⁴⁵ MERCOSUR (2021) "XXXVII Reunión Del Grupo De Trabajo Sobre Armas De Fuego y Municiones y XVII Reunión Del Sub-Grupo Técnico"
- ⁴⁶ Organization of Central American States/Spanish Organización de Estados Centroamericanos (ODECA), (1991) "Tegucigalpa Protocol to the Charter of the Organization of Central American States"
- ⁴⁷ Central American Integration System (SICA) (2022) "Juridical Framework of SICA"
- ⁴⁸ Central American Integration Program (2006). "Code of conduct of Central American States on the Transfer of Arms, Ammunition, Explosives and Other Related Materiel".
- ⁴⁹ The Secretariat General of the Central American Integration System (2011) "Central American Security Strategy" European Parliament. (8 April 2011)
- ⁵⁰ SIPRI (2015) "Interpol And Sica-Casac Improve Forensic Policing Capabilities For Central America" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.
- ⁵¹ SIPRI (2016) "SICA-CASAC Hold Inter-Sectorial Regional Seminar On Dismantling Firearms Trafficking Criminal Structures" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.
- ⁵² SIPRI (2015) "SiCA-CASAC Strengthen Border Controls, Police And Customs Capacities To Combat Small Arms Illicit Trafficking" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

AFRICA

United Nations Regional Centre for Peace and Disarmament in Africa (UNREC)

African Union (AU)

Economic Community of West African States (ECOWAS)

Economic Community of Central African States (ECCAS / CEEAC)

The Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States (RECSA)

East African Community (EAC)

Intergovernmental Authority on Development (IGAD)

Sub-Regional Arms Control Mechanism (SARCOM)

Southern African Development Community (SADC)

Southern African Regional Police Chiefs Co-operation Organisation (SARPCCO)

United Nations Regional Centre for Peace and Disarmament in Africa (UNREC)



Region: Africa

Headquarters: Lomé, Togo



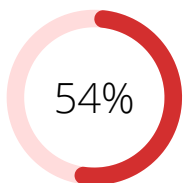
Type of organization: Disarmament (UN Regional Centre)



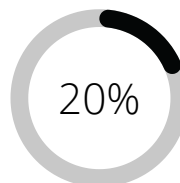
Number of Members: 54

List of members:

Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic (CAR), Chad, Comoros, Democratic Republic of Congo (DRC), Republic of Congo, Côte d'Ivoire, Djibouti, Egypt, Equatorial Guinea, Eritrea, Eswatini, Ethiopia, Gabon, The Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, São Tomé and Príncipe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Tanzania, Togo, Tunisia, Uganda, Zambia, Zimbabwe



Proportion of RO Members that are ATT States Parties:
54% (29 out of 54)



Proportion of RO Members that are ATT Signatories:
20% (11 out of 54)

About the Organization

A part of the Regional Disarmament Branch of the United Nations Office for Disarmament Affairs (ODA), UNREC provides substantive support for initiatives and other efforts undertaken by Member States towards peace, arms control and disarmament in the African region. Its main function is to support Member States as they implement international decisions, instruments and commitments in the field of disarmament and non-proliferation at national, regional and sub-regional levels. The Regional Centre's work is focused on four thematic areas: Small Arms and Light Weapons; Conventional Arms; Weapons of Mass Destruction; and Security Sector Reform.

Partnerships and close cooperation with other organizations are central to ensuring that UNREC's activities are comprehensive and impactful. For example, the Center supported ECCAS in the development and adoption of the Kinshasa Convention⁵³, a legally binding regional instrument which seeks to address the proliferation of small arms in the Central Africa region.⁵⁴ Similarly, UNREC collaborates with ECOWAS in developing guidelines for national legislation⁵⁵ and the African Union (AU)⁵⁶, which contributes to common regional strategies on the prevention and eradication of the illicit trafficking and diversion of arms and ammunition. Its work with international civil society organizations, research institutes and other key stakeholders, including the ATT Secretariat and the EU ATT Outreach Project, facilitates collaboration, avoids duplication of efforts and ensures that good practices are shared across projects and initiatives related to ATT implementation.



Photo source: UNODA

Activities



ATT Support

UNREC directly contributes to ATT universalization and implementation by serving as an implementing partner to Member States who wish to use international assistance (available via the ATT Voluntary Trust Fund and the EU ATT-Outreach Project) to join and implement the ATT⁵⁷. For example, as part of the project to "Support the ratification and future implementation of the ATT - Improving understanding of the Treaty", UNREC organized in Lomé, Togo 2015 a workshop for African Small Island Developing States (SIDS). The workshop identified specific challenges and needs of the represented States in the implementation of the ATT and to address these matters facilitated the identification and development of measures.⁵⁸

More recently, in collaboration with UNDP, UNREC led a project which explored challenges related to ATT implementation in Madagascar from 2018 to 2019⁵⁹ and in support of the EU ATT Outreach Project, made a visit to Burkina Faso and held meetings in Central Africa on ATT implementation.⁶⁰ UNREC also organized similar workshops on ATT universalization and implementation for parliamentarians, government decision-makers and civil society representatives.⁶¹

UNREC incorporates the ATT and its obligations into a number of other projects, including efforts to encourage African states to develop and review their national legislation to ensure comprehensive compliance with all international and regional instruments.⁶² For example, in collaboration with ECOWAS, UNREC organized a workshop on synergies and complementarities between the ATT, ECOWAS Convention on Small Arms and Light Weapons (SALW), United Nations Programme of Action on Small Arms (UNPoA) and related instruments for ECOWAS member States.⁶³ The workshop was held in 2015 in Nigeria.



Establishing Transfer Controls

National control systems

UNREC undertakes a number of activities in the area of arms control. These relate to three main areas:

1. Training for defense and security forces on SALW control, including transfer controls, stockpile management, weapons collection, identifying arms for tracing, border controls, and criminal investigations;
2. Baseline studies on key arms control concerns and questions, including arms trafficking patterns, compliance with treaties, presence of armed violence, and civilian possession; and
3. Support for establishing regional, sub-regional, and multi or bilateral agreements.⁶⁴

UNREC assists Member States in the development of national arms control strategies and tracing capabilities and helps to strengthen stockpile management. For example, in countries where multiple government departments and agencies are engaged in arms transfer controls, UNREC helps states to identify clear processes for arms transfer decisions and assists in the establishment of a comprehensive national control system to meet the obligations under Article 5 of the ATT and other relevant international and regional instruments. In addition, UNREC conducts training to strengthen the capacities of national authorities in the development and implementation of national control legislation and systems.

Legislative Assistance

UNREC provides Member States with legal support to implement regional and international arms control instruments. For example, UNREC has engaged in drafting legislation and strengthening the capacity of national commissions and national focal points on small arms, including in Mali, Madagascar, Burkina Faso and Zambia.⁶⁵

Diversion prevention

UNREC also provides extensive support to states seeking to strengthen their control systems to prevent diversion. For example, as part of the Regional Support Project to the Counter Terrorism Task Force (CTITF), UNREC organized two workshops - in Chad and Nigeria - to support the process of marking arms in order prevent diversion to terrorist groups.⁶⁶ Similarly, UNREC implemented the "Physical Security and Stockpile Management project in the Sahel," which aimed to contribute to the security and stability in the sub-region by providing assistance to targeted States in preventing the diversion of, and the illicit trafficking in, government-owned SALW and ammunition.⁶⁷

Gender and Gender-based Violence

Recently, UNREC has begun integrated gender considerations in the training of national authorities related to small arms controls. For example, UNREC organized trainings on the integration of gender-responsive measures in the control of SALW in DRC⁶⁸, CAR⁶⁹, Mali⁷⁰ and Cameroon.⁷¹

African Union (AU)



Region: Africa

Headquarters: Addis Ababa, Ethiopia



Type of organization:

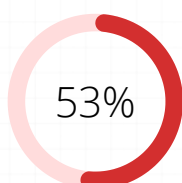
Regional Integration



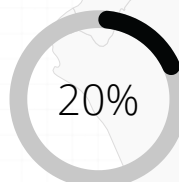
Number of Members: 55

List of members:

Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic (CAR), Chad, Comoros, Democratic Republic of Congo (DRC), Republic of Congo, Côte d'Ivoire, Djibouti, Egypt, Equatorial Guinea, Eritrea, Eswatini, Ethiopia, Gabon, The Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sahrawi Arab Democratic Republic (SADR), São Tomé and Príncipe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Tanzania, Togo, Tunisia, Uganda, Zambia, Zimbabwe



Proportion of RO Members that are ATT States Parties:
53% (29 out of 55)



Proportion of RO Members that are ATT Signatories:
20% (11 out of 55)

About the Organization

The African Union ("AU") was officially launched in 2002 as a successor to the Organisation of African Unity (OAU, 1963-1999) to refocus attention from the fight for decolonisation and termination of apartheid to increased cooperation and integration of African states to drive Africa's growth and economic development.

In accordance with the Constitutive Act of the African Union and the Protocol on Amendments to the Constitutive Act of the African Union, the AU's key objectives are to:

- Defend the sovereignty, territorial integrity and independence of its Member States;
- Promote democratic principles and institutions, popular participation and good governance;
- Promote peace, security, and stability on the continent;
- Promote and protect human and peoples' rights in accordance with the African Charter on Human and Peoples' Rights and other relevant human rights instruments; and
- Ensure the effective participation of women in decision-making, particularly in the political, economic and socio-cultural areas.

The AU engages in peace and security affairs via the **African Peace and Security Architecture (APSA)**.

The **APSA Roadmap 2016-2020** sets five strategic priority areas: conflict prevention, crisis/conflict management, post-conflict reconstruction and peace building, and strategic security issues. The latter includes illegal flows of SALW, improvised explosive device (IEDs), weapons of mass destruction disarmament, counter-terrorism, illicit financial flows, transnational organised crime and cybercrime. In 2008, the AU created an AU-Regions Steering Committee on SALW. The purpose of this body is to enhance the capacity and to harmonize and coordinate the efforts of the AU, the Regional Economic Communities (RECs) and other regional bodies that have a SALW mandate. It also works to enhance cooperation and synergies across the regions on the implementation of programs and agreed actions.⁷²

It has since been broadened to include other cross-cutting issues, including DDR and Security Sector reform. Similarly, the Commission of the African Union, which serves as the secretariat of the AU, developed guidelines on weapons and ammunition management and a draft Policy on the Management of Recovered SALW in Peace Support Operations.⁷³

Regional Instruments



Document: African Union Strategy on the Control of Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons

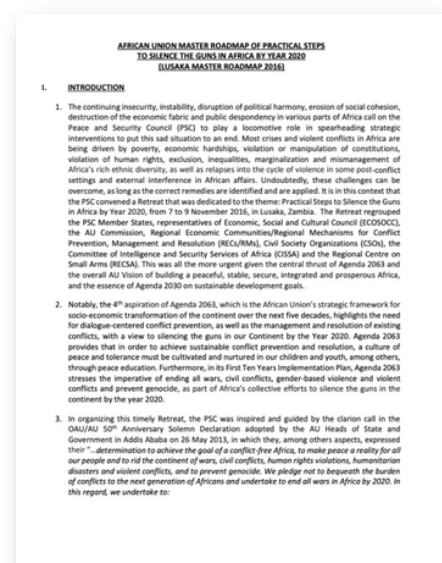
The overall objective of the African Union Strategy on the Control of Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons (the “AU PSSM Strategy”), adopted in 2013, is to prevent, combat and eradicate the illicit proliferation, circulation and trafficking of small arms and light weapons in an integrated and holistic manner across all regions of Africa. The specific objectives of the Strategy are to:

1. Promote a culture of peace by carrying out education and public awareness programmes on the problems of the illicit proliferation, circulation and trafficking of SALW;
2. Address comprehensively the problem of the illicit proliferation, circulation and trafficking of SALW through mainstreaming SALW control as a cross-cutting and multidimensional issue in achieving peace, security, development, and stability;
3. Strengthen the capacity of AU Member States, RECs and Regional Bodies, and the AU Commission to implement measures against the illicit proliferation, circulation and trafficking of SALW;
4. Promote cooperation, coordination and exchange of information between relevant stakeholders at national, regional, trans-regional and continental levels; and
5. Enhance international cooperation and assistance in the fight against proliferation of SALW at the national, regional and continental levels.⁷⁴



AU Master Roadmap of Practical Steps to Silence the Guns in Africa by year 2020

Building on the **African Union’s 50th Anniversary Solemn Declaration**, the AU adopted in 2013, the Silencing of the Guns initiative (SGT)⁷⁵, as one of the flagship programmes of the African Union Agenda 2063. The STG aims to tackle a number of regional-specific issues, including the proliferation of small arms and light weapons and the illicit resource outflows from Africa, to promote reconciliation and social cohesion and to strengthen security and defense institutions. In 2017, the AU adopted the **Master Roadmap of Practical Steps to Silence the Guns** in Africa by year 2020, also known as the Lusaka Master Roadmap, which outlines challenges, practical steps, and modalities for mobilizing action. Among its recommendations, the Lusaka Master Roadmap proposes “identifying and cutting links with suppliers and recipients of illicit arms, including imposing bans, in line with the Arms Trade Treaty”⁷⁶ in order to address the issue of illicit flows of weapons into Africa.



The issue of illicit proliferation inside Africa is addressed in the Roadmap through the provision of capacity building to national institutions mandated to detect and recover illicit arms, enhance collaboration with the UN Security Council to ensure the effective enforcement and monitoring of arms embargoes, and implementation of measures to secure stockpiles in emergency and conflict situations. Countering the illicit proliferation of arms is also seen as a means to address other issues, including the persistence of terrorism and violent extremism.⁷⁷

A key outcome of the Lusaka Master Road Map was the adoption of the September Africa Amnesty Month (SEPTAAM), an initiative spearheaded by civil society through the AU Economic, Social and Cultural Council (ECOSOCC). The AU Assembly, through Decision 645 (XXIX) of 2017 declared September as "Africa Amnesty Month" to facilitate the surrender and collection of illegally owned arms.⁷⁸ While the program was initially scheduled to end in 2020, it has continued.



Bamako Declaration on an African Common Position on the Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons

The Bamako Declaration, adopted by the AU in 2000, was intended to promote a common position on the illicit proliferation, circulation and trafficking of small arms and light weapons in preparation for the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, which took place in 2001 and resulted in the adoption of the UN Program of Action on Small Arms and Light Weapons (UNPOA).

The Declaration is also relevant to the ATT as it emphasizes the importance of establishing national coordination agencies or bodies responsible for monitoring the control, circulation, trafficking of small arms, and adopting appropriate measures to control arms transfers, including brokering and transit and transshipment.

Activities



ATT Support

The AU has played a key role in the adoption and universalization of the ATT. For example, the Fourth AU-Regions Committee on SALW and Disarmament, Demobilization, and Reintegration (DDR) developed concrete strategies and actions that enabled Member States to fully participate in the First Conference of States Parties to the ATT.⁷⁹ Similarly, the AU convened a Senior Governmental Officials' Meeting on the ATT in 2015 to assist Member States in making informed decisions regarding the ratification and implementation of the ATT. The meeting provided an opportunity for States to exchange experiences and discuss the objectives and provisions of the ATT, issues related to human rights, and synergies and complementarities between regional and international instruments.⁸⁰ The ATT is considered an important tool to advance the implementation of the AU Master Roadmap for Silencing the Guns in Africa by the year 2030. In this respect, the AU Assembly and its Peace and Security Council have called for the universalization and effective implementation of the ATT, both among its Member States and globally.

Complimenting this work, the Commission of the African Union has focused on promoting ATT universalization and building capacity on its implementation. For example, in 2015 as part of the project to "Support to the ratification and future implementation of the ATT - Improving understanding of the Treaty", the AU in collaboration with UNREC organized a workshop on the implementation of the ATT's obligations relating to human rights and gender-based violence as contained in Articles 6 and 7.⁸¹

Similarly, Consultative Meetings on the ATT and its implementation in Central Africa were held in 2017 in Chad⁸² and in 2019 in Benin.⁸³ The meetings sought to raise awareness of the ATT among national stakeholders, identify political and operational challenges to ATT universalization and implementation, as well as highlight legislative and institutional gaps and possible assistance needs.



Establishing Transfer Controls

National control systems

Even before the adoption of the Silencing the Guns Initiative, the African Union prioritized the development of and strengthening arms control systems in the region. For example, in 2012, the Fifth AU-Regions Steering Committee on SALW discussed the importance of strengthening the national legal frameworks to control possession of SALW and identified the need for a strong coordination in interdiction and seizure in the fight against illicit SALW. From discussions during the Second and Third AU-Regions Steering Committee on SALW and DDR, transfer controls featured as a central theme.⁸⁴

Practical efforts to implement these transfer control priorities included training courses on identification and tracing of SALW and their ammunition for ECCAS Member States. These courses concluded with a recommendation to build capacity in support of ATT implementation,⁸⁵ address physical security and stockpile management in Niger, and to hold expert meetings to improve the coordination of SALW/PSSM initiatives across the Greater Sahel region.⁸⁶

Legislative Assistance

Activities focused on strengthening national legislative capacity and ensuring the harmonization with SALW instruments are a key element of the African Union's efforts to ensure adequate controls of SALW. For example, the AU Commission organized a number of national policy dialogues and workshops to support governments in the development of legislation and capacity in the field of arms control, particularly as part of a multi-year AU-EU project entitled 'The Fight against the Illicit Accumulation and Trafficking of Firearms in Africa' (2010-2013). These efforts resulted in the establishment of National Commissions on SALW in the Republic of Congo, Central African Republic, Chad and Cameroon; the development of National Action Plans on SALW in the Republic of Congo, DRC and Malawi; as well as strengthened legislative capacity to harmonize SALW instruments in Zambia, Tanzania and Kenya.⁸⁷ Similar efforts were undertaken in the framework of the Arms Control in Africa project, which started in 2021 and is implemented in cooperation with BICC and funding support from Germany.

Diversion prevention

As part of the efforts to implement the AU Strategy on the Control of Illicit Proliferation, Circulation and Trafficking of SALW, the AU has organized workshops as well as national and regional programs aimed at curbing illegal weapons trafficking in Africa. In 2016, the Seventh AU-Regions Steering Committee on SALW and DDR held in Djibouti took stock of activities carried out to assist Member States in the fight against illicit SALW and discussed identified priorities for future work.⁸⁸ Similarly, the AU Ammunition Safety and Security Management Initiative, launched in 2017, assisted a number of States, including Guinea Bissau and Malawi, with preventing the diversion of government-held stockpiles through strengthening arms and ammunition management.

Economic Community of West African States (ECOWAS)



Region: West Africa

Headquarters:

Federal Capital Territory, Nigeria



Type of organization:

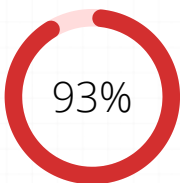
Regional Integration



Number of Members: 15

List of members:

Benin, Burkina Faso, Cabo Verde, Côte d'Ivoire, The Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo



Proportion of RO Members that are ATT States Parties:
93% (14 out of 15)



Proportion of RO Members that are ATT Signatories: None

(The Gambia expressed at the Seventh Conference of State Parties to the ATT its plans to join the Treaty)



PHOTO SOURCE: TWITTER | ECOWAS - CEDEAO

About the Organization

ECOWAS was established in 1975 to promote economic integration in all fields of activity among its 15 constituent countries. The vision of ECOWAS is to create a borderless region that enables its populations to enjoy free movement, have access to efficient education and health systems and engage in economic and commercial activities while living in dignity, peace, and security. However, in recent decades, the proliferation of arms in the sub-region has posed a major threat to peace and security.

These challenges led ECOWAS Member States in 1998 to declare a **moratorium** on the import, export and manufacture of small arms and light weapons. To further strengthen controls on small arms and light weapons in the region, on 14 June 2006, ECOWAS Member States replaced the **1998 moratorium** with the legally binding ECOWAS Convention on Small Arms and Light Weapons, their Ammunition and other Related Materials (ECOWAS Convention).

Regional Instruments



ECOWAS Convention on Small Arms and Light Weapons, their Ammunition and other Related Materials

Adopted in 2006, the Convention prohibits all international transfers of small arms within the subregion unless an exemption is granted. The ECOWAS Convention and the ATT share many points of convergence. In terms of scope, both instruments cover the transfers of SALW including the import, export, transit, trans-shipment and brokering.

Both instruments require states parties to establish a national transfer control system and provide detailed criteria regarding prohibitions and transfer controls that states must consider when reviewing a transfer request.

The ECOWAS Convention also sets out strict controls on the manufacture of SALW and lays down measures to support transparency and exchange of information between Member States. The ECOWAS Convention requires its member states to submit annual reports on their activities related to small arms and light weapons SALW and the implementation of the convention (ECOWAS Convention Article 28.4). ECOWAS Member States are required to provide an annual report on their orders and purchases to the ECOWAS Commission (ECOWAS Convention Article 10.3).

Box 2. Core linkages between the ATT and ECOWAS Convention

The provisions of the ECOWAS Convention and the ATT share many points of convergence.⁸⁹ Both instruments cover the international transfer of SALW including import, export, transit, transshipment, and brokering. The ECOWAS Convention also includes transportation.

Both instruments require states to establish a national transfer control system that includes detailed criteria regarding prohibitions and transfer controls that States must consider when reviewing a transfer request. The ECOWAS Convention also sets out strict controls on the manufacture of SALW and outlines measures to support transparency and exchange of information between Member States.

Both instruments include conditions for the prohibition of the transfer of conventional weapons. The ECOWAS Convention includes a general prohibition of all transfers of small arms and light weapons and their manufacturing. The request for exemption for an arms transfer must be transmitted for examination to the ECOWAS Executive Secretariat. Information on exemptions and refusals are forwarded to all Member States. Whereas, the ATT prohibits the transfer of arms (export, import, transit and transshipment) if the transfer would violate specified international obligations or arms embargoes, or if the exporting State Party has knowledge that the transferred weapons would be used to commit genocide, crimes against humanity or war crimes.

Risk Assessment and Diversion

The ATT risk assessment is a pre-transfer assessment that categorizes risk in terms of the potential harm facilitated by the weapons to be transferred. These harms are measured in the form of potential violations of international humanitarian law and international human rights law, organized crime and terrorism (Articles 6 and 7). Separately, ATT States Parties are meant to conduct a pre-transfer assessment of risk of diversion (Article 11). In contrast the ECOWAS Convention considers harm and diversion in the same risk assessment. It does so by evaluating in the assessment the risk that the arms are “destined” to be used for certain harmful purposes and the likelihood of their diversion.

Arms diversion is the strongest area of complementarity between the ATT and the ECOWAS Convention. The ATT focuses on creating a general control framework that includes steps to prevent the diversion of arms, while the ECOWAS Convention provides for specific measures that contribute to this overall framework.

Reporting

Reporting is a key pillar for both the ATT and the ECOWAS Convention. While the ATT requires states to submit only an initial report on national implementation efforts and annual reports on specific arms transfer activity, the ECOWAS Convention requires its Member States to submit annual reports that cover both SALW-related transfer activity as well as the national implementation of the Convention. Moreover, ECOWAS Member States are required to provide an annual report on their orders and purchases to the ECOWAS Commission.

As an example of good practice, ECOWAS also addressed the issue of reporting in the framework of its capacity building and assistance activities. In 2014, the International Committee of the Red Cross (ICRC) and ECOWAS jointly organized a seminar on the ATT in Nigeria, which also covered reporting in the ATT context. ATT in Nigeria, which also covered reporting in the ATT context.⁹⁰

Activities



ATT Support

The ECOWAS Commission (the “Commission”) serves as the secretariat of ECOWAS and was instrumental in coordinating the participation of its Member States in the two diplomatic conferences establishing the ATT that took place in 2012 and 2013, and then in actively encouraging and supporting these states to join the Treaty.⁹¹ Through this work, the Commission, with funding support from the United Kingdom, ensured that 13 out of its 15 Member States ratified the ATT within three years of the Treaty’s entry into force on 24 December 2014.⁹² Awareness-raising and capacity building supported this objective, such as the 2014 ATT seminar held in Nigeria by the ICRC and ECOWAS. Topics included arms diversion, transfer and export criteria, transit and trans-shipment controls, and brokering.⁹³

In addition, the ECOWAS Commission developed resources, including the **"Synergies And Complementarities Between the Arms Trade Treaty, the ECOWAS Convention on SALW, the UN PoA And Other Related Instruments"**, developed in partnership with UNREC. It also provided legislative and regulatory support to its Member States with the aim of harmonizing national legislation and guidelines on small arms control with international and regional instruments, including the ATT. For example, in 2021 the Directorate of Peacekeeping and Regional Security (DPKRS) of the ECOWAS Commission organized a government expert workshop to review and develop a regional legal harmonization framework and guidelines for the ECOWAS Convention and ATT in the sub-region.⁹⁴ Moreover, the Commissions worked with a number of Member States, including Liberia, to assist them in harmonizing and implementing regional and international instruments.⁹⁵



Establishing Transfer Controls

National control systems

Given the strong synergies and complementarities between the two instruments, efforts carried out by the ECOWAS Commission to implement the Convention contribute directly to the implementation of the ATT. Regional and national trainings on PSSM,⁹⁶ record-keeping and reporting are contributing to states' capacity to implement key ATT provisions.

For example, the 2019 "Supporting implementation of ECOWAS SALW Convention Article 10" project aimed to establish an Arms Transfer Database to assist Member States to:

1. Track all SALW and ammunition transfers in and out of ECOWAS countries;
2. Detect points of diversion; and
3. Improve decision-making processes at sub-regional levels.⁹⁷

These efforts could also serve states in meeting their ATT annual reporting obligations and strengthen their capacity to prevent diversion (Article 11). While, at the time of this publication, the ECOWAS Arms Transfer Database has not yet been established, with support from the EU, a series of regional capacity-building workshops focused on encouraging the submission of reports on PoA implementation resulted in an increase in the number of national reports.⁹⁸

Diversion prevention

With small arms diversion and illicit trafficking as two key challenges in the ECOWAS region, these issues remain at the forefront of many of the initiatives undertaken by the ECOWAS Commission. For example, in 2018 the ECOWAS Commission, in collaboration with Conflict Armament Research (CAR), supported arms control authorities in Nigeria and Burkina Faso to strengthen their national control systems in order to more effectively identify sources and diversion points of illicit SALW. In particular, the training assisted government officials to develop systems to: 1) document seized, found or surrendered weapons and ammunition in accordance with common standards; (2) utilize international tracing mechanisms, including the ECOWAS Convention Article 19 tracing mechanism; and (3) identify sources and points of diversion of illicit SALW. The tools, templates and standard operating procedures developed by the project will be made available in English and French for potential adoption by other ECOWAS Member States.⁹⁹

Economic Community of Central African States (ECCAS / CEEAC)



Region: Central Africa

Headquarters: Libreville, Gabon



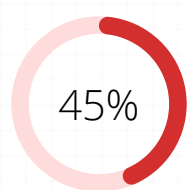
Type of organization:
Regional Integration



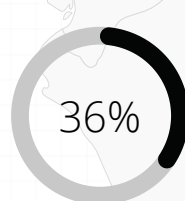
Number of Members: 15

List of members:

Angola, Burundi, Cameroon, **Central African Republic (CAR)**, **Chad**, Democratic Republic of Congo (DRC), Equatorial Guinea, Gabon, Republic of Congo, Rwanda, **São Tomé and Príncipe**



Proportion of RO Members that are ATT States Parties:
45% (5 out of 11)



Proportion of RO Members that are ATT Signatories:
36% (4 out of 11)

About the Organization

The Economic Community of Central African States ("ECCAS") was established in October 1983 but remained inactive for several years due to financial constraints and security challenges among Member States. This changed in October 1999 when ECCAS, which aims to promote harmonious cooperation towards balanced and self-sustained economic development, was formally designated by the African Economic Community as one of the eight pillars of the African Union.

Regional Instruments



Central African Convention for the Control of Small Arms and Light Weapons, Their Ammunition, Parts and Components that Can Be Used for Their Manufacture, Repair or Assembly

Entering into force in on 8 March 2017, the Central African Convention for the Control of Small Arms and Light Weapons, Their Ammunition, Parts and Components that Can Be Used for Their Manufacture, Repair or Assembly ("Kinshasa Convention") establishes measures to control the production, trade, and use of small arms. The Kinshasa Convention and the ATT share many points of convergence. For example, both instruments cover the transfers of SALW including the import, export, transit and transshipment.

Box 3. Core linkages between the ATT and Kinshasa Convention

Similar to the ATT, the **Kinshasa Convention** requires Member States to establish a national control system for the export, import, and transit of small arms and light weapons, their ammunition and all parts and components. The Convention allows for the transfer of SALW, ammunition and their components between States when they are needed to maintain order, defense, national security or participation in peace operations conducted under the aegis of international organizations. It goes beyond the ATT and most other international and regional arms control instruments in that it provides extensive detail on the procedures and conditions for all transfer authorizations and includes clear definitions.

The Kinshasa Convention, similar to the ATT, requires a transfer to be denied based on the risk that the arms could be used to commit violations of international human rights law, international humanitarian law, genocide, crimes against humanity, or for terrorist purposes (Article 3). While the ATT does not include any references to non-state actors, the Kinshasa Convention also prohibits any and all transfer of arms to non-state groups (Article 4).

Moreover, the Kinshasa Convention requires Member States to deny a transfer if there is "a possibility that [the arms] might be diverted, in the importing or transit State, to unauthorized use or users or to illicit trade, or even re-exported." The ATT requires states "involved in the transfer of conventional arms (...)" to take measures to prevent their diversion (Article 11.1). It also requires exporting states to prevent diversion through their national control system as well as by assessing the risks of diversion of an export of arms. However, ATT importing, transit and transshipment states are required only to "cooperate and exchange information (...) in order to mitigate the risk of diversion". (Articles 11.2 and 11.3)

Reporting

Similar to the ATT, the Kinshasa Convention encourages cooperation and information exchange among Member States, including through annual reports. The ATT requires reporting on a broader set of conventional weapons, whereas the Kinshasa Convention annual report requires a different but complementary set of information, including: all requests for transfer authorizations and end-user certificates (accepted or denied) including type and number of SALW, their ammunition and all parts and components; the name and complete and up-to-date address of the applicant; the number and reasons for denial or acceptance of the transfer; and the measures taken to respect the relevant provisions of this Convention, including the enacting of specific laws.

The Kinshasa Convention also requires annual reports to be submitted to the UN Register of Conventional Arms. While this is not a requirement under the ATT, the updated ATT reporting templates allow ATT States Parties to choose to submit their ATT reports to UNROCA.

Activities



ATT Support

ECCAS has organized a number of national and regional activities aimed at strengthening the implementation of the Kinshasa Convention as well as of other relevant regional and international instruments. Included in these activities are those that support ATT implementation and universalization¹⁰⁰ and explore synergies between the Kinshasa Convention and other international instruments. For example in 2019, ECCAS hosted a regional conference for Central African countries aimed at analyzing the synergies and complementarities on SALW between the Kinshasa Convention and other international instruments, including the ATT.¹⁰¹



Establishing Transfer Controls

National control systems




The 47th Ministerial Meeting of the United Nations Standing Advisory Committee on Security Questions in Central Africa (UNSAC), held in 2018, addressed SALW controls, cross-border controls, maritime piracy, the activities of terrorist groups in the subregion and transnational organised crime. It also reviewed advances in the implementation of international, regional and sub-regional instruments.¹⁰² In the margins of this meeting, ECCAS, in partnership with UNREC and UNOCA launched a joint project to build the capacity of eleven Central African States on the implementation of the Kinshasa Convention.¹⁰³ Subsequently, with support from the EU-funded Pan-Africa Project, ECCAS and RECSA held joint seminars to support regional police organizations and national law enforcement agencies in their efforts to prevent the proliferation of firearms and explosive materials in Africa.¹⁰⁴

Legislative Assistance

UNREC and ECCAS also organized, in 2019, a sub-regional Legal Assistance Workshop for States Parties To the Kinshasa Convention.¹⁰⁵

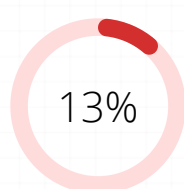
Regional Centre on Small Arms (RECSA)



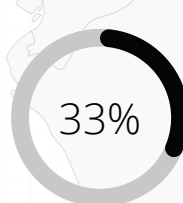
-  **Region:** Great Lakes Region, Horn of Africa, and Bordering States
Headquarters: Nairobi, Kenya
-  **Type of organization:** Disarmament
-  **Number of Members:** 15

List of members:

Burundi, **Central African Republic (CAR)**, Republic of Congo, Democratic Republic of Congo (DRC), Djibouti, Eritrea, Ethiopia, Kenya, Rwanda, **Seychelles**, Somalia, South Sudan, Sudan, Tanzania, Uganda



Proportion of RO Members that are ATT States Parties:
13% (2 out of 15)



Proportion of RO Members that are ATT Signatories:
33% (5 out of 15)

About the Organization

The Regional Centre on Small Arms (RECSA) is an intergovernmental organization established in June 2005, to support the implementation of the Nairobi Protocol within the Great Lakes and the Horn of Africa region. As such, RECSA's sole mandate is to address the proliferation of illicit SALW as a way to ensure a conducive environment for sustainable development.

Regional Instruments



Nairobi Declaration on the Problem of Illicit Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa

Signed by ten countries¹⁰⁶ in 2000, the Nairobi Declaration on the Problem of Illicit Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa ("Nairobi Declaration") aims to provide a comprehensive framework to combat the proliferation of the illicit trade of SALW, which contributes to prolonged armed conflicts, political instability, and armed crime in the region.





Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States

Building on the 2000 Nairobi Declaration, the Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States (“Nairobi Protocol”) adopted in 2004, is a comprehensive, legally-binding¹⁰⁷, regional agreement on small arms and light weapons. The Nairobi Protocol promotes legal uniformity and common standards for the manufacturing, possession, use, transfer and trafficking of arms, including provisions on the strengthening of operational capacity, tracing, safe disposal, and brokering. By joining the Nairobi Protocol, Member States agree to cooperate on matters such as mutual legal assistance, law enforcement and transparency, information exchange and harmonization.

Box 4. Core linkages between the ATT and the Nairobi Protocol

Both the ATT and the Nairobi Protocol require States Parties to establish and maintain national control systems, and to effectively regulate the export, import, transit and transshipment of arms. However, the ATT provides generalized recommendations on how to implement international arms trade regulation at the national level, while the Nairobi Protocol contains specific provisions on how states should regulate all aspects of SALW. The Nairobi Protocol also includes more detailed provisions on (i) the minimum information that export and import documentation should include, (ii) licensing or authorisation document authentication, and (iii) post-delivery confirmation.

While the ATT requires its States Parties to “take appropriate measures to regulate, where necessary and feasible, the transit or trans-shipment under its jurisdiction (...)”, the Nairobi Protocol specifically requires import licenses to be shared with transit states in advance. Similarly, ATT States Parties are encouraged to “take measures, (...), to regulate brokering” which may include “requiring brokers to register or obtain written authorization before engaging in brokering”, the Nairobi Protocol specifically requires states to “establish a national system for regulating dealers and brokers of small arms and light weapons” and provides specific instruction on how to accomplish this, including: (i) regulating all manufacturers, dealers, traders, financiers and transporters of small arms and light weapons through licensing; (ii) registering all brokers; (iii) ensuring that they seek and obtain authorisation for each individual transaction taking place; (iv) ensuring that all brokering transactions provide full disclosure on import and export licenses or authorisation and accompanying documents of the names and locations of all brokers involved in the transaction; and (v) licensing, registering and checking regularly and randomly all independent manufacturers, dealers, traders and brokers.”

Similar to the the ATT, the Nairobi Protocol requires states to designate national focal points and encourages exchange of information. In addition, the Nairobi Protocol includes specific provisions to establish a sub-regional system to support these objectives and to help harmonize documents (including EUCs).

Activities



ATT Support

Over the years, RECSA has played an active role in raising awareness and building capacity to support ATT universalization and implementation. Building on its mandate to support Member States in the region to implement and harmonize legislation related to small arms controls, RECSA has provided assistance to states in strengthening policy, amending and harmonizing legislation and has coordinated regional efforts to explore complementarities between the Nairobi Protocol and other relevant instruments, including the ATT. For example in 2014, RECSA presented a study on the "Synergies and Complementarities of the ATT, UNPoA, Nairobi Protocol and the Kinshasa Convention"¹⁰⁸, which is a valuable resource for states in the region who are party to or plan to join these instruments. Since then, RECSA has also hosted ATT universalization¹⁰⁹ and implementation workshops.¹¹⁰ For example, through the UNSCAR-funded project "Mobilizing RECSA Member States to Sign, Ratify and Implement the ATT", RECSA undertook regional advocacy, consultative conferences and public awareness events in support of the ATT.¹¹¹ Similarly, RECSA has served as an implementing partner to several states in the region on ATT Voluntary Trust Fund projects in 2020 and 2021.¹¹²



Establishing Transfer Controls

National control systems

The organization assists states in the region in their efforts to strengthen arms transfer controls and prevent diversion, including through marking of arms, development of guidelines on standards and elements for end-user documentation, electronic record-keeping, establishing SALW national focal points and national commissions, developing SALW NAPs and drafting national legislation.¹¹⁴ Similarly, RECSA also provides capacity building workshops and trainings to strengthening SALW- related regulations,¹¹⁵ improve identification and tracing of SALW, as well as weapon and ammunition management. One important result has been the provision by RECSA of marking machines to all its Member States, which enabled states, including Kenya, Uganda, Rwanda and Burundi to make sustained progress towards marking their SALW.¹¹⁵

It has also developed resources to support states seeking to implement the Nairobi Protocol. For example, the **Best Practice Guidelines and Minimum Common Standards on the Implementation of the Nairobi Declaration and the Nairobi Protocol**, approved in 2005 by the Third Ministerial Review Conference held in Nairobi seeks to assist Member States in the implementation and harmonization of national legislations on firearms. The aim of the guidelines is to elaborate a framework for the development of policy, review of national legislation, general operational guidelines and procedures on all aspects of SALW required by the Nairobi Protocol. The Best Practice Guidelines cover SALW stockpile management, record-keeping, marking, collection disposal, import, export, transit and transshipment of arms, tracing and brokering.¹¹⁶ With regard to transfer controls, the Guidelines provide additional information on the licensing requirements set out in Article 10 of the Nairobi Protocol, which requires states to establish and maintain an effective system of export, import and transit licensing or authorisation for the transfer of SALW.¹¹⁷ In addition, the Guidelines include information on the prevention of diversion.



Photo source: Regional Centre on Small Arms (RECSA), www.recsasec.org

Legislative Assistance

The harmonization of national firearms legislation with related international and regional instruments is another important area of work for RECSA. From development of resources on harmonization of legislation¹¹⁸ to national legal assessment workshops and capacity building assistance to strengthen national legislation,¹¹⁹ RECSA works to assist states in meeting their legislative obligations under regional and international instruments, including the ATT.

Diversion Prevention

A number of its initiatives, including strengthening PSSM¹²⁰ or the collection and destruction of SALW, ammunition and parts and components, aim to build states' capacity and facilitate coordination to prevent the illicit trafficking and diversion of arms. For example, in partnership with BICC and SARCOM, a "Cross-Border Cooperation Workshop" was conducted in 2018 in Khartoum, Sudan that explored challenges and threats linked to illicit trafficking of small arms, including diversion, and identified best practices and opportunities to increase joint border law enforcement cooperation within the region.¹²¹ RECSA was also tasked with developing further guidelines, methodologies and other tools such as "red flag" early warning indicators and a list of locations where diversion and misuse has proven to be a problem in the past.¹²²

Gender and Gender-based Violence

In 2009, RECSA adopted its first Gender Policy in line with international, regional and national instruments that strive to ensure gender equality and equal participation. The policy seeks to assist RECSA in ensuring gender-balanced representation at all stages of design, planning, implementation, monitoring and evaluation of SALW programmes. Since then, mainstreaming gender has become one of the four pillars of RECSA's overall strategy, with a specific objective to "enhance participation and involvement of women, girls and other special interest groups in SALW interventions in the region."¹²³ RECSA has also undertaken work to assist states in the region, including to integrate gender considerations into SALW national action plans.¹²⁴

East African Community (EAC)



Region: East Africa

Headquarters: Arusha, Tanzania



Type of organization:

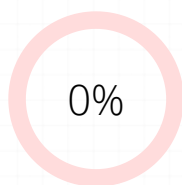
Regional Integration



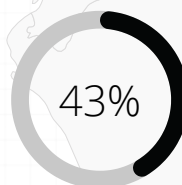
Number of Members: 7

List of members:

Burundi, Democratic Republic of the Congo, Kenya, Rwanda, South Sudan, Tanzania, Uganda



Proportion of RO Members that are ATT States Parties:
None



Proportion of RO Members that are ATT Signatories:
43% (3 out of 7)

About the Organization

The **East African Community (EAC)** seeks to deepen cooperation among its seven partner states in a number of key areas of mutual interest, including political, economic and social concerns. **The Treaty for the Establishment of the East African Community**, adopted in 1999, recognises the need for peace and security among East African partner states and provides wide-ranging approaches to a stable and secure environment within the region. The partner states also agree to enhance cooperation in the handling of cross border crime, provision of mutual assistance in criminal matters (...) and the exchange of information on national mechanisms for combating criminal activities" (Article 124.5).

Regional Instruments



EAC Protocol on Peace and Security

The EAC adopted a Protocol on Peace and Security in 2013 ("EAC Protocol") for cooperation in a number of areas including the proliferation of illicit small arms and light weapons. In this regard, the EAC Protocol encourages Member States to "observe and encourage the implementation of the United Nations, African Union and other international conventions and treaties on arms control [and] disarmament."

Furthermore, under Article 11, partner states undertake to jointly develop policies, measures, mechanisms, strategies and programmes to control the proliferation of illicit small arms and light weapons' (Art. 11).



Strategy for Regional Peace and Security in East Africa

The Strategy for Regional Peace and Security in East Africa ("Peace and Security Strategy") was adopted in 2006, at the EAC 13th Council of Ministers meeting to respond to the nature and form of the ever-evolving security threats. The Peace and Security strategy was revised in 2014 to incorporate contemporary challenges.

Activities



ATT Support

The EAC Legislative Assembly held in Arusha in 2019 explicitly called for the development of a regional legislative framework to address the problem of proliferation of small arms. The Assembly also adopted the **Report of the Committee on Regional Affairs and Conflict Resolutions on the Oversight Activity on the Proliferation of Small Arms and Light Weapons in the East African Region**¹²⁵ that declares the ATT as "a complementary instrument [to the EAC Protocol] which contributes to sustainable peace, security and development in the region".¹²⁶

In the report, the Committee assessed that "lacuna remain in the ratification and the domestication of ATT". The Report also urged "the Council of Ministers to ensure that, as a matter of priority, all the EAC countries prioritize the process of marking and registering the firearms and light weapons in order to enhance the fight against the transboundary crime."¹²⁷ Following the adoption of the report, the EAC Legislative Assembly stated that partner states "should as a matter of necessity, ratify, domesticate and operationalize the Nairobi Protocol and the Arms Trade Treaty, with a view to preventing the diversion of weapons".¹²⁸

The EAC Legislative Assembly has facilitated seminars on the ATT and its complementarity to regional arms control instruments, such as one organized with the International Committee of the Red Cross (ICRC) in Arusha in 2018. The objectives of this seminar were: (1) to deepen understanding of key ATT provisions, particularly its reporting obligations; (2) to provide a platform towards listening to perspectives of other states and Regional Organization on ATT ratification; (3) to explore linkages and complementarities between the Nairobi Protocol and ATT; and (4) to identify ways to harmonize transparency obligations under the Nairobi Protocol.¹²⁹



Establishing Transfer Controls

Diversion Prevention

As part of its efforts to strengthen regional peace and security, EAC has developed a number of activities and efforts, including a Small Arms and Light Weapons Management Program to strengthen states capacity to prevent illicit trafficking and diversion of arms and ammunition. In particular, EAC efforts to curb the proliferation of SALW have been boosted with the establishment of an experts group to develop a regional arms management policy that will inform the legislation harmonization process deemed critical to collective approach to dealing with SALW.¹³⁰

The EAC, in partnership with, IGAD, COMESA and IOC, has commenced the implementation of the Regional Conflict Prevention Management and Resolution Program, which includes a SALW component that provides support for National Focal Points in the implementation of national activities.¹³¹ This assistance includes trainings and field exercises for regional armed forces to strengthen their ability to address regional security challenges, including the proliferation of small arms and light weapons, terrorism and insecurity.¹³² As part of the same Program, and in cooperation with the UN Regional Centre on Small Arms (UNREC), ECA has also ensured the procurement of marking equipment for all Focal Points to facilitate remarking of SALW.¹³³

In 2021, EAC put in place a partnership framework with RECSA to facilitate cooperation on matters of peace and security in the region, compliance with peace and security instruments and the establishment of information sharing mechanisms on cross-border threats. This partnership facilitated programmes focused on addressing the illicit small arms and light weapons.¹³⁴

Intergovernmental Authority on Development (IGAD)



Region: East Africa

Headquarters: Djibouti, Djibouti



Type of organization:

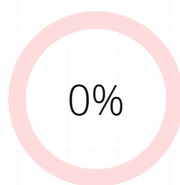
Regional Integration



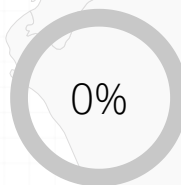
Number of Members: 8

List of members:

Djibouti, Eritrea, Ethiopia,
Kenya, Somalia, South Sudan,
Sudan, Uganda



**Proportion of RO Members
that are ATT States Parties:**
None



**Proportion of RO
Members that are ATT
Signatories:** None

About the Organization

Photo Source: [IGAD](#)



The Intergovernmental Authority on Development (IGAD) in Eastern Africa was established in 1996 at the 5th Summit of IGAD Assembly of Heads of State and Government to supersede the Intergovernmental Authority on Drought and Development (IGADD). As part of this transition, IGAD's mandate was expanded to include the following priority areas: food security and environmental protection, economic cooperation, regional integration and social development, and peace and security.

Activities



ATT Support

The IGAD Security Sector Programme (“IGAD-SSP”) directly promotes ATT-relevant commitments. IGAD-SSP is mandated to include regional cooperation and coordination and capacity building measures to address the challenges of illicit circulation of SALW. It also supports IGAD Member States in the ratification, domestication and implementation of regional and international relevant instruments, with a focus on the universal adherence to the disarmament regimes. In furtherance of this mandate, IGAD held National Consultative Meetings in Uganda¹³⁵ in 2021 and in Sudan¹³⁶ in 2020 on ways to prevent the illicit circulation of small arms and light weapons (SALW) through the universalization of the ATT and other relevant international instruments.

Moreover, a 2021 report by Conflict Early Warning and Response Mechanism (CEWARN), an information-driven, knowledge-based early warning mechanism, urged all IGAD Member States “to sign and ratify the ATT on issues of small arms and light weapons proliferation, a multilateral treaty that regulates the international trade in conventional weapons”.¹³⁷



Establishing Transfer Controls

Diversion Prevention

IGAD-SSP provides training and capacity building for Member States on strengthening border security and preventing the illicit trafficking and diversion of arms. IGAD-SSP also provides training for the implementation of the IGAD Mutual Legal Assistance (MLA) and Extradition Conventions. These Conventions seek to assist states in the region to effectively counter terrorism and transnational crime by improving legal cooperation among related law enforcement institutions in the region.

In 2002, IGAD established the Conflict Early Warning and Response Mechanism (CEWARN) to strengthen regional stability and prevent conflict. CEWARN’s mandate focuses on collecting and providing credible, evidence-based early warning information and analysis to inform timely action to prevent or mitigate violent conflict. CEWARN’s efforts have centered on preventing cross-border pastoralist conflicts fuelled by the proliferation of small arms and supporting local community-led early warning systems, including by monitoring and tracking arms proliferation and trafficking, including in South Sudan and Kenya.¹³⁸

Sub-Regional Arms Control Mechanism (SARCOM)



Region: Northern Africa and Central Africa
Headquarters: Khartoum, Sudan



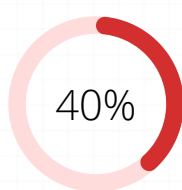
Type of organization:
Regional Integration



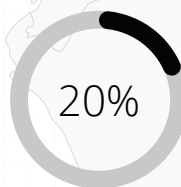
Number of Members: 5

List of members:

Central African Republic (CAR),
Chad, Democratic Republic of
Congo (DRC), Libya, Sudan



**Proportion of RO Members
that are ATT States Parties:**
40% (2 out of 5)



**Proportion of RO Members
that are ATT Signatories:**
20% (1 out of 5)

About the Organization

The Sub-Regional Arms Control Mechanism (SARCOM) was established in May 2012, with the adoption of the Khartoum Declaration on the Control of Small Arms and Light Weapons across the Neighboring Countries of Western Sudan ("Khartoum Declaration"). The organization supports its Member States in their efforts to control small arms and light weapons proliferation by strengthening information-sharing, capacity building and coordinating cross-border cooperation on arms trafficking and diversion.

Regional Instruments



Khartoum Declaration on the Control of Small Arms and Light Weapons across the Neighboring Countries of Western Sudan

Through the Khartoum Declaration on the Control of Small Arms and Light Weapons across the Neighboring Countries of Western Sudan ("Khartoum Declaration"), adopted in May 2012, the SARCOM Member States committed to strengthen national capacities and institutions in order to: (1) develop and implement comprehensive SALW control strategies; (2) develop National Action Plans and interventions, including national databases for SALW and physical security and stockpile management (PSSM) of State-held SALW and ammunition; and (3) to create an effective information-sharing system between law enforcement agencies and civil society organizations.



Establishing Transfer Controls

Diversion Prevention

From support with the implementation of key instruments to capacity building workshops, SARCOM provides assistance to Member States to prevent illicit trafficking and diversion of arms. Such efforts include training programs on the national implementation of regional and international regulatory frameworks on arms control, including the ATT, seminars on weapons and ammunition management¹³⁹ and workshops on cross-border cooperation to the prevention of illicit trafficking of small arms.¹⁴⁰

Southern African Development Community (SADC)



Region: Southern Africa

Headquarters:

Gaborone, Botswana



Type of organization:

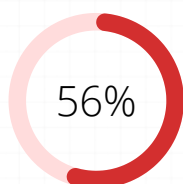
Regional Integration



Number of Members: 16

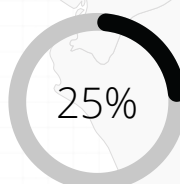
List of members:

Angola, Botswana, Comoros, Democratic Republic of Congo (DRC), Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Zambia, Zimbabwe



Proportion of RO Members that are ATT States Parties:

56% (9 out of 16)



Proportion of RO Members that are ATT Signatories:

25% (4 out of 16)

About the Organization

SADC is an inter-governmental organization focused on promoting sustainable and equitable economic growth and socio-economic development through efficient and productive systems, deeper cooperation and integration, good governance and durable peace and security. The organization was instrumental in setting parameters for policy action in the subregion on a range of issues, including the proliferation of small arms.

Regional Instruments



Protocol on the Control of Firearms, Ammunition, and other Related Materials

The Protocol on the Control of Firearms, Ammunition, and other Related Materials ("SADC Firearms Protocol") was adopted in 2001 in response to "outdated national legislation, obsolete regulatory measures, precarious peace processes, previous borders and (...) lack of capacity on the part of both governments and civil society to effectively monitor the legal and illegal movement of firearms."¹⁴¹ The SADC Firearms Protocol, which entered into force in November 2004, seeks to prevent, combat and eradicate the illicit manufacturing of firearms, ammunition and other related materials by strengthening the import and export of firearms and harmonizing national legislation.

Box 5. Core linkages between the SADC Firearms Protocol

The SADC Protocol seeks to regulate the import and export of small arms,¹⁴² and to harmonize national legislation among Member States. As is the case with most regional instruments, the scope of the SADC Protocol is limited to firearms, rather than all conventional arms. Both instruments cover ammunition and parts and components (referred to in the SADC Protocol as “other related materials”) (SADC Protocol Art.1 and 3).

The most evident point of convergence between the SADC Protocol and ATT is transfer controls. Both instruments include provisions related to the import, export, and transit of firearms (SADC Firearms Protocol Articles 5.c and 16.b of the SADC Firearms Protocol and Articles 2 , 7 and 8 of the ATT). Under the SADC Firearms Protocol, Member States commit to “establish national firearm databases to facilitate exchange of information on imports, exports, and transfers”, while ATT States Parties are required to keep national records of authorized or actual exports of conventional arms and are encouraged to maintain records of imports, transit and transshipment (Article 16.b of the SADC Firearms Protocol and Article 12 of the ATT).

To prevent the illicit trafficking and diversion of arms, the SADC Firearms Protocol requires Member States to harmonize their “import, export and transfer documents and end-user control certificate” and to establish systems to verify the validity and authenticity of documents (Article 8.d and e).

It also requires Member States to adopt provisions to ensure the standardized marking and identification of firearms at the time of manufacture, import and export Art. 5.6) and to establish agreed systems to ensure that “all firearms are marked with a unique number at the time of manufacturer or import” that identifies the country of manufacture, serial number and manufacturer (Article 9). In contrast the ATT encourages importing, transit, trans-shipment and exporting States Parties to “cooperate and exchange information, pursuant to their national laws (...) in order to mitigate the risk of diversion of the transfer of conventional arms.” (Article 11). End-user documentation is referenced in the ATT as one type of measure that importing states may take to ensure that appropriate and relevant information is provided, upon request, to exporting states to assist in their risk assessment under Article 7. End-user documentation is also one of the types of information States Parties are encouraged to include in their conventional arms records (Articles. 8 and 12.3).

With regard to transit and transshipment, the ATT includes a general provision for States Parties to “take appropriate measures to regulate (...) the transit or trans-shipment (...) through its territory in accordance with relevant international law” (Article 9). The SADC Firearms Protocol provides more specific provisions for Member States, including that “any firearm, ammunition, or related material conveyed in transit without adequate authorization will be seized, confiscated, and forfeited”(Article 5.3.h). Both instruments also require their respective members to regulate brokering (Article 5.3.m of the SADC Protocol and Article 10 of the ATT)

Article 4 of the SADC Firearms Protocol encourages SADC Member States to become parties to “international instruments relating to the (...) trafficking in (...) firearms, ammunition and other related materials and to implement such instruments within their jurisdiction.” The ATT, as the legally-binding instrument that regulates international transfers of conventional arms, including small arms and light weapons, is one of the key instruments referenced in Article 4.

In August 2020, SADC Member States renewed their commitment to prevent and eradicate the illicit manufacturing of firearms, ammunition and other related materials, by approving the amended SADC Firearms Protocol.¹⁴³ The revised SADC Firearms Protocol includes additional provisions on matters such as marking, transfer and tracing of firearms, brokering, record-keeping, stockpile management.

Activities

In August 1999, the SADC Council of Ministers mandated SADC to establish a regional policy on the control of small arms and light weapons, and named the Southern Africa Regional Police Chiefs Cooperation Organisation (SARPCCO) as implementing agency, with a mandate to coordinate the SADC Policy on Small Arms and Cross Border Crime Prevention.¹⁴⁴ As such, all activities in support of the implementation of the ATT and related instruments or programs are covered in the SARPCCO Profile (see below).

Gender and Gender-based Violence

The SADC Regional Strategy and Framework of Action for Addressing GBV (2018 -2030), adopted in July 2018, seeks to encourage and assist Member States to implement and monitor the SADC Protocol on Gender and Development and to make progress towards Sustainable Development Goal 5 (gender equality). If implemented effectively, key strategic actions of the SADC Regional Strategy and Framework of Action for Addressing GBV, including the improvement of the collection, harmonization and use of administrative data (...) on incidents of GBV and dissemination of reliable and comparable GBV data and statistics, can contribute to the gender-related commitments made by ATT States Parties at the Fifth Conference of States Parties to the ATT.¹⁴⁵ Also relevant to ATT States Parties in their application of the risk assessment set out in Articles 6 and 7 is the Regional Inventory of Sexual and Gender-based Violence Legislation, which is currently being developed by the SADC Secretariat.¹⁴⁶

Southern African Regional Police Chiefs Co-operation Organisation (SARPCCO)



Region: Southern Africa

Headquarters:
Zimbabwe



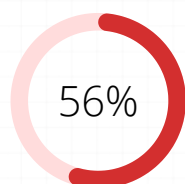
Type of organization:
Police Coordination



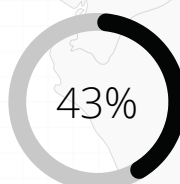
Number of Members:
16 countries, plus SADC and Interpol

List of members:

Angola, Botswana, Comoros, Democratic Republic of Congo (DRC), Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Tanzania, Zambia, Zimbabwe



Proportion of RO Members that are ATT States Parties:
56% (9 out of 16)



Proportion of RO Members that are ATT Signatories:
43% (7 out of 16)

About the Organization

Established in 1995 as an official forum comprising all the police chiefs from Southern Africa, **SARPCCO** is responsible for the prevention and combating of cross-border and transnational organized crime in Southern Africa. In 2006, SARPCCO was integrated into SADC. Following this, the SADC Treaty was amended in 2009 to include the Ministers responsible for Foreign Affairs, Defence, Public Security, State Security and Police.

In compliance with Article 17 of the SADC Firearms Protocol, a Regional Coordinating Committee (RCC), composed of SADC national focal points and governed by SARPCCO, was established in 2007. Its tasks are to ensure proper implementation, monitoring and evaluation of the SADC Firearms Protocol with a view to curbing illicit trafficking in arms in the region.

The RCC meets once or twice a year to evaluate progress towards the implementation of the SADC Firearms Protocol, including the status of current legislation, firearms marking, firearms destruction, statistics on arrests, and ongoing joint investigations. The RCC may make recommendations to SARPCCO on ways to curb illicit trafficking in arms in the region.¹⁴⁷

In 2008, at the 13th SARPCCO Annual General Meeting on the implementation of controls on firearms, ammunition and other related materials, the Standard Operating Procedures for the Implementation of the SADC Protocol on the Control of Firearms, Ammunition and Other Related Materials (“Standard Operating Procedures”) were adopted. The document provides guidelines and practical measures to policy makers, legislators and firearms control officials in order to inform changes to national legislation. Most relevant to ATT implementation, the Standard Operating Procedures include specific instructions for licensing officials as they consider arms export applications, and provide a list of relevant documents to be included in export licensing applications, including end-user certification. It also includes similar guidelines for transit permits and recordkeeping.

Activities



Establishing Transfer Controls

National control systems

As part of its work to support the implementation of the SADC’s Firearms Protocol, SARPCCO provides capacity building for law enforcement including training of trainers,¹⁴⁸ database management, arms brokering, and marking of state and civilian firearms. It also cooperates with INTERPOL in the organization and delivery of training courses on SALW. For example in 2019, SARPCCO in cooperation with the INTERPOL Firearms Programme and the INTERPOL Regional Bureau in Harare conducted a training course on Small Arms and Light Weapons for SARPCCO Member States.¹⁴⁹

Legislative Assistance

SARPCCO undertook a number of activities and efforts to support the implementation of the SADC Protocol, notably by harmonizing legislation among SADC Member States through the provision of a SARPCCO Model Law on Firearms.¹⁵⁰ SARPCCO also took part in SADC consultations to develop a SADC Model Law for GBV.¹⁵¹



Footnotes

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- ⁸¹ SIPRI (2015) "Workshop On The Implementation Of ATT Obligations Relating To Human Rights And Gender-Based Violence" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.
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- ¹³⁵ Intergovernmental Authority on Development Security Sector Program (IGAD SSP) "Uganda National Consultative Meeting On The Illicit Circulation Of Small Arms And Light Weapons (SALW) In Relation To The Arms Trade Treaty (ATT)"
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ARMS TRADE TREATY REGIONAL ACTOR HANDBOOK

EUROPE

European Union (EU)

North Atlantic Treaty Organization (NATO)

South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC)

European Union Agency for Law Enforcement Cooperation (Europol)

Organization for Security and Co-operation in Europe (OSCE)

Regional Arms Control Verification and Implementation Assistance Centre (RACVIAC) Centre for Security Cooperation

South-East Europe Law Enforcement Centre (SELEC)

European Union (EU)



Region: Europe

Headquarters: Brussels, Belgium



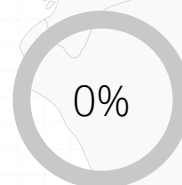
Number of Members: 27

List of members:

Finland, Sweden, Estonia, Latvia, Lithuania, Poland, Denmark, Ireland, Netherlands, Germany, Belgium, Czech Republic, Slovakia, Hungary, Austria, Romania, Bulgaria, Greece, Italy, Luxembourg, Slovenia, Croatia, France, Spain, Portugal, Cyprus, Malta



Proportion of RO Members that are ATT States Parties:
100% (27 out of 27)



Proportion of RO Members that are ATT Signatories:
None

About the Organization

The European Union's vision is to foster political and economic cooperation among its 27 Member States and to promote human dignity, freedom, democracy and equality.

The 1998 EU Code of Conduct on Arms Exports and the subsequent 2008 EU Common Position on Arms Exports (EU Common Position) are central to harmonizing arms exports policies among EU Member States and are key elements of its Common Foreign and Security Policy (CFSP). These instruments provide a framework for cooperation and information exchange to ensure that the common norms for assessing arms transfers are applied uniformly by all Member States.

Regional Instruments



Common Position 2008/944/CFSP Defining Common Rules Governing Control Of Exports Of Military Technology And Equipment

In 2008, the European Council adopted the Common Position 2008/944/CFSP Defining Common Rules Governing Control Of Exports Of Military Technology And Equipment ("EU Common Position"), which provides common norms for the control of exports of military technology and equipment. Through the adoption of the EU Common Position, EU Member States reaffirm their commitment to harmonizing their arms exports policies.



EU Regulation Setting Up A Union Regime For The Control Of Exports, Brokering, Technical Assistance, Transit And Transfer Of Dual-Use Items

The EU Regulation Setting Up A Union Regime For The Control Of Exports, Brokering, Technical Assistance, Transit And Transfer Of Dual-Use Items seeks to establish “[a]n effective common system of export controls on dual-use items” (preamble of Regulation 2021/821). It provides a comprehensive list of items subject to export authorisation, specifies the licensing criteria for the granting of such authorisations, includes specific requirements for brokering and obliges Member States to cooperate and share information on export decisions.



EU Strategy Against Illicit Firearms, Small Arms & Light Weapons & Their Ammunition

Adopted on 19 November 2018, the EU Strategy Against Illicit Firearms, Small Arms and Light Weapons (SALW) and their Ammunition is set out in the document, "Securing arms, protecting citizens". This strategy seeks to “to guide integrated, collective and coordinated European action to prevent and curb the illicit acquisition of SALW and their ammunition by terrorists, criminals and other unauthorised actors, and to promote accountability and responsibility with regard to the legal arms trade”.¹⁵²

Box 6. EU Common Position on Arms Exports and the ATT

The EU Common Position is a legally binding framework that sets out eight criteria for assessing arms exports license applications. Similar to the ATT, the EU Commission provides a framework to assess the potential ways arms transfers would or could be used for negative consequences. However, there are some key differences between the instruments. A first major difference between the ATT and the EU Common Position is their scope - both in terms of the type of weapons and equipment, and the type of transaction requiring a risk assessment.

In terms of the type of weapons and equipment, the ATT applies only to eight categories of arms (the seven categories covered by UNROCA plus small arms and light weapons), while the EU Common Position applies to a much broader set of items, all of which are listed in the **Common Military List of the European Union** (ATT Art 2.1 and EU Common Position on Arms Exports Art. 1.1).

In terms of the type of transaction, the provisions of the ATT, including the pre-authorization prohibitions on arms transfers set out in Article 6, cover “export, import, transit, trans-shipment and brokering” (ATT Art 2.2). However, the pre-authorization risk assessment set out in Article 7 of the ATT only applies to exports of conventional arms (ATT Art. 7). The EU Common Position risk assessment applies to a broader set of transactions, including export, re-export, brokering, transit or transshipment and intangible transfers of software and technology¹⁵³ (EU Common Position on Arms Exports Art. 1.2).

While a number of the risk assessment criteria applied under the **EU Common Position** are also key provisions of the ATT – such as respect for human rights and humanitarian law, compliance with other international commitments, and preventing diversion – key differences remain.

1. International Humanitarian Law. Under the EU Common Position, EU Member States are required to deny an export license if there is a clear risk that the military technology or equipment to be exported might be used to commit serious violations of IHL. As part of the risk assessment process, EU Member States must also assess the recipient's attitude towards relevant IHL principles. (EU Common Position Art 2. 2.c). The ATT addresses the risk of IHL violations in two steps. First, if the exporting state “has knowledge (...) that the arms or items would be used in the commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party” (ATT Art.6), the export must be denied. (Art. 6.3) If, after it is determined the export is not prohibited under Article 6, the exporting state must then assess the “potential that the conventional arms (...) could be used to commit or facilitate a serious violation of international humanitarian law” (ATT Art 7.1).

International Human Rights. In terms of risks associated with international human rights violations, the ATT does not set out specific prohibitions (Art.6) as it does for IHL violations. However, the ATT applies the same risk assessment to international human rights violations as it does to IHL violations. The ATT requires exporting states to assess the “potential that the conventional arms (...) could be used to commit or facilitate a serious violation of international human rights law” (ATT Art 7.1).

For human rights violations, the EU Common Position provides more specific guidance than the ATT. EU Member States are required to assess the risk and “deny an export licence if there is a clear risk that the military technology or equipment to be exported might be used for internal repression.” Member states are also required to “exercise special caution and vigilance” when exporting to countries where “serious violations of human rights have been established by the competent bodies of the United Nations, by the European Union or by the Council of Europe” (EU Common Position Art 2. 2.a and 2.b).

2. In addition to the commission of violations of IHL or IHRL, the ATT treaty text includes “facilitation” which is interpreted to mean that a “broader range of conduct and arms usage” must be considered when assessing risks of violations under Article 7.¹⁵⁴ The text of the EU Common Position makes no mention of facilitation. The User's Guide to Council Common Position, does include the term “facilitate,” but only in the context of assessing the risk of “internal repression” (User's Guide to the Council Common Position section 2 Para 2.7 and 2.8).

In the event that risks in Article 7.1 are identified, the ATT requires states to explore mitigation measures to address these risks. (ATT Art 7.2). Once an exporting state party conducts the risk assessment and explores mitigation measures, if it determines that there is an overriding risk of IHL, IHRL or other consequences set out in Article 7.1, the ATT State Party is required to deny the export. (ATT Art 7.3). With regard to mitigation measures and “overriding risk”, the EU Common Position has no corollary. The EU Common Position instead relies solely on the “clear risk” determination.

Finally, both instruments include similar **reporting obligations** on annual arms imports and exports, signaling the commonality between the information provided by states in EU reports and in ATT reports. However difference in reporting relate to:

- **Report Publication.** Reports submitted by Member States to the EU Common Position are to be kept “in confidence” and are presented publicly in aggregated form. In practice, most EU Member States tend to make their own reports public. However, ATT States Parties have the ability to determine whether they wish to make their individual reports public on the ATT Secretariat website or remain private to ATT States parties only. The ATT does not present the contents of state party annual reports in aggregated form.
- **Type of Information Included in Reports.** Under Article 13.3, ATT States Parties are required to report on an annual basis, for the preceding calendar year, “authorized or actual exports and imports of conventional arms.” In ATT reporting guidance, disaggregation is encouraged but not required.
- The User's Guide to Council Common Position requires more specific reporting information than the ATT, including the disaggregation data in several categories such as the number and value of authorized exports and the value of actual exports, further specified by destination and by category of arms. The User's Guide to Council Common Position also requires EU Member States to report on the number of denials issued and the number of times each criterion of the Common Position was used, disaggregated by destination and category of arms, as well as on the number of consultations initiated and received. Finally, the EU Member States are required to include the web address where it publishes its annual report on arms exports.
- **Implementation Progress.** Under both instruments, states are required to share information on progress made towards their implementation. Under the EU Common Position, states must report progress on implementation as part of their annual reporting obligations, while under the ATT, States Parties are required to do so only once “within the first year after entry into force of this Treaty for that State Party”, and then “as appropriate”, when new national measures are undertaken to implement the ATT (ATT Art. 13.1). Given these areas of information overlap, there are opportunities for streamlined reporting between the ATT and the EU Common Position, which can help overcome general reporting challenges and limit reporting fatigue at the national level.

Activities



ATT Support

The European Union supports several ATT implementation projects. These include:

1. EU ATT-Outreach Project (ATT-OP)

Established in 2014 with the goal of supporting the universalization and implementation of the ATT and by the German Federal Office for Economic Affairs and Export Control (BAFA) and Expertise France, the ATT-OP is focused on providing ATT assistance to countries in the regions of SouthEast Asia, Africa and Latin America.

To ensure that it does not duplicate work already being carried out by other actors, ATT-OP coordinates with other organizations, including the UN Regional Centres, Small Arms Survey, ATT Secretariat, and Voluntary Trust Fund. Most of ATT-OP's work is carried out through tailored national assistance programs and includes review of draft laws, trainings for licensing or customs officers, sub-regional workshops, and ad-hoc assistance.

2. Direct support for the ATT Secretariat

On 16 April 2021, the Council of the European Union adopted a decision to provide support for activities of the ATT Secretariat to support the implementation of the ATT. This support enables the ATT Secretariat to: (a) provide support for capacity building of ATT national points of contact; (b) establish an expert roster on capacity building of local and regional ATT actors through "training of trainers"; and (c) support the development of a database to match assistance needs with available resources.



Establishing Transfer Controls

National control systems

The EU COARM Outreach Project, implemented by BAFA, seeks to help countries in the immediate vicinity of the EU to establish arms export control systems. The project focuses on the adoption of sufficiently robust national legislation, strengthening capacity and ensuring compliance with international obligations. Building on the EU Common Position, the COARM Outreach Project also supports ATT universalization and implementation.

Through the Common Foreign and Security Policy (CFSP) Programme, the EU also funded a series of additional projects that support stakeholders' efforts to develop and strengthen national control systems. For example, iTrace, developed by Conflict Armament Research, provides precise, verified information required on weapon transfers to support the development of effective, evidence-based weapon management and control. Findings from this project have informed policies and recommendations related to diversion prevention measures, including the work of the ATT Working Group on Diversion. Similarly, the EU supported the Ammunition Management Advisory Team (AMAT) of the Geneva International Center for Humanitarian Demining to develop the Arms and Ammunition Management Validation System.

North Atlantic Treaty Organization (NATO)



Region: North America and Europe

Headquarters: Brussels, Belgium



Type of organization:

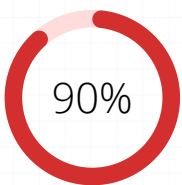
Regional Integration



Number of Members: 30

List of members:

Albania, Belgium, Bulgaria, Canada, Croatia, Czech Republic, Denmark, Estonia, France, Germany, Greece, Hungary, Iceland, Italy, Latvia, Lithuania, Luxembourg, Montenegro, Netherlands, North Macedonia, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Turkey, United Kingdom, United States



Proportion of RO Members that are ATT States Parties:

90% (27 out of 30)



Proportion of RO Members that are ATT Signatories:

6.6% (2 out of 30)

About the Organization



NATO, established in 1949, is an intergovernmental military alliance between 30 European and North American members, which aims to safeguard the Allies' freedom and security through political and military means. NATO has a long-standing and active history of supporting regional and global arms control, disarmament, and non-proliferation efforts dating back to its founding in 1949. The alliance continues to pursue its security objectives through these efforts, while at the same time ensuring that it meets its collective defense obligations.

Activities



Establishing Transfer Controls

National Control System

NATO supports and facilitates dialogue among Allies, partners, and other countries and helps them to coordinate and carry out their obligations under key international disarmament and arms control instruments,¹⁵⁵ including the UNPoA and the ATT.¹⁵⁶

The NATO's Arms Control, Disarmament and WMD Non-Proliferation Centre (ACDC), created in 2017, focuses on the four key areas: conventional arms control and confidence- and security-building measures; small arms and light weapons and mine action; weapons of mass destruction (WMD) non-proliferation; and chemical, biological, radiological, and nuclear defense. As part of this work, NATO has established and strengthened regional and cross-regional cooperation and developed coordination and information-sharing mechanisms to combat the illicit trade in small arms.

The Alliance has also developed structured partnerships, including the Partnership for Peace, the Mediterranean Dialogue, and the Istanbul Cooperation Initiative, and has engaged actively with partner states on a wide range of political and security issues related to small arms controls. For instance, through the Partnership for Peace (PfP) Trust Fund Policy, established in 2000, NATO assists partner countries with the safe destruction of stocks of anti-personnel landmines, surplus munitions, unexploded ordnance and SALW.

In the area of conventional arms, NATO's 2022 Strategic Concept highlights the continued importance of strategic stability and Allies' efforts on arms control, disarmament and non-proliferation, which aim to reduce risk and enhance security, transparency, verification and compliance. The 1990 Treaty on Conventional Armed Forces in Europe (CFE) is the landmark arms control agreement, to which Allies have repeatedly stated their commitment.

Gender and Gender-based Violence

NATO has developed guidelines for gender mainstreaming in small arms-related projects.¹⁵⁷

South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC)



Region: South Eastern and Eastern Europe

Headquarters: Belgrade, Serbia



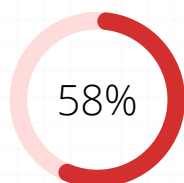
Type of organization:
Regional Integration



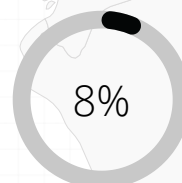
Number of Members: 12

List of members:

Serbia, Romania, Moldova, Ukraine, Belarus, Montenegro, Kosovo, Bosnia and Herzegovina, North Macedonia, Bulgaria, Albania, Croatia



Proportion of RO Members that are ATT States Parties:
58% (7 out of 12)



Proportion of RO Members that are ATT Signatories:
8% (1 out of 12)

About the Organization

SEESAC was established in 2002 as a joint initiative of UNDP and the Stability Pact for Southern Europe (later succeeded by the Regional Cooperation Council) to function as an executive arm of the Regional Implementation Plan on Combating Proliferation of Small Arms and Light Weapons.¹⁵⁸ Since its creation, SEESAC has acted as the focal point for SALW-related activities in South East Europe. Over the years, the scope of SEESAC's work has grown to include the advancement of gender equality in security sector reform.

SEESAC works to strengthen the capacities of national and regional stakeholders to control and reduce the proliferation and misuse of SALW, advance gender equality, and facilitate regional cooperation. To meet these goals, SEESAC supports its counterparts in the area of SALW control through coordination of measures and activities, capacity building, resource mobilization, development of technical tools, research, information management, provision of technical and expert advice, and monitoring and reporting.¹⁵⁹ It undertakes work on various aspects of SALW control, including on stockpile security, SALW and ammunition destruction, marking, tracing, and registration, and promotes SALW awareness campaigns and collection of SALW. SEESAC, in an advisory capacity, supports investigations carried out by law enforcement agencies.¹⁶⁰

The organization has also supported the establishment of seven SALW control coordination mechanisms in South East Europe.¹⁶¹

Activities



Establishing Transfer Controls

National control systems

SEESAC works primarily with national SALW Commissions and brings them together in joint meetings twice a year to share common challenges and identify solutions to address the illicit possession, trafficking, and misuse of firearms.¹⁶²

Similarly, the Regional Information Exchange Process on Arms Export Controls (RIEP)¹⁶³ is a flagship activity of SEESAC's Arms Export Control project, initiated in 2009 as a platform for officials developing and implementing arms transfers control policies in their respective countries. The meetings held as part of this platform present a further opportunity for SEESAC to support its Member States.

SEESAC has also developed Regional Micro-disarmament Standards and Guidelines (RMDS/G) to improve safety and efficiency in national and regional SALW controls and promote common procedures and practices in line with relevant international agreements, including the UNPoA, the Firearms Protocol, the OSCE Document on SALW and relevant EU agreements.¹⁶⁴ The RMDS/G reflect the ongoing development of operational procedures, practices and norms, and are constantly updated to reflect the latest developments and practices in SALW control.

At the request of a Member State, SEESAC also provides capacity-building trainings on SALW controls, including in support of the implementation of the.¹⁶⁵ In addition, SEESAC facilitates inter-regional cooperation and exchange of best practices. For example in 2019, SEESAC hosted a delegation of SALW control practitioners from West Africa, to foster information and knowledge exchanges on good practices and challenges in SALW control between the two regions.¹⁶⁶

Other work being carried out by SEESAC includes the following:

- Leading role in support of the **Regional Roadmap On Combating Illicit Arms Trafficking In The Western Balkans** and coordinates UNDP's regional project, which supports the Roadmap;
- Direct implementation of the "Support for Enhancing the Fight Against the Illegal Possession, Misuse and Trafficking of Small Arms and Light Weapons (SALW) in the Western Balkans' project;¹⁶⁷ and
- Development and implementation of the Roadmap For A Sustainable Solution To The Illegal Possession, Misuse Of SALW and Their Ammunition In The Western Balkans By 2024.
- Facilitated the creation and manages the **Brokering Database** - an online tool, available only to authorized government counterparts, which contains all arms brokers registered in the participating countries.

Activities



Establishing Transfer Controls

Legislative Assistance

SEESAC has undertaken work to harmonize SALW control-related legislation and policies with the EU Acquis as a way to develop a regional standardization of procedures and practices.¹⁶⁸ In partnership with the Parliamentary Forum on SALW, SEESAC has organized trainings for the Members of Parliaments from South East Europe, on the EU SALW policies and regulations.¹⁶⁹

Diversion Prevention

In 2015, SEESAC published a report on **"Addressing the Unauthorized Re-export or Re-Transfer of Arms and Ammunition"** which provides guidelines to assist states in South East Europe with the development and implementation of re-export and re-transfer controls – particularly how to respond in an effective and transparent manner to reports and allegations of unauthorized re-exports and re-transfers. The associated Toolkit provides licensing officers with specific language to be included in the licensing documentation as well as tools and checklists that can assist governments to impose and enforce re-export and re-transfer of arms.¹⁷⁰

Gender and Gender-based Violence

Through its broader body of work focused on gender in security sector reform, SEESAC works to develop regional understandings of and action on the role of gender in small arms control.¹⁷¹ Through a gender lens, SEESAC examines firearms ownership and access, collects and analyzes gender disaggregated data on the misuse of firearms, addresses masculinity and cultural norms, examines attitudes toward small arms and light weapons, and ensures gender balance in policy making. SEESAC also examines gender considerations in SALW control legislation and policies within SEESAC's Member States, including a comprehensive exercise to screen small arms control legislation and policies in the region to account for their gender perspective.

SEESAC assists other Regional Organizations such as CARICOM IMPACS, and shares its expertise and resources with governments outside its region. For instance, in 2016, SEESAC, together with the Nordic Centre for Gender in Military Operations (NCGM) and the Peacekeeping Training Centre of the Serbian Armed Forces, also held a "Gender Training of Trainers" course with participants of the armed forces from Ghana, Nigeria, Uganda and Rwanda. The course supported the participants in developing skills to integrate a gender perspective into military training and education in their respective countries, with a view to utilizing the capacities developed to foster south-south cooperation.¹⁷²

European Union Agency for Law Enforcement Cooperation (Europol)



Region: Europe

Headquarters: The Hague, Netherlands



Type of Organization: Law Enforcement



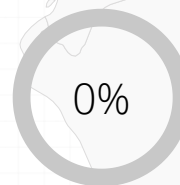
Number of Members: 28

List of members:

Finland, Sweden, Estonia, Latvia, Lithuania, Poland, Denmark, Ireland, Netherlands, Germany, Belgium, Czech Republic, Slovakia, Hungary, Austria, Romania, Bulgaria, Greece, Italy, Luxembourg, Slovenia, Croatia, France, Spain, Portugal, Cyprus, Malta



Proportion of RO Members that are ATT States Parties:
100% (28 out of 28)



Proportion of RO Members that are ATT Signatories:
None

About the Organization

Europol's mission is to improve the effectiveness of and cooperation among EU law enforcement agencies and authorities with the aim of preventing and responding to serious international crime.

Europol handles the exchange and analysis of criminal intelligence across the EU. It has a permanent connection with national units for the exchange of criminal data (each EU country has a designated Europol National Unit that serves as the liaison between the authorities in that country and Europol), and supports law enforcement officers through a network of liaison officers posted at Europol HQ.¹⁷³ Europol can also enter cooperation agreements with states and other entities outside the EU, aimed at enhancing cooperation between Europol and the countries concerned.



Photo Source: EUROPOL

Activities



Establishing Transfer Controls

National control systems

Europol's work most relevant to the ATT is in the area of prevention of illicit arms trafficking and strengthening national capacity to address this challenge.

In particular, Europol's Analysis Project (AP) Weapons and Explosives which deals with criminal organizations and individuals involved in the illegal manufacturing, possession and trafficking of a range of military and dual-use goods, including small arms and light weapons, ammunition, parts and components, explosives and explosives precursors, and improvised explosive devices or military ordnance.¹⁷⁴ Through the AP Weapons and Explosives program, Europol supports EU law enforcement authorities and other partners in tackling crime, including by providing analysis of related information and intelligence, facilitation of operational meetings between partners involved in cases, deployment in field operations, and provision of expertise and training to law enforcement authorities to support cases and share knowledge.¹⁷⁵

Similarly, through the European Multidisciplinary Platform Against Criminal Threats (EMPACT), Europol provides an integrated approach to EU internal security, including measures on external border controls, police, customs and judicial cooperation on information management, innovation, training, prevention and the external dimension of internal security. The EU's priorities for the fight against serious and organized crime for EMPACT 2022-2025 sets out ten priority areas, which include firearms trafficking, with the principal aim of "targeting criminal networks and individual criminals involved in the illicit trafficking, distribution and use of firearms".¹⁷⁶ The agency is expected to increasingly focus on analysis of open source intelligence to identify patterns of firearms-related violence and firearms trafficking, and developing capacity in the area of tracing weapons.¹⁷⁷

Activities



Establishing Transfer Controls (cont.)

Other ATT-relevant areas comprise terrorism and genocide, crimes against humanity and war crimes,¹⁷⁸ specifically through programs such as Analysis Projects Dolphin (AP Dolphin) and Analysis Projects Core International Crimes (AP CIC). AP Dolphin gathers intelligence and information available in EU Member States linked to terrorist groups in the EU, while AP CIC aims to support the competent authorities of the EU Member States, third parties and organisations in preventing and combating international crimes such as genocide, crimes against humanity and war crimes.¹⁷⁹ In 2021 alone, 61 operations were supported in relation to crime area "weapons and explosives"; some of these operations focused on the trafficking of weapons through postal and fast parcels.¹⁸⁰

Moreover, as part of a wider strategy to identify the criminal networks supplying terrorist groups with firearms and ammunition, Europol works closely with counter terrorism experts on international investigations. Europol's European Counter-Terrorism Centre (ECTC) supports Member States in information-sharing and operational cooperation with regard to monitoring traffic in illegal firearms in the context of anti-terrorism.¹⁸¹ Europol's European Migrant Smuggling Centre (EMSC) also seeks to identify links between the facilitation of illegal migration and other crime areas, including firearms trafficking.¹⁸²

Diversion Prevention

Europol also supports Member States' actions to counter the diversion of firearms and explosive precursors through its counter diversion information cell, which collects and cross checks information on suspicious dealers and brokers.¹⁸³ For instance, recently Europol announced that during EMPACT Joint Action Days in October 2022, over 380 persons were arrested for alleged to be involved in drug trafficking, facilitation of illegal immigration, document fraud and the trafficking of firearms and over 100 firearms were sized.¹⁸⁴ Similarly, in the context of the Ukraine conflict, Europol is working with Ukrainian officials to mitigate the threat of arms trafficking into the European Union, including by monitoring known smuggling routes.¹⁸⁵

Organization for Security and Co-operation in Europe (OSCE)



Region: Europe, Central Asia, and North America

Headquarters:

Vienna, Austria



Type of organization:

Regional Integration

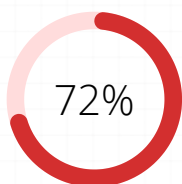


Number of Members:

57, plus 11 partners for cooperation

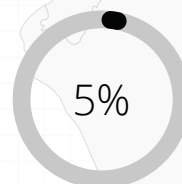
List of members:

Albania, Andorra, Armenia, Austria, Azerbaijan, Belarus, Belgium, Bosnia and Herzegovina, Bulgaria, Canada, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Georgia, Germany, Greece, Holy See, Hungary, Iceland, Ireland, Italy, Kazakhstan, Kyrgyzstan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Moldova, Monaco, Mongolia, Montenegro, Netherlands, North Macedonia, Norway, Poland, Portugal, Romania, Russian Federation, San Marino, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Tajikistan, Turkey, Turkmenistan, Ukraine, United Kingdom, United States, Uzbekistan



Proportion of RO Members that are ATT States Parties:

72% (41 out of 57)



Proportion of RO Members that are ATT Signatories:

5% (3 out of 57)

About the Organization

The Organization for Security and Co-operation in Europe, which has 57 members in North America, Europe and Asia, is the world's largest regional security organization. The organization provides a forum for political dialogue and for joint action on a wide range of security issues, including arms control, terrorism, good governance, energy security, human trafficking, democratization, media freedom and national minorities. To address these issues, OSCE uses a comprehensive approach to security that encompasses the politico-military, economic and environmental, and human dimensions.

The OSCE's founding document, the Helsinki Final Act of 1975, stresses the "need to contribute to reducing the dangers of armed conflict and of misunderstanding or miscalculation of military activities" which may arise or be exacerbated by the lack of clear and timely information.¹⁸⁶

A comprehensive set of confidence- and security-building measures (CSBMs) underpins the OSCE's co-operative approach to security. Such confidence- and security-building measures include information exchanges, compliance and verification measures, and different forms of military cooperation. Since its inception, OSCE has developed a range of mutually reinforcing arms control obligations and commitments.

The Forum for Security Co-operation (FSC), the OSCE's decision-making body dealing with politico-military aspects of security, leads on issues relating to the implementation of the OSCE's **Code of Conduct on Politico-Military Aspects of Security**. It also develops norms and provides practical assistance to address the proliferation of illicit SALW, such as with the collection and destruction of SALW and conventional ammunition. It also helps improve legislation to effectively control small arms, assists in improving stockpile management and promotes information exchange on SALW and conventional arms transfers across its membership.

Regional Instruments



OSCE Principles Governing Conventional Arms Transfers

The **OSCE Principles Governing Conventional Arms Transfers** ("OSCE Principles"), adopted in 1993, represents one of the first internationally agreed sets of criteria to be used in risk assessments conducted before authorizing an export of conventional arms. The export criteria to be considered here include: the recipient country's international standing; whether the arms are in line with the proposed recipient's legitimate needs and capabilities; risks that the arms might be used to commit or facilitate violations or suppression of human rights or for other forms of repression, to threaten or attack other states, to support or encourage terrorism, to facilitate organized crime, or to be diverted for such uses. Unlike Articles 6 and 7 of the ATT, the OSCE documents do not contain provisions for mitigation measures.

Other relevant documents include:

- **The 1994 Code of Conduct on Politico-Military Aspects of Security**, a landmark document in security sector governance that commits OSCE participating States to exchange information on the democratic oversight of their armed and security forces;
- **The 1996 Framework for Arms Control** recognizes that arms control, including disarmament and confidence and security-building, is integral to the OSCE's comprehensive concept of security;¹⁸⁷
- **The 2000 OSCE Document on Small Arms and Light Weapons** provides a comprehensive approach to preventing the proliferation and illicit trafficking of SALW by ensuring they are produced and transferred legitimately and by suggesting appropriate measures to collect, store, and destroy small arms at the end of armed conflicts. The document also establishes criteria for import, export and transit procedures, documentation, and control of small arms in order to reduce opportunities for illicit trafficking. Further, it encourages Member States to exchange information annually on national policies and practices related to SALW. In June 2012, the **SALW Document** was reissued with FSC decisions on arms transfer controls and trafficking.
- **The 2020 OSCE Best Practice Guide on Deactivation of Small Arms and Light Weapons (SALW)**, which suggests minimum standards, approaches and procedures to ensure the permanent deactivation of SALW, provides recommendations on how to incorporate these into national norms and legislation and contributes to the OSCE efforts in preventing diversion of SALW.¹⁸⁸

Box 7. 2000 OSCE Document on Small Arms and Light Weapons and the ATT

There are clear complementarities between the ATT and several relevant OSCE instruments and tools, including the OSCE Document on SALW. The OSCE Document on SALW provides criteria for import, export and transit procedures, documentation, and control of small arms. The "common export criteria" contained in the SALW Document, which builds on the OSCE Principles, provides a two-tier approach using the following criteria:

1. First, states must take into account specific aspects enumerated in the Document when considering an arms export authorization. These include the recipient country's international standing (i.e. respect for human rights, internal and regional security situation, record of compliance with international obligations) and whether the arms are in line with the proposed recipient's legitimate needs and capabilities.
2. Then, states must deny an arms export authorization when it "deems that there is a clear risk that the small arms" might be used to violate or suppress human rights and fundamental freedoms, to threaten or attack other states, prolong existing conflicts or endanger peace or contribute to regional instability, contravene international commitments, including UNSC sanctions or decisions taken by OSCE, support or encourage terrorism or facilitate organized crime. (OSCE Document on SALW Section III, Art A.2)

The ATT also provides a two-tier approach to applying export risk assessment criteria. Included in its criteria, as in the OSCE Document on SALW, are the prohibition of transfers that violate UN arms embargoes or international agreements relating to arms transfers and trafficking (ATT Art. 6 and OSCE Document on SALW Section III, Art A.2.iv), and, in many instances, a denial if the arms could be used to contribute to violations of human rights, of facilitation of terrorism or organized crime (ATT Art. 7.1.b). III - IV and OSCE Document on SALW Section III, Art A.2.b.ix-x).

Yet the structure and contents of the ATT's Articles 6 and 7 are not fully aligned with the two tiers of the common export criteria contained in the OSCE Document on SALW. Even for common provisions such as those on human rights which appear in both instruments, the mechanism for determining denials based on human rights violations vary based on the use of the words "clear" in the OSCE Document on SALW (see Section III, Art A.2) and "serious" in the ATT (see Art. 7.1.b). II) when assessing the risk of arms transfers. Another important difference is that the ATT includes in its overall risk assessment the consideration of mitigating measures to address the risk.

While diversion appears several times in the OSCE Document on SALW, it does not include a specific provision on this topic, whereas the ATT contains a specific article covering diversion (ATT Art. 11). In accordance with Article 11, the ATT requires exporting states to assess the risk of diversion of the export and to establish mitigation measures.

The OSCE Document notes only that states agree to “ensure that all shipments of small arms imported into, or exported from, their territory are subject to effective national licensing or authorization procedures” (OSCE Document on SALW Section III, Art B.2). Moreover, the ATT suggests a number of prevention measures, including examining parties involved in the export, requiring additional documentation, certificates, assurances, not authorizing the export or other appropriate measures (ATT Art. 11. 2) and requires all states involved in arms transfers (exporting, importing, transit and transshipment) to cooperate and exchange information in order to mitigate the risk of arms diversion (ATT Art. 11.3). The OSCE Document on SALW notes only that “participating States are encouraged to establish appropriate procedures that would permit the exporting State to assure itself of the secure delivery of transferred small arms” including physical checks of the shipment of small arms at the point of delivery (OSCE Document on SALW Section III, Art B.6). In addition, Annex II of the OSCE Document on SALW titled “Decision No. 5/04 on Standard Elements Of End-User Certificates And Verification Procedures for SALW Exports” notes that Participating States will the exchange of information on fraudulent EUCs and the diversion of exports.¹⁸⁹

There is limited overlap between the reporting mechanisms set under the two instruments. The OSCE Document on SALW requires states to share information, on an annual basis on the “category, sub-category and quantity of small arms that have been identified as surplus and/or seized and destroyed” and to exchange information of a general nature about “their national stockpile management and security procedures” and “techniques and procedures for the destruction of small arms” (OSCE Document on SALW Section IV, Art E). These areas are not covered in ATT initial or annual reporting (ATT Art. 13). However, FSC Decision No. 13/97 on “Further Transparency in Arms Transfers” and subsequent FSC decisions since 1997 have aligned the OSCE reports on conventional arms transfers with UNROCA category descriptions, as is done in ATT reporting. As such, OSCE participating States can use some of the information supplied in OSCE annual reports to fulfill ATT annual reporting obligations.

Activities



Establishing Transfer Controls

National control systems

The OSCE contributes to ATT implementation through its work in the broader area of arms transfers and weapons control. In this regard, the OSCE has developed a number of guidelines, model regulations, and non-binding regional instruments that may be of use to states as they seek to maintain or improve their arms transfer controls

These include the **Voluntary Guidelines for Compiling National Reports on SALW Exports From/Imports to Other Participating States During the Previous Calendar Year, OSCE Document on Small Arms and Light Weapons, Template for End-User Certificate for Small Arms and Light Weapons, Principles on the Control of Brokering in Small Arms and Light Weapons, Standard Elements of End-User Certificates and Verification Procedures for SALW Export, Handbook of Best Practices on Small Arms and Light Weapons, and Principles Governing Arms Transfers**. All of these tools and instruments were adopted before the entry into force of the ATT, but remain relevant to the implementation of the ATT.

The OSCE Conflict Prevention Centre (CPC) has also organized workshops and training events to explore measures to support implementation of the OSCE Document on Small Arms and Light Weapons, which given the complementarities between the two instruments contribute to ATT implementation. A number of OSCE field operations are also active in the area of arms control. These activities include strengthening SALW and conventional ammunition stockpile management, supporting national small arms control mechanisms, undertaking initiatives aimed at decreasing the illegal possession of weapons, and organizing training and awareness-raising campaigns.

Diversion Prevention

In the area of preventing the diversion of weapons, the OSCE focuses on safe and secure storage of SALW and ammunition.¹⁹⁰

For instance, regional and national trainings support the implementation of the OSCE Best Practice Guide on Deactivation of SALW and development of SALW deactivation standards and explore approaches and procedures in their efforts to combat diversion and illicit transfers of SALW.¹⁹¹



Cross-Cutting Issues

Gender and Gender-based Violence

The OSCE Scholarship for Peace and Security, established in 2017, offers training courses on conflict prevention and resolution through arms control, disarmament and non-proliferation, with a specific focus on OSCE-relevant arms control instruments. Each year, the programme emphasizes encouraging the participation of women to contribute to diminishing the gender gap in the field of arms control, indirectly contributing to ATT decisions and recommendations in the area of gender and GBV.¹⁹²

Regional Arms Control Verification and Implementation Assistance Centre (RACVIAC) Centre for Security Cooperation



CENTRE FOR SECURITY COOPERATION



Region: South-East Europe

Headquarters: Zagreb, Croatia



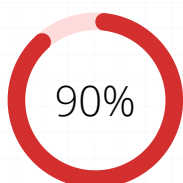
Type of Organization: Regional Integration



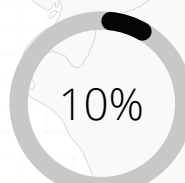
Number of Members: 10

List of members:

Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Greece, Macedonia, Montenegro, Romania, Serbia, Turkey



Proportion of RO Members that are ATT States Parties:
90% (9 out of 10)



Proportion of RO Members that are ATT Signatories:
10% (1 out of 10)

About the Organization

RACVIAC, established in January 2000 to provide arms control training and to foster dialogue and cooperation on security matters in Southeast Europe. The organization has four overarching themes: cooperative security environment (CSE), countering weapons of mass destruction, countering transnational security threats and security sector governance.¹⁹³

Most relevant to the ATT is the CSE Pillar, which is focused on: arms control treaties and agreements; implications and role of arms control policy aimed at confidence and security building; regional aspects of arms control in the region; and physical security and stockpile management.¹⁹⁴ As part of this work, RACVIAC has devoted efforts to maintaining and improving standards for the implementation of arms control agreements concluded by Member States, strengthening PSSM and improving regional approaches to arms control.



Activities



Establishing Transfer Controls

National control systems

The CSE Pillar provides assistance and information to support the countries in their preparation for possible accession to arms control agreements. Annually, RACVIAC organizes and hosts seminars, workshops, courses, conferences and meetings, including an Arms Control Symposium. For example, in 2011, RACVIAC co-organized with OSCE a three-day "Regional Workshop on Customs Procedures and Licensing Issuance: Integrating the National Processing of Dual Use Goods and Conventional Weapons through Information Sharing." This conference aimed to enhance information sharing between customs services and licensing officers at national and regional levels in order to effectively fight the trafficking of conventional weapons, including small arms and light weapons and strategic dual-use commodities. The workshops also addressed transfer controls.¹⁹⁵

While the majority of activities focus on sub-regional arms control obligations arising from the Dayton Peace Agreement, 2011 Vienna Document, Open Skies Treaty, Treaty on Conventional Forces in Europe, Ottawa Convention on Anti-personnel Mines, Oslo Convention on Cluster Munitions, and Chemical Weapons Convention, trainings also cover gender, counter-terrorism, and security challenges.¹⁹⁶ Workshops are also organized on Physical Security and Stockpile Management (PSSM) of conventional weapons and ammunition. For example, in 2022 RACVIAC organized a hybrid workshop for military and civilian experts dealing with conventional ammunition stockpile management issues in support of building effective national ammunition surveillance capacities.¹⁹⁷

South-East Europe Law Enforcement Centre (SELEC)



Region: South-East Europe

Headquarters: Bucharest, Romania



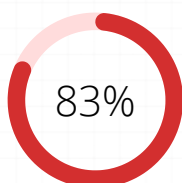
Type of Organization: Law Enforcement



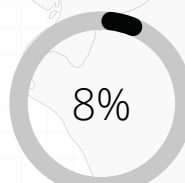
Number of Members: 12

List of members:

Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Greece, Hungary, Macedonia, Moldova, Montenegro, Romania, Serbia, Turkey



Proportion of RO Members that are ATT States Parties:
83% (10 out of 12)



Proportion of RO Members that are ATT Signatories:
8% (1 out of 12)

About the Organization

SELEC supports and enhances coordination among its Member States to prevent and combat crimes stemming from trans-border activities by providing multi-national expertise to law enforcement authorities. SELEC also serves as a platform for exchanging information and requests of assistance, promotes operational meetings, joint investigations, regional operations and action on trans-border crime, conducts strategic analysis on threat assessment, and collects, analyzes, and disseminates information.¹⁹⁸

SELEC's Anti-Terrorism Task Force,¹⁹⁹ established in 2003, has three sub-groups: (1) Trafficking in Small Arms and Light Weapons; (2) Trafficking in Weapons of Mass Destruction; and (3) Terrorist Groups. The Task Force has regular meetings where Member States and partners share good practices and challenges with a view to initiating joint investigations and deciding upon further steps to be taken at the regional level, as part of a common approach to tackling cross-border organized crime. SELEC's Anti-Terrorism Task Force investigates small arms and ammunition seized during operations undertaken by its Member States. Under the auspices of SELEC, in 2020, Bulgarian and Greek authorities conducted a joint investigation code-named "PARCEL" regarding an organized crime group dealing with the illegal trafficking of weapons.²⁰⁰

Activities



Establishing Transfer Controls

National control systems

SELEC indirectly contributes to ATT implementation of its Article 7 risk assessment through its provision of multinational trainings in the areas of terrorism, organized crime, firearms trafficking, and dual-use goods. For example, in 2015 SELEC held a workshop in Romania on Dual Use Commodities for Prosecutors and Investigators aimed at increasing the awareness of modalities to prevent and fight more efficiently the illicit trafficking of dual use goods.²⁰¹

Similarly, in the framework of the project SIRAS- Strengthening the fight against firearms trafficking in Southeastern Europe, in 2019 SELEC organized, an interdisciplinary regional workshop to explore the links between firearms trafficking and terrorism.²⁰² Further, SELEC's Anti-Terrorism Task Force regularly organizes workshops for law enforcement and other stakeholders. All of these programs provide opportunities to raise awareness and train SELEC member states at the intersection of arms control, organized crime and terrorism. In doing so, SELEC provides a foundation upon which to identify information to use in the application of the ATT risk assessment as it relates to organized crime and terrorism (ATT Art 7(1)(b)(iii) and (iv)).



Footnotes

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- ¹⁵³ Article 1.2 of the Common Position on Arms Exports refers to physical exports, including those for the purpose of licensed production of military equipment in third countries," brokering, "transit" or "transshipment", and intangible transfers of software and technology by means such as electronic media, fax or telephone.
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- ¹⁵⁵ NATO (2022) "Arms control, disarmament and non-proliferation in NATO"
- ¹⁵⁶ NATO (2022) "NATO's role in conventional arms control"
- ¹⁵⁷ NATO (2016) "Guidelines For Gender Mainstreaming In Small Arms-Related Projects"
- ¹⁵⁸ SEESAC (2022) "Who Are We: About"
- ¹⁵⁹ Ibid.
- ¹⁶⁰ Lapon A. and Bozanic D. SEESAC representatives. Interview with author. 28 June 2021
- ¹⁶¹ SEESAC (2021) "13th Meeting of SALW Commissions in South East and East Europe"
- ¹⁶² Lapon A. and Bozanic D. SEESAC representatives. Interview with author. 28 June 2021
- ¹⁶³ See for instance SEESAC (2011) "Fifth Meeting of the Regional Information Exchange Process on Arms Export Controls" and SEESAC (2015) "Meeting Materials for 13th RIEP Meeting"
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- ¹⁶⁶ SIPRI (2022) "Sharing Of Good Practices On SALW Control Between The Western Balkans And West Africa" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.
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- ¹⁷⁰ SEESAC (2015) "SEESAC Publishes a Practical Guide on Addressing Arms Diversions"
- ¹⁷¹ For more on SEESAC's work on gender and arms control, see "Gender and Small Arms." SEESAC. 2021.
- ¹⁷² SIPRI (2022) "UNDP SEESAC Gender Training Of Trainers Course For African Military Personnel" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.
- ¹⁷³ Europol (2022) "Partners & Collaboration Fostering cooperation among law enforcement and other partners around the world" European Union Agency for Law Enforcement Cooperation (Europol)- European Union (EU)
- ¹⁷⁴ Europol (2021) "Europol Analysis Projects"
- ¹⁷⁵ Europol (2021) "Europol Analysis Projects"
- ¹⁷⁶ Europol (2022) "EU Policy Cycle - EMPACT 2022+ Fighting crime together"
- ¹⁷⁷ Europol (2021) "Europol Programming Document 2022 – 2024"
- ¹⁷⁸ Europol (2021) "Crime Areas & Trends"
- ¹⁷⁹ Ibid.
- ¹⁸⁰ Europol (2021) "Consolidated Annual Activity Report 2021"
- ¹⁸¹ Europol (2022) "European Counter Terrorism Centre - ECTC A central hub of expertise working to provide an effective response to terrorism"
- ¹⁸² European Migrant Smuggling Centre (EMSC) of the European Union Agency for Law Enforcement Cooperation (Europol) (2020) "4th Annual Report 2020"



Footnotes

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- ¹⁸⁴ Europol (2022) "382 arrests during joint actions against traffickers using the Balkan route"
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- ¹⁸⁶ OSCE (1975) "Conference On Security And Co-Operation In Europe Final Act"
- ¹⁸⁷ In addition to the Vienna Document, the Treaty on Conventional Forces in Europe (CFE) and the Open Skies Treaty provide for a solid arms control architecture in the region, enhancing predictability, transparency and military stability and providing for limitations of major military equipment systems in Europe, thus contributing to the overall aim of reducing the risk of a major conflict in Europe.
- ¹⁸⁸ OSCE (2020) "Updated Best Practice Guide: Minimum Standards for National Procedures for the Deactivation of Small Arms and Light Weapons"
- ¹⁸⁹ OSCE (2012) "OSCE Document on Small Arms and Light Weapons"
- ¹⁹⁰ OSCE (2017) "OSCE's work in fighting illicit trafficking of small arms and light weapons is an important part of global anti-terrorism efforts, say speakers at Ministerial Council side event"
- ¹⁹¹ OSCE (2019) "Best practices in the deactivation of small arms and light weapons focus of OSCE workshop in Minsk"
- ¹⁹² See CSP5 Final report. III. Decisions and Recommendations on gender and gender-based violence and the ATT Gender Action Plan project developed by Control Arms.
- ¹⁹³ RACVIAC Centre for Security Cooperation (2022) "Fostering dialogue and cooperation on security matters in South-Eastern Europe" RACVIAC Centre for Security Cooperation
- ¹⁹⁴ RACVIAC Centre for Security Cooperation (2022) "Cooperative Security Environment Pillar" RACVIAC Centre for Security Cooperation
- ¹⁹⁵ RACVIAC Centre for Security Cooperation (2012) "Issue 33 Newsletter" RACVIAC Centre for Security Cooperation
- ¹⁹⁶ See 2021 and 2022 programme RACVIAC Centre for Security Cooperation (2021) "Programme 2021" RACVIAC Centre for Security Cooperation and RACVIAC Centre for Security Cooperation (2022) "Programme 2022" RACVIAC Centre for Security Cooperation
- ¹⁹⁷ RACVIAC Centre for Security Cooperation (2022) "The Regional Workshop on Ammunition Surveillance conducted on 27-29 June 2022 in Montenegro and Online"
- ¹⁹⁸ Southeast European Law Enforcement Center (2022) "About SELEC"
- ¹⁹⁹ Southeast European Law Enforcement Center (2022) "Anti-Terrorism Task Force"
- ²⁰⁰ Southeast European Law Enforcement Center (2021) "Activity Report 2020-2021"
- ²⁰¹ Southeast European Law Enforcement Center (2015) "Workshop on Dual Use Commodities for Prosecutors and Investigators"
- ²⁰² United Nations (1987) "Review and implementation of the Concluding Document of the 12th Special Session of the General Assembly" Report of the 1st Committee A/RES/42/39. General Assembly, 42nd session



ARMS TRADE TREATY REGIONAL ACTOR HANDBOOK

ASIA & OCEANIA

United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD)

Association of Southeast Asian Nations (ASEAN)

Pacific Islands Forum

Melanesian Spearhead Group (MSG)

United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD)



Region: Asia and the Pacific
Headquarters: Lalitpur, Nepal



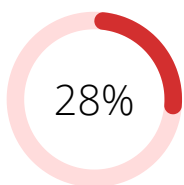
Type of organization:
UN Regional Center



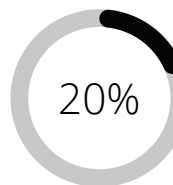
Number of Members: 43

List of members:

Afghanistan, Australia, Bangladesh, Bhutan, Brunei, Cambodia, China, Democratic People's Republic of Korea, Fiji, India, Indonesia, Japan, Kazakhstan, Kiribati, Kyrgyzstan, Lao People's Democratic Republic, Malaysia, Maldives, Marshall Islands, Federated States of Micronesia, Mongolia, Burma (Myanmar), Nauru, Nepal, New Zealand, Pakistan, Palau, Papua New Guinea, Philippines, Republic of Korea, Samoa, Singapore, Solomon Islands, Sri Lanka, Tajikistan, Thailand, Timor-Leste, Tonga, Turkmenistan, Tuvalu, Uzbekistan, Vanuatu, Vietnam



Proportion of RO Members that are ATT States Parties:
28% (12 out of 43)



Proportion of RO Members that are ATT Signatories:
20% (9 out of 43)

About the Organization

The United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) was established pursuant to UNGA Resolution Resolution 42/39²⁰³ adopted in 1987.

The Centre assists countries in the region to achieve their peace, security, and disarmament goals through (1) the provision of capacity-building and technical assistance; (2) creation and participation in dialogues; and (3) engagement in outreach and advocacy relating to disarmament. In addition to these areas of focus, UNRCPD assists states in building their capacity to adopt and implement instruments and measures related to peace and disarmament, including UN Security Council Resolution 1540, the UN Program of Action on SALW and the associated international Tracing Instrument as well as the ATT; promotes peace and disarmament education; and coordinate regional activities in Asia and the Pacific.



Photo source: Facebook | UN Regional Centre for Peace and Disarmament in Asia and the Pacific

Activities



ATT Support

UNRCPD has been working extensively to facilitate the provision of assistance to states in the region seeking to implement the ATT.²⁰⁴ Since 2013, over 20 national, sub-regional and regional trainings have been organized or co-organized by UNRCPD to promote the ATT at the regional level and assist states. Some examples include regional meetings to facilitate dialogue on the ATT in Manila and Kuala Lumpur in 2013²⁰⁵ and in Samoa in 2016,²⁰⁶ ATT workshops with national stakeholders such as the one in Indonesia in 2014²⁰⁷ and ATT Legal Assistance Workshops such as the one in Siem Reap in 2015.²⁰⁸ More recently, UNRCPD in cooperation with the Government of Kazakhstan and financial support from the ATT VTF, organized a workshop on "ATT Universalization and Implementation for Central Asia and Mongolia". The workshop provided a forum for discussion on the benefits of joining the ATT, effects on other commitments of the States and transfer control, and worked to build the institutional capacity of the participating States for the future implementation of the Treaty.²⁰⁹ Similarly, in collaboration with civil society, specifically the Women for Peace and Democracy in Nepal (WPDN), UNRCPD organized in 2021 a national workshop to promote the ATT and support Nepal's accession to the Treaty.²¹⁰

More recently, UNRCPD has focused its work on arms control instruments more broadly, including exploring synergies among relevant instruments, in particular between the UN Programme of Action on SALW and the ATT. For instance, through the project "Target Insight: Promoting ATT ratification and PoA implementation in the Asia-Pacific through building capacity and best practices", UNRCPD has held a capacity-building workshop on the implementation of the UNPoA and the ATT in Bangladesh in 2015, a regional capacity building workshop on the Implementation of the ATT in Bangkok, Thailand in 2017²¹¹ and "Technical and Legal Assistance Projects" in Maldives in 2015²¹² and the Philippines in 2017.²¹³



Establishing Transfer Controls

National control systems

UNRCPD promotes the universalization and implementation of multilateral disarmament, non-proliferation and arms control instruments, providing programmes and activities. As part of this work, UNRCPD provides assistance to states to develop robust national control systems, including development and adoption of national control lists, strengthening recordkeeping and reporting capacities, developing transit and transshipment controls. For instance, in 2016, UNRCPD organized a workshop to assist relevant government ministries and agencies in enhancing national controls of SALW and implement the provisions of arms control instruments, including the ATT. The workshop focussed also on transfer controls.²¹⁴

Similarly, as part of its project "Building Capacity of States in Southeast Asia to Prevent Diversion and Reduce Illicit Small Arms and Conventional Ammunition", UNRCPD organized in 2019 a training to develop "National Action Plans to Improve Implementation of the International Small Arms Control Standards," which was held in Bangkok. The training also addressed transfer controls and transit and transshipment.²¹⁵

Legislative Assistance

UNRCPD provides technical and legal assistance to implement the UNPoA and the ATT at the national level, including baseline assessment, development of recommendations, and drafting of national action plans. While these relate directly to the implementation of the UN Programme of Action, the program is closely linked to the implementation of the ATT as many of the standards and recommendations complement the ATT.²¹⁶ In particular, between 2019 and 2020, at the request of Timor-Leste, UNRCPD also provided the government with technical and legal assistance to support its possible future accession to the ATT.²¹⁷

Diversion Prevention

UNRCPD provides assistance with strengthening government efforts to address arms diversion and illicit trafficking. Some examples include a regional seminar in Phnom Penh in 2017 for Member States of ASEAN, focussed on the trafficking and diversion of SALW²¹⁸ and workshops on "Gun Violence and Illicit Small-Arms Trafficking from a Gender Perspective" held in Fiji and Nepal (see below). Similarly, as part of the "Building Capacity of States in Southeast Asia to Prevent Diversion and Reduce Illicit Small Arms and Conventional Ammunition" Project, in 2019 UNRCPD organized a training to develop "National Action Plans to Improve Implementation of the International Small Arms Control Standards".²¹⁹ In collaboration with ASEAN, UNRCPD also organizes regional seminars for ASEAN Member States focused on strengthening subregional cooperation and coordination in preventing arms diversion and trafficking²²⁰ and undertakes efforts that require close cooperation with international law-enforcement agencies including INTERPOL.²²¹

Gender and Gender-based Violence

UNRCPD has also implemented projects focused on gender mainstreaming in small arms control. As part of the project "Gun Violence and Illicit Small-Arms Trafficking from a Gender Perspective" which aims to prevent the proliferation and misuse of SALW and to promote gender perspectives in arms control, UNRCPD organized workshops in Thailand and Nepal in 2018²²² and in Fiji and Nepal in 2019 and 2020.²²³ Similarly, through a project titled "Supporting gender-mainstreamed policies, programmes and actions in the fight against small-arms trafficking and misuse, in line with the Women, Peace and Security agenda" UNRCPD in partnership with UNODA and European Union, provided gender and small arms controls training in Bangladesh in 2022.²²⁴ Along with work on transfer control and border security, these workshops seek to highlight the importance and improve understanding of gender-responsive small arms control, including the implementation of the ATT provisions on GBV.²²⁵

Association of Southeast Asian Nations (ASEAN)



ASSOCIATION
OF SOUTHEAST
ASIAN NATIONS

A COMMUNITY OF
OPPORTUNITIES FOR ALL



Region: Southeast Asia

Headquarters: Jakarta, Indonesia



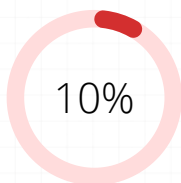
Type of organization: Regional
Integration



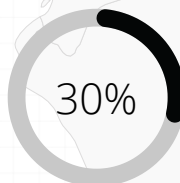
Number of Members: 10

List of members:

Indonesia, Thailand, Malaysia, Singapore,
Philippines, Vietnam, Myanmar (Burma),
Cambodia, Brunei, Laos



**Proportion of RO Members
that are ATT States Parties:**
10% (1 out of 10)



**Proportion of RO Members
that are ATT Signatories:**
30% (3 out of 10)

About the Organization

As set out in the **ASEAN Declaration**, the organization's objectives include promoting regional peace and stability. ASEAN first acknowledged the need to address the threat of arms trafficking at the ASEAN Foreign Ministers' Meeting in 1997. In the same year, ASEAN Member States signed the Declaration on Transnational Crime²²⁶ at the inaugural ASEAN Ministerial Meeting on Transnational Crime (AMMTC). The AMMTC aims to tackle eight areas of transnational crime, including terrorism and arms smuggling.

In 2017, the Working Group on Arms Smuggling was established as part of the ASEAN Preparatory Senior Officials Meeting on Transnational Crime (SOMTC) to serve as a platform to exchange information among member states in an effort to stop arms smuggling in the region. The scope of the Working Group is to: (a) facilitate information sharing on arms smuggling related issues such as trends, best practices, and new techniques and tools; (b) establish regular points of contact for arms smuggling cooperation; (c) develop capability building and training initiatives; (d) identify critical areas for collaboration within the ASEAN Member States and with Dialogue Partners on arms smuggling; and (e) explore possible collaboration with strategic private sector partners; and (f) foster cooperation to stop the cross-border flow illicit firearms.²²⁷

Photo source: www.asean.org



The issue of arms smuggling is also touched upon in the ASEAN Regional Forum (ARF) as part of the cooperation on Counter-Terrorism and Transnational Crime (CTTC) and Non-Proliferation and Disarmament (NPD). In 2002, ASEAN adopted the Work Programme to Implement the ASEAN Plan of Action to Combat Transnational Crime, in which Member States identified priorities to make progress in combating arms trafficking. The **ASEAN Convention on Counter-Terrorism (ACCT)** adopted in 2007 commits Member States to enhancing cross-border cooperation and information sharing. Member States reaffirmed their commitment to work towards the elimination of the smuggling of SALW in the **Kuala Lumpur Declaration on Combating Transnational Crime** adopted in 2015.

Regional Instruments



ASEAN Political-Security Community Blueprint

Adopted in 2009, the ASEAN Political-Security Blueprint (“Blueprint”) seeks to provide a framework to promote peace, stability and prosperity in the region through shared responsibility for comprehensive security.²²⁸ Under this second principle of comprehensive security, the Blueprint identifies six priority areas of work, some of which include action points related to arms control. The Blueprint encourages reporting under the UN Register of Conventional Arms and supports the implementation of the UNPoA and ITI, both of which can provide a foundation for discussion regarding the Treaty’s provisions on diversion and transparency and facilitate stronger understanding of synergies between the ATT and the UN PoA among ASEAN member states.

Further, the **ASEAN Political-Security Community Blueprint 2025** reiterates its commitment to work towards the elimination of the smuggling of SALW and combat transnational organized crime through regional initiatives and full implementation of international instruments, particularly the UN Program of Action on SALW and the International Tracing Instrument.²²⁹

Activities



ATT Support

As conventional arms controls appear only tangentially in the Blueprint and membership in the ATT remains low in the sub-region, ASEAN has had very limited engagement with the Treaty. However, as part of the United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR)-funded project "Connecting the dots: Supporting SDG 16, ATT and UNPoA Implementation Through Increased Parliamentary Engagement And Action In International Processes", in 2018 the ASEAN Inter-Parliamentary Assembly²³⁰ held a regional seminar in Indonesia, in cooperation with the Parliamentary Forum on Small Arms and Light Weapons (PFSALW). The goal was to increase parliamentary understanding, participation and ownership in the implementation of the 2030 Agenda, Sustainable Development Goal (SDG) 16.4, UNPoA, and ATT.²³¹ Building on this initial work, in 2022 the ASEAN Inter-Parliamentary Assembly (AIPA), in collaboration with PFSALW organized a three-day regional seminar on "Parliamentary Action for Prevention of Small Arms and Light Weapons (SALW)-related Violence" in Indonesia which included information and discussions on the Ninth Conference of States Parties to the ATT in 2023.²³²



Establishing Transfer Controls

Diversion Prevention

As diversion of arms remains a key challenge for the region, the **ASEAN Plan of Action in Combating Transnational Crime** was adopted in 2017 to promote cooperation in this area between 2016 and 2025.

The **2022 Work Programme to Implement the ASEAN Plan of Action to Combat Transnational Crime** proposes several relevant areas of work including exchange of information and capacity building activities for law enforcement officials, promotion of cooperation with external partners, harmonization of marking systems for ammunition, arms, their parts and their components in line with the international system developed under the Firearms Protocol, development of comprehensive domestic legislation against illicit arms trafficking, compiling and keeping the data on arms destroyed, missing and lost from government stockpiles and encourage the implementation of the UNPoA. These initiatives have the potential to contribute to the implementation of Article 11 of the ATT which requires states to take measures to prevent diversion (ATT Art. 11.1) and to cooperate and exchange information to mitigate the risk of diversion of the transfer of conventional arms (ATT Art 11. 3).

In this regard, in 2021, the ASEAN Inter-Parliamentary Assembly in cooperation with PFSALW organized a webinar to promote the implementation of the UN PoA and the 2030 Agenda in relation to the UNSC Resolutions on Women, Peace and Security (WPS). The objective was to enhance implementation of the instruments by parliamentary action through capacity-building, policy-shaping and awareness-raising. The issue of diversion was also addressed.²³³

Pacific Islands Forum



PACIFIC ISLANDS
FORUM SECRETARIAT



Region: Pacific



Headquarters: Suva, Fiji

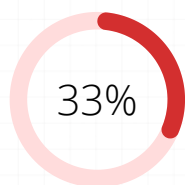


Type of organization: Regional
Integration

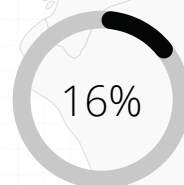
Number of Members: 18

List of members:

Australia, Cook Islands, Federated States of
Micronesia, Fiji, French Polynesia, Kiribati, Nauru,
New Caledonia, New Zealand, Niue, Palau, Papua
New Guinea, Republic of Marshall Islands,
Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu



**Proportion of RO Members
that are ATT States Parties:**
33% (6 out of 18)



**Proportion of RO Members
that are ATT Signatories:**
16% (3 out of 18)

About the Organization

The Pacific Islands Forum, founded in 1971, is the region's principal political and economic policy organization. The Forum's vision is to create a region of peace, harmony, security, social inclusion and prosperity by fostering cooperation between governments, collaboration with international agencies, and by representing the interests of its members. The work of the Forum is guided by the Framework for Pacific Regionalism, endorsed by Forum Leaders in July 2014,²³⁴ which sets out the strategic vision, values, objectives and approaches to achieve deeper regionalism in the Pacific.

The Forum Regional Security Committee (FRSC) is the primary body addressing regional law enforcement and security issues. FRSC oversaw the development of the document "Towards a Common Approach to Weapons Control (Nadi Framework)", which was adopted in 2000.²³⁵ The Nadi Framework is "premised on two basic ideas: that the possession and use of firearms, ammunition, other related material, and prohibited weapons is a privilege that is conditional on the overriding need to ensure public safety, and that public safety will be enhanced by imposing harmonized controls on the importation, possession, and use of these commodities".²³⁶

Specific to arms transfer controls, the Nadi Framework encourages Member States to:

- establish and maintain “an effective system of export, import and transshipment of firearms, ammunitions, explosives, other related materials and prohibited weapons”;
- to notify one another when firearms, explosives, other related materials and prohibited weapons are in transit through their respective territories;
- and to harmonize the export, import, transit and transshipment requirements under their respective weapons legislations with domestic laws relating to customs requirements.

Activities



ATT Support

Prior to the Treaty’s adoption, the Pacific Island Forum played a key role in developing a regional position on an ATT and to ensure a strong and proactive voice of its Member States in the negotiations process.²³⁷ Since then, the Forum has contributed to efforts to universalize and implement the ATT, including through workshops and events on this topic. For instance, in 2014 UNRCPD in collaboration with the Pacific Islands Forum Secretariat and the ICRC organized a regional legal assistance workshop on the ATT that was held in Cambodia in support of ATT universalization.²³⁸



Establishing Transfer Controls

Legislative Assistance

In 2003 the members of the Pacific Island Forum adopted the Model Weapons Control Bill for the Pacific. The Bill, which was then amended in 2010, was designed to help Member States improve the arms control legislation. It includes among others a list of prohibited weapons which cannot be used, imported or exported except by the police or defense force as well as import and export rules. This model bill is an important foundation on which Pacific Island States can build to implement the ATT.²³⁹ In 2014, the Forum also endorsed an ATT Model Law, which was designed for the specific needs and capacities of Pacific Island countries to help them accede to the ATT.²⁴⁰

Melanesian Spearhead Group (MSG)



Region: Melanesia

Headquarters: Port Vila, Vanuatu



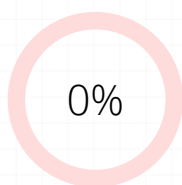
Type of organization: Regional Integration



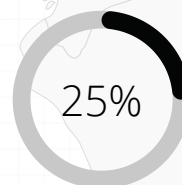
Number of Members: 4, plus 1 associate and 2 observers

List of members:

Fiji, Papua New Guinea, Solomon Islands, Vanuatu



Proportion of RO Members that are ATT States Parties:
None



Proportion of RO Members that are ATT Signatories:
25% (1 out of 4)²⁴¹

Photo source: [www.facebook.com/MSG Secretariat](https://www.facebook.com/MSGSecretariat)



About the Organization

The MSG was founded in 1983 to promote economic growth among member countries through trade and economic cooperation, cultural exchanges, and policy convergence. The MSG Political and Security Affairs (PSA) Programme is responsible for monitoring political and security developments in the region and providing appropriate advice on relevant issues to ensure a stable and peaceful Melanesia. Its strategic priorities are centered on democratic processes supporting elections; peace and security issues; and humanitarian and emergency response coordination. In 2015 the MSG agreed to establish a Regional Police Academy and Formed Police Unit to provide a platform for capacity building, technical training, and police cooperation among Member States.²⁴²

Activities



ATT Support

Arms control is a key area of work for the MSG Secretariat, including advancing the universalization and implementation of the ATT among its Member States. Since the Treaty's adoption, MSG has hosted regular meetings on ATT. In 2012, the MSG Secretariat in cooperation with the Government of Luxembourg organized a workshop on the ATT to support states' engagement in the two conferences for the adoption of the ATT.²⁴³ The results of this workshop were presented in April 2014 to the MSG's 11th Sub-Committee on Security meeting, which supported the elaboration of a common position on the ATT.²⁴⁴ In 2015, in partnership with the Pacific Small Arms Action Group (PSAAG), the MSG held a workshop on the PoA and ATT, focusing on reporting mechanisms, ratification, and implementation of the instruments.²⁴⁵ In 2017, in cooperation with PSAAG and the Stimson Center, the MSG conducted national workshops on UNPoA and ATT and a region-wide workshop in Vanuatu.²⁴⁶ The workshops focused on regional coordination and on identifying key elements for a formalized regional network structure.²⁴⁷



Footnotes

²⁰³ United Nations (1987) "Review and implementation of the Concluding Document of the 12th Special Session of the General Assembly" Report of the 1st Committee A/RES/42/39. General Assembly, 42nd session

²⁰⁴ UNRCPD (2022) "Arms Trade Treaty" United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) Organization

²⁰⁵ Kryvonos, Y, UNRCPD official, Interview with authors, 18 June 2021. See also SIPRI (2022) "UNRCPD Asia-Pacific Regional Meeting To Facilitate Dialogue On The Arms Trade Treaty" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project and SIPRI (2022) "UNRCPD Second Asia Regional Meeting To Facilitate Dialogue On The Arms Trade Treaty" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

²⁰⁶ Kryvonos, Y, UNRCPD official, Interview with authors, 18 June 2021. See also: SIPRI (2022) "UNRCPD Pacific Capacity-Building Workshop For The Implementation Of The Arms Trade Treaty" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

²⁰⁷ Kryvonos, Y, UNRCPD official, Interview with authors, 18 June 2021. See also: United Nations Secretary General (2018) "United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific Report of the Secretary-General" Seventy-third session of the United Nations General Assembly (9 July 2018)

²⁰⁸ SIPRI (2014) "UNRCPD Asia-Pacific Regional Legal Assistance Workshop On The Arms Trade Treaty" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

²⁰⁹ SIPRI (2022) "UNRCPD Arms Trade Treaty Universalization And Implementation Workshop For Central Asia And Mongolia" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

²¹⁰ UNRCPD (2019) "Arms Trade Treaty" United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) Organization

²¹¹ SIPRI (2016) "UNRCPD South-East Asia Workshop On Building Capacity For The Implementation Of The Arms Trade Treaty" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

²¹² UNRCPD (2015) "Technical and Legal Assistance Project to Support the Maldives in the Implementation of UN PoA and ATT – Phase III"

²¹³ SIPRI (2017) "UNRCPD Technical And Legal Assistance Project To Support The Philippines In The Implementation Of The UN POA And ATT" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.

²¹⁴ SIPRI (2016) "UNRCPD Workshop In Myanmar On Building National Capacity In Small Arms And Light Weapons Control" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.



Footnotes

- ²¹⁵ SIPRI (2019) "UNRCPCD Southeast Asia Training Workshop To Develop National Action Plans To Reduce Illegal Arms Flows" Arms Trade Treaty-Mapping ATT-relevant Cooperation and Assistance Activities Project.
- ²¹⁶ Kryvonos, Y, UNRCPCD official, Interview with authors, 18 June 2021.
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- ²²³ See for example: "UNRCPCD Workshop For Pacific Island States On Gun Violence And Illicit Small-Arms Trafficking From A Gender Perspective" and "UNRCPCD Regional Asia-Pacific Seminar On Gun Violence And Illicit Small Arms Trafficking From A Gender Perspective"
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Footnotes

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ARMS TRADE TREATY REGIONAL ACTOR HANDBOOK

MIDDLE EAST

League of Arab States (LAS)

League of Arab States (LAS)



Region: Middle East

Headquarters: Cairo, Egypt



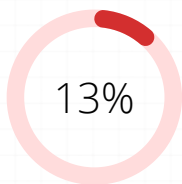
Type of Organization: Regional Integration



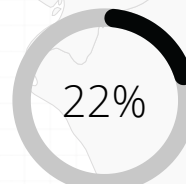
Number of Members: 22 (including Syria, which is currently suspended)

List of members:

Algeria, Bahrain, Comoros, Djibouti, Egypt, Iraq, Jordan, Kuwait, **Lebanon**, Libya, **Mauritania**, Morocco, Oman, **Palestine**, Qatar, Saudi Arabia, Somalia, Sudan, Tunisia, United Arab Emirates, Yemen



Proportion of RO Members that are ATT States Parties: 13% (3 out of 22)



Proportion of RO Members that are ATT Signatories: 22% (5 out of 22)

About the Organization

The Arab League is an intergovernmental pan-Arab organization of all Arab states in the Middle East and North Africa, established in Cairo on March 22, 1945, following the adoption of the Alexandria Protocol in 1944.

Regional Instruments



The Arab Convention on Terrorism

Adopted in 1999, the Convention addresses information-sharing concerns on transfers of small arms as they relate to terrorist activities. In particular the Convention puts forward a set of "Preventive Measures" that States shall endeavour take, including "to develop and strengthen systems for the detection of the movement, importation, exportation, stockpiling and use of weapons, munitions and explosives and of other means of aggressions, murder and destruction as well as procedures for monitoring their passage through customs and across orders in order to prevent their transfer from or Contracting State to another third-party other than lawful purposes" (Arab Convention on Terrorism Article 3.3). Similarly, according to Article 4.4.b on "Exchanging Information", "each Contracting State shall undertake to furnish any other Contracting State with any information or data in its possession that may [...] lead to seizure of any weapons, munitions or explosives or any devices or funds used or intended for use to commit a terrorist offense".



Arab Model Law on Weapons, Ammunition, Explosives, and Hazardous Materials

Adopted in 2002, the Arab Model Law on Weapons, Ammunition, Explosives, and Hazardous Materials aims to assist its members in preparing new legislation or upgrading and filling gaps in existing laws, in line with their commitments under the UNPoA.²⁴⁸

The model law prohibits the manufacture, import, selling, possession, circulation, acquisition or repair of military weapons and their ammunition by non-government actors. Moreover, in accordance with Article 4 it is forbidden to “import, export, transport, repair or trade weapons and their ammunition without a license”.

Building on the adoption of the Model Law and with support from OSCE, LAS translated the OSCE Handbook on best practices on SALW into Arabic and in 2004 established the LAS Regional Focal Point (RFP)²⁴⁹ and assisted member states to establish and build the capacity of national focal points.²⁵⁰



Resolution on Arab coordination for combating the illicit trade in small arms and light weapons

In 2006, the LAS also adopted a Ministerial Council Resolution on Arab Coordination for Combating the Illicit Trade in SALW²⁵¹ which calls for the LAS Regional Focal Point to organize annual meetings of the national focal points. The resolution also invites national focal points to submit their report to the RFP on their achievements over the past five years and on their laws, regulations, and legislations on small arms and to coordinate their positions before international meetings.²⁵²

Activities



ATT Support

As support for the ATT remains low in this region, the direct involvement of the Arab League in the implementation and universalization of the Treaty is likewise limited. However, in 2013, the LAS organized, in Cairo, a preparation meeting ahead of the final UN Conference negotiating the Arms Trade Treaty, with a view to coordinating Arab positions on disarmament issues.²⁵³ Also in 2013 in Cairo, as part of an agreement between the League of Arab States and the German Federal Foreign Office to build capacity of LAS staff, a workshops on SALW control and Confidence and Security Building Measures (CSBMs) addressed several topics including developments in SALW control at the international level within the framework of the ATT.²⁵⁴



Establishing Transfer Controls

National control systems

As demonstrated by the adoption of the Model Law, the Arab League has been much more focused on supporting Member States in implementing the UNPoA, rather than the ATT. In this regard, in 2016, as part of

the project "Promoting international instruments of arms control in the Middle East and North Africa", the League of Arab States in cooperation with the Permanent Peace Movement organized the symposium "Combating Illicit trade in Small Arms and Light Weapons in the Arab Region: Developments, Challenges and Best Practices", held in Cairo, Egypt.²⁵⁵

Since 2019, with support from the EU, LAS provided assistance to LAS Member States in building their national capacities to combat the illicit trade in, and proliferation of, small arms and light weapons.²⁵⁶ The project seeks to support LAS Member States with the national implementation of the UNPoA and the International Tracing Instrument, the development of export/import/transit/licensing controls and the prevention of diversion of small arms to unauthorized recipients, as well as identification and disruption of sources of illicit small arms (capacity building for law enforcement agencies).²⁵⁷

The project, which to date has been implemented with support from Small Arms Survey, Interpol and the World Customs Organization, has also facilitated three needs-assessment missions in the United Arab Emirates (UAE), Jordan, and Morocco in 2019, a subregional workshop to exchange information and best practices on illicit small arms, held in the UAE, in 2020, and training courses provided to nine LAS States.²⁵⁸ The EU approved the continuation of this project until 2024²⁵⁹ to allow LAS to build on these initial efforts, including to expand the capacity building assistance to LAS states which did not yet benefit from training courses during phase one of the project.²⁶⁰



Footnotes

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²⁵⁸ Small Arms Survey (2022) "European Union (EU) – League Of Arab States (LAS) Project"

²⁵⁹ Council decision (CFSP) 2021/1726 of 28 September 2021 in support of combating the illicit trade in and proliferation of small arms and light weapons in the Member States of the League of Arab States – Phase II

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Key Findings and Recommendations

”

18 of the 27 Regional Organizations have conducted activities specifically focused on supporting the ATT

Regional organizations have played a key role in strengthening international and regional peace and security through their contribution to the development and adoption of international arms control instruments, including the UNPoA and the ATT. For example, several Regional Organizations, including ECOWAS, the Regional Centre on Small Arms (RECSA) and CARICOM worked to coordinate the participation of their member states in the ATT negotiation process, ensuring the regions' interests and priorities were reflected in the Treaty. Since the Treaty's entry into force in December 2014, many other Regional Organizations joined in efforts to universalize and implement the ATT.

The project reinforced the premise that Regional Organizations are well-placed to strengthen the implementation of the ATT both directly through the provision of ATT assistance as well as indirectly through their ongoing work on related regional and international instruments.

Of the 60 Regional Organizations reviewed, nearly half (27 organizations) were found to carry out work that was either directly or indirectly in support of the Treaty's implementation.

Direct Support: 18 of the 27 Regional Organizations²⁶¹ have conducted activities specifically focused on supporting the ATT, such as awareness-raising and universalization events, as well as legislative assistance and capacity building initiatives in support of ATT implementation (see Annex 1).

Indirect Support: Of the 27 Regional Organizations, 15 are responsible for the implementation of regional instruments that cover small arms or conventional arms control. In addition to these regional instruments, the UN Programme of Action on Small Arms and Light Weapons (UNPoA) features most prominently in the work of Regional Organizations on conventional weapons. Together, these regional and international instruments provide Regional Organizations with a broad framework to address the growing threats posed by the illicit proliferation of and poorly regulated trade in arms and ammunition. Because the UNPoA and these regional instruments share many complementarities with the ATT, work undertaken in support of their implementation also supports ATT universalization and implementation efforts.

²⁶¹ Four are located in the Americas, seven in Africa, five in Asia Pacific and one in Europe and one in the MENA region.

Activities considered to indirectly support the Treaty's implementation include: development and drafting of arms transfers regulations and guidelines; capacity building and trainings on a range of areas such as establishing national control systems, transit and transshipment controls or preventing diversion; development of mechanisms for record-keeping and reporting; and facilitation of information exchange on transfer control policies, practices, and procedures.

Cross-Sectoral Support: It is important to note that the work of Regional Organizations also underscores and reinforces the links between the ATT and peace and security, terrorism, transnational crime, customs matters, transportation, and SALW trafficking. This is particularly clear when looking at regional law enforcement (e.g. Ameripol, Europol, SARPCCO) or customs organizations (e.g. OCO) for which illicit trafficking of arms and ammunition is part of broader efforts to prevent transnational organized crime and/or terrorism.

In these cases, there is an opportunity to channel efforts on regional counter-terrorism policies, programmes and activities towards strengthening the implementation of ATT Article 7(1)(b)(iii) relating to terrorism. Similarly, specific activities and programs on prevention of transnational organized crime that include arms transfer control measures can contribute to the application of the transnational organized crime provision contained in ATT Article 7(1)(b)(iv). The profiles of many of these Regional Organizations can be found in Annex 3 of this Handbook.

Despite significant efforts undertaken by regional and sub-Regional Organizations, the rates of ATT universalization remain low in certain regions. For example, regions supported by the United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) and RECSA, both of which played an active role in supporting the ATT, have limited ATT membership: only 25% UN member states supported by UNRCPD are party to the ATT and only 13% of RECSA's members have joined the Treaty. Similarly, Regional Organizations that enjoy high rates of ATT universalization among their Member States (over 70%), such as the Central American Integration Program (SICA), the Organization of American States (OAS), and the Organization for Security and Cooperation in Europe (OSCE), tend not to prioritize the ATT in their workplans.

With no direct correlation between specific regional activities relating to ATT universalization and/or implementation and ATT membership rates, to achieve Treaty universality, a longer term approach is required; one that is tailored to both regional and national needs and benefits from the concerted involvement of stakeholders on all levels. Even without direct correlation, the foundational work done by Regional Organizations as outlined in this Handbook remains a critical element to create potential opportunities and foster cooperation and information exchange that, when layered with broader stakeholder support, can move ATT universalization another step forward.

Opportunities for further engagement



In analyzing the work of Regional Organizations, there are several areas where their support of the ATT or related regional instruments provides lessons learned for ATT stakeholders and opportunities for further engagement:



Legislative Assistance

Regional Organizations have developed a range of documents - Codes of Conduct on Arms Transfers, Model Arms Control Bills and Model Laws - aimed to assist states to implement the ATT and related regional and international arms control instruments such as. For example, CARICOM IMPACS and the Pacific Islands Forum have utilized ATT Model Laws in their ATT implementation assistance initiatives. These model codes and laws serve to strengthen the ability of Member States to ratify and implement the ATT by providing an initial foundation onto which states can incorporate aspects of the ATT not already covered.



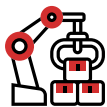
Regional Working Groups

Some Regional Organizations have established or are actively participating in working groups focused specifically on arms control (e.g MERCOSUR's Working Group on Firearms and Ammunition, ASEAN Working Group On Arms Smuggling). These working groups play a key role in facilitating information-sharing and cooperation on arms transfer controls. Such working groups can also directly support the ATT through decisions and recommendations that further ATT universalization and implementation, or indirectly as a platform for sharing good practices on areas of relevance to ATT implementation, such as diversion prevention, strengthening transit and transshipment controls and improving brokering regulations.



Gender and Gender-based Violence

11 Regional Organizations have made progress in prioritizing gender in their work and can offer good practice and guidance to ATT States Parties seeking to strengthen their implementation of the ATT GBV criteria as contained in Article 7 as well as of the Recommendations on Gender and GBV adopted by the Fifth Conference of States Parties to the ATT.²⁶² For example, RECSA, SADC and SEESAC have adopted gender mainstreaming policies or are actively encouraging equal participation at all stages and levels of policy, programme and project work, while OAS and CARICOM have developed best practices on preventing GBV. UNLIREC, RECSA, and SEESAC are making efforts to ensure that gender-based violence is addressed in national arms control laws and also, that national legislation and regulations focused on gender and GBV, such as National Action Plans on the implementation of the Women Peace and Security Agenda, include references to arms control. Some Regional Organizations, including UNLIREC, UNRCPD, CARICOM and RECSA have initiated gender-responsive small arms control programs, while SEESAC, OSCE and UNRCPD have provided gender training to relevant stakeholders. Lastly, SEESAC and SADC are also encouraging and supporting the collection and dissemination of gender-disaggregated data on crimes committed with firearms.



PSSM

11 Regional Organizations have delivered hands-on assistance projects relating to stockpile management, have guidelines on stockpile management, and/or have organized training and workshops on stockpile management. Some of these initiatives fit into the broader framework of diversion and illicit trafficking prevention of SALW or as part of efforts to implement the UNPoA. As such, they can contribute to the implementation of Article 11 of the ATT on diversion by operationalizing this commitment and providing guidance to others on how to prevent illicit trafficking through diversion prevention.

²⁶² See [CSP5 Final report. III. Decisions and Recommendations](#) on gender and gender-based violence and the ATT Gender Action Plan project developed by Control Arms.

Recommendations



Recommendations for Regional Organizations

Several areas in which Regional Organizations could strengthen their engagement with the ATT are also identified:

Synergies

Wherever possible, Regional Organizations should foster a stronger understanding of synergies and complementarities between the ATT and other international and regional arms control instruments when planning activities, workshops, awareness-raising and information sharing events focused on arms control and/or disarmament issues. With deeper knowledge of ATT provisions and their potential regional impact, Regional Organizations will be in a position to articulate the specific benefits of the ATT to the region. With this kind of valuable information coming from trusted sources, Regional Organizations can help to overcome general skepticism as well as common barriers to accession such as political obstacles, capacity concerns and reporting challenges and fatigue.

In the context of broader discussions on the harmonization of arms control policies and measures at the sub-regional level, regional

organizations should also encourage discussions and exchanges on the ATT and how the Treaty contributes to national and regional arms control policies and measures.

Reporting

Another area of work where Regional Organizations could focus their attention going forward is national reporting. Outside of the UN Regional Centers, only CARICOM IMPACS, ECOWAS, ECA and SEESAC have provided capacity-building and/or assistance to support states with reporting obligations. This could be attributed to the fact that only three of the 19 regional instruments analyzed (CITAAC, Kinshasa Convention and the EU Common Position) include reporting requirements on annual arms exports.²⁶³ Similarly, only one instrument - the EU Common Position - requires Member States to submit an annual report on progress made towards its implementation. However, four other instruments²⁶⁴ require their respective Regional Organizations to prepare such annual reports on implementation progress. Support from Regional Organizations in from Regional Organizations in completing, or better yet, streamlining procedures for reporting to

²⁶³ The ECOWAS Convention provides for an annual report on arms transfers but it requires the ECOWAS Executive Secretary to compile it based on data of exemptions granted to arms import requests.

²⁶⁴ AU PSSM Strategy, the Kinshasa Convention, the EU Strategy Against Illicit Firearms, Small Arms & Light Weapons & Their Ammunition and the ASEAN Political-Security Community Blueprint



Only three of the 19 regional instruments analyzed (CITAAC, Kinshasa Convention and the EU Common Position) include reporting requirements on annual arms exports.

regional or international instruments is an opportunity to increase national capacity to submit regular reports to regional and international instruments, including the ATT.

By operationalising the synergies between the reporting obligations under the ATT, the UN Programme of Action, UN Register of Conventional Arms, and where applicable, of regional instruments, Regional Organizations could assist their Member States to develop comprehensive approaches to data collection and reporting. Such an approach could address reporting fatigue and other challenges experienced in this area. It could also help states better understand the synergies between these instruments and support them in ensuring that the implementation of these instruments is conducted in tandem.

Cross-regional support

Regional organizations that have developed ATT resources and programs but whose Member States remain skeptical of the potential Treaty impact and/or have not acceded to the Treaty (e.g UNRCPPD, RECSA, SADC) can also promote the ATT and support its implementation by providing guidance and support to organizations based in other

regions with low ATT membership. A vast majority of Regional Organizations already conduct work in partnership with other Regional Organizations. These partnerships either formally established (Memorandums of Understanding, cooperation agreements, declarations of partnerships) or informal arrangements (participation in relevant meetings and other activities, contribution to the development of specific policy documents, regular contacts between heads of executive bodies, consultations between experts) and can provide a foundation for further cross-regional engagement on the ATT.

However, while cooperation between Regional Organizations is widespread in terms of 'activities', it has been limited in terms of provision and exchange of substantive information. There are opportunities to share knowledge and resources, specifically with regard to regional roadmaps and model legislation, that can be adapted and employed by Regional Organizations with similar priorities and goals. The Caribbean Firearms Roadmap is one such case, as it was developed based on the Regional Roadmap On Combating Illicit Arms Trafficking In The Western Balkans and with support from SEESAC.²⁶⁵

To facilitate such fruitful exchanges, where possible, Regional Organizations, especially those with broad memberships such as the EU and the AU, should strive to initiate forums or or foster other opportunities for cooperation and exchange of information and good practices among fellow Regional Organizations.

²⁶⁵ UNLIREC (2020) "Caribbean Priority Actions on the Illicit Proliferation of Firearms and Ammunition across the Caribbean in a Sustainable Manner by 2030 (Caribbean Firearms Roadmap)".

Moreover, the specific type of Regional Organization impacts how it sets priorities for its work. Three main patterns have been identified in terms of how the ATT factors into the strategic plans of three different types of Regional Organizations:

- **The UN Regional Centres** - directly contribute to ATT promotion, universalization, and implementation through bespoke projects and activities.
- **Regional Integration Organizations** - support the ATT through more general work in the area of arms transfer controls, customs, policy convergence and other more specific themes, such as security-related issues, emerging threats, or counter-terrorism.
- **Law Enforcement Organizations** - indirectly contribute to the ATT through their work focused on: terrorism, transnational organized crime, illicit SALW trafficking and police cooperation.

Based on these patterns, additional opportunities to clarify how Regional Organizations that do not have a clear mandate to support the ATT can still engage in its support:

Law Enforcement

While the linkages between ATT implementation and the work of Law Enforcement Organizations might not be

immediately apparent, these organizations can play a key role in supporting the implementation of and compliance with key ATT provisions including Article 11 on diversion,²⁶⁶ as well as Article 6.1 on arms embargoes and Art. 7(1)(b)(iii–iv) relating to terrorism and transnational organised crime. Regional law enforcement organizations that work on criminalizing and prosecuting violations of mandatory United Nations arms embargoes, interdicting arms transfers headed to transnational criminal organizations and terrorist groups, or those that could fuel genocide, war crimes and crimes against humanity, are well-positioned to integrate the implementation of the ATT in their strategic plans, as these types of breaches are directly related to key ATT provisions.

Other Regional Integration Organizations

Regional organizations without a clear mandate to engage in the ATT work provide additional avenues to strengthen the implementation of associated ATT provisions. For example, a number of Regional Organizations support the implementation of UN Security Council Resolution 1540, which shares linkages with the ATT in terms of thematic and reporting obligations and provides opportunities for capacity-building assistance.²⁶⁷

²⁶⁶ ATT Article 11.4 provides possible measures that states should take to address diversion, once detected including “follow-up measures through investigation and law enforcement.” This suggests that the domestic criminal law is a key component of Treaty implementing, with the police, prosecution and other law enforcement agencies being included in this process.

²⁶⁷ See Stohl (2017) “[Synergies between the ATT and UNSCR 1540](#)”. Henry L. Stimson Center

Recommendations for ATT Stakeholders:



Given their physical proximity and often close working relationship with Member States and experience of carrying out a wide array of activities, Regional Organizations are well placed to advise on the legal, political and practical challenges towards ATT universalization and implementation. All ATT officeholders, States Parties, international organizations and civil society working on universalization and implementation should consult with Regional Organizations on ATT universalisation and implementation efforts to ensure their plans and actions are both sustainable and reflective of specific regional circumstances and challenges.



ATT States Parties seeking assistance to join and/or implement the ATT or to develop legislation, policies, procedures or systems related to arms control, should engage directly with Regional Organizations to explore available support mechanisms. While Regional Organizations often are challenged by lack of capacity and/or of sustainable funding, a number of these organizations have served as implementing partners on ATT Voluntary Trust Fund (VTF) projects or have worked with member states to secure bilateral funding in support of their assistance needs. Additionally, some Regional Organizations interviewed as part of this study indicated that their program of work, particularly as it relates to the provision of assistance, is often dictated by direct requests or inquiries they receive from member states.



Regional Organizations face a number of constraints and challenges in terms of providing assistance to Member States. Some of the Regional Organizations interviewed as part of this study highlighted the lack of sustainable funding for their projects and minimal support from donor states to bring awareness of their work to international forums such as the ATT Conference of States Parties (CSPs). Donor states should consider providing long-term support to Regional Organizations in the implementation and universalization of the ATT and related instruments. ATT States Parties, office holders and the ATT Secretariat may also consider sponsoring the participation of key Regional Organizations in future ATT Working Group Meetings and CSPs.

Annex I

Snapshot: Regional Organization Profiles

Region	Organization Name	Type of organization	ATT Support	Establishing Transfer Controls			Cross-Cutting
				National Control Systems	Legislative Assistance	Diversion Prevention	Gender & GBV
Americas	UNLIREC	UN Regional Center	✓	✓		✓	
	OAS	Regional Integration	✓	✓		✓	✓
	CARICOM	Regional Integration	✓	✓			
	MERCOSUR	Regional Integration	✓	✓			
	AMERIPOL	Law enforcement	✓	✓			
	SICA	Regional integration		✓		✓	
Africa	UNREC	UN Regional Center	✓	✓	✓	✓	✓
	African Union	Regional integration	✓	✓	✓	✓	
	ECOWAS	Regional integration	✓	✓		✓	
	CEEAC / ECCAS	Regional integration	✓	✓	✓		
	RECSA	Regional integration	✓	✓	✓	✓	✓
	EAC	Regional integration	✓			✓	
	IGAD	Regional integration	✓			✓	
	SARCOM	Regional integration				✓	
	SADC	Regional integration					✓
	SARPCCO	Law enforcement		✓	✓		

Region	Organization Name	Type of organization	ATT Support	Establishing Transfer Controls			Cross-Cutting
				National Control Systems	Legislative Assistance	Diversion Prevention	Gender & GBV
Europe	EU	Regional integration	✓	✓	✓		
	NATO	Military Alliance		✓			✓
	SEESAC	Regional integration		✓	✓		
	Europol	Law enforcement		✓		✓	
	OSCE	Regional integration		✓		✓	✓
	RACVIAC	Regional integration		✓			
	SELEC	Regional Integration		✓			
Asia, Pacific, & Oceania	UNRCPD	UN Regional Center	✓	✓	✓	✓	✓
	ASEAN	Regional Integration	✓			✓	
	Pacific Islands Forum	Regional Integration	✓		✓		
	Melanesian Spearhead Group (MSG)	Regional Integration	✓				
MENA	League of Arab States	Regional Integration	✓	✓			

Annex II

Snapshot: Related Regional Instruments

Region	Organization Name	Regional instrument relevant to ATT	Type of Instrument	Scope of items covered	Scope		Reporting Requirements	
					Ammunition	Parts and Components	On Arms transfers	on Implementation
UN Regional Centers	UNLIREC, UNRCPD and UNREC	2001 Programme of Action on Small Arms and Light Weapons; International Tracing Instrument	Political Commitment	SALW	No	No	No	Yes
Americas	OAS	Inter-American Convention on Transparency in Conventional Weapons Acquisitions (CITAAC);	Legally Binding	Convention al Arms	No	No	Yes	No
		Inter-American Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and other Related Materials (CIFTA).	Legally Binding	Firearms	Yes	Yes	No	No
	CARICOM	CARICOM Declaration on Small Arms and Light Weapons	Political Commitment	SALW	Yes	No	N/A	N/A
		The Roadmap for Implementing the Caribbean Priority Actions on the Illicit Proliferation of Firearms and Ammunition across the Caribbean in a Sustainable Manner by 2030 (Caribbean Firearms Roadmap)	Political Commitment	Firearms	Yes	No	N/A	N/A
	MERCOSUR	Southern Cone Presidential Declaration on Combating the Illicit Manufacturing and Trafficking in Firearms, Ammunition and Related Materials	Political Commitment	Firearms	Yes	Yes	No	No
	SICA	Code of Conduct on Arms Transfer	Political Commitment	Convention al Arms and SALW	Yes	Yes	N/A	N/A

Region	Organization Name	Regional instrument relevant to ATT	Type of Instrument	Scope			Reporting Requirements	
				Scope of items covered	Ammunition	Parts and Components	On Arms transfers	on Implementation
Africa	African Union	African Union Strategy on the Control of Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons	Political Commitment	SALW	No	No	No	No ²⁶⁸
		AU Master Roadmap of Practical Steps to Silence the Guns in Africa by year 2020(Lusaka Master Roadmap)	Political Commitment	SALW	No	No	N/A	N/A
		Bamako Declaration on an African Common Position on the Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons	Political Commitment	SALW	Yes	Yes	No	No
	ECOWAS	ECOWAS Convention on Small Arms and Light Weapons, their Ammunition and other Related Materials	Legally Binding	SALW	Yes	Yes	No ²⁶⁹	No
	CEEAC / ECCAS	Central African Convention for the Control of Small Arms and Light Weapons, Their Ammunition, Parts and Components that Can Be Used for Their Manufacture, Repair or Assembly	Legally Binding	SALW	Yes	Yes	Yes	No ²⁷⁰
	RECSA	Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States	Legally Binding	SALW	No ²⁷¹	No ²⁷²	No	No

FOOTNOTES

²⁶⁸ The AUC is responsible for preparing an annual report on the implementation of the Strategy

²⁶⁹ The ECOWAS Executive Secretary shall compile and publish a comprehensive annual report detailing all international arms transfers granted exemptions, and a list of refusals.

²⁷⁰ The Secretary-General of ECCAS shall prepare an annual report on (...) the implementation of this Convention.

²⁷¹ The Nairobi Protocol contains definitions of "ammunition" but does not extend the implementation of its provisions to ammunition

²⁷² The Nairobi Protocol contains a definition of "other related materials" and refers to parts and component when defining "illicit manufacturing" (see Article 1)

Region	Organization Name	Regional instrument relevant to ATT	Type of Instrument	Scope of items covered	Scope		Reporting Requirements	
					Ammunition	Parts and Components	On Arms transfers	on Implementation
Africa	EAC	EAC Protocol on Peace and Security	Legally Binding	SALW (some provisions)	No	No	No	No
	SARCOM	Khartoum Declaration on the Control of Small Arms and Light Weapons across the Neighboring Countries of Western Sudan	Political Commitment	SALW	No	No	No	No
	SADC	Protocol on the Control of Firearms, Ammunition, and other Related Materials	Legally Binding	Firearms	Yes	Yes	No	No
	SARPCCO							
EUROPE	EU	Common Position 2008/944/CFSP Defining Common Rules Governing Control Of Exports Of Military Technology And Equipment	Legally Binding	Conventional Arms and SALW	Yes ²⁷³	Yes ²⁷⁴	Yes	Yes
	OSCE	OSCE Principles Governing Conventional Arms Transfers	Political Commitment	Conventional Arms	No	No	n/a	n/a
		OSCE Document on Small Arms and Light Weapons	Political Commitment	Conventional Arms	No	No	No ²⁷⁵	No ²⁷⁶
Asia, Pacific, & Oceania	ASEAN	ASEAN Political-Security Community Blueprint	Political Commitment	SALW	No	No	No	No

FOOTNOTES

²⁷³ In accordance with the Common Military List of the European Union

²⁷⁴ In accordance with the Common Military List of the European Union

²⁷⁵ It requires annual reports on on category, sub-category and quantity of small arms that have been identified as surplus and/or seized and destroyed

²⁷⁶ It requires Participating States to exchange information of a general nature about their national stockpile management and security procedures and on their techniques and procedures for the destruction of small arms

²⁷⁷ The Secretary-General of ASEAN presents a report to the annual ASEAN Summit, through the APSC Council.

ANNEX III

Additional Regional Organizations

AFRICA

African Police Cooperation Organization (AFRIPOL)²⁷⁸ was established in 2014 through the Algiers Declaration on the Establishment of the African Mechanism for Police Cooperation which sets out the broad organization's aims, which include support to the harmonization of police methods, the strengthening of African police capabilities, and facilitation of exchange and extension of best practices and training related to the areas of prevention, investigative techniques, and expertise. In 2017, with the adoption of the [Statute of the African Mechanism for Police Coordination](#), AFRIPOL was designated as an independent mechanism for police cooperation for Member States of the AU. The main stated objective for AFRIPOL is to establish a framework for police cooperation at the strategic, operational and tactical levels between Member States police institutions.

Central African Economic and Monetary Community (CEMAC)²⁷⁹ engages in peacekeeping operations and more recently, in the promotion of border security against all types of transnational threats. As part of this role, CEMAC has developed the legal framework to address terrorism in the Central Africa region²⁸⁰ and of codes related to maritime navigation and civil aviation. Though this work, CEMAC has assisted states to strength border control and to improve transit and trans-shipment controls by sea and air, both of which are key to the effective implementation of Articles 9 (Transit and Transshipment) and 11 (Diversion) of the ATT.

Central African Police Chiefs Committee (CCPAC)²⁸¹ is the smallest of the police chiefs' organizations in Africa and is focused primarily on regional transnational crime.²⁸² It provides technical support and facilitates information sharing between Member States with the aim of strengthening the security of movement of persons, goods and capital within the sub-region. Through its efforts to strengthen Member States' cross-border security efforts to prevent transnational organized crime, including illicit trafficking of arms, CCPAC also contributes to ATT States Parties capacity to implement the ATT provisions on transit and transshipment and to prevent diversion. For example, CCPAC provides recommendations and facilitates information sharing and cooperation between law enforcement agencies as part of a concerted pan-regional effort to address the illicit accumulation and trafficking of firearms and explosive materials.²⁸³

Common Market for Eastern and Southern Africa (COMESA)²⁸⁴ was established in December 1994, as an organization of independent sovereign states which have agreed to co-operate in developing their natural and human resources for the good of all their people. COMESA covers almost two thirds of the African Continent and includes among its priorities the promotion of peace and security in the region. Adopted in 1993, the Treaty establishing the Common Market for Eastern and Southern Africa features regional peace and security among its six broad objectives (Article 3, Chapter 3). In particular, Article 50 on "Security and other Restrictions to trade", notes that "a Member State may (...) introduce or continue or execute restrictions or prohibitions affecting [...] (b) the control of arms, ammunition and other war equipment and military items."²⁸⁵

COMESA Peace and Security Programme includes three key areas:²⁸⁶

- An early warning system (COWARN) which provides information and analysis on the security situations across the COMESA region and enables targeted and informed responses to conflict;
- Post Conflict Reconstruction and Development Measures for countries emerging from conflict, using trade as a mechanism for peacebuilding; and
- The Maritime Security Project focused on strengthening member state capacity to fight against money laundering.

These efforts can serve to inform arms transfer decisions and complement efforts to reduce illicit trafficking in arms and ammunition.

In 2014, COMESA hosted the 4th Meeting of the AU-Regions Steering Committee on Small Arms and DDR, which identified areas for cooperation, and included recommendations to strengthen and expand interventions on small-arms and DDR-related issues.²⁸⁷

Community of Sahel-Saharan States (CEN-SAD)²⁸⁸ was established in 1998 in Tripoli to support the establishment of an economic union. This includes the removal of all restrictions through the adoption of necessary measures on matters such as ensuring the free movement of persons and goods. CEN-SAD is engaged in peace, and security as well as arms control. For instance, the organization has been engaged in the operationalization of the African Peace and Security Architecture in the Sahel-Saharan region through participation in the meetings of the heads of intelligence and security services of Member States. CEN-SAD also adopted a broad counter-terrorism agenda, led by the Center for Combating Terrorism. The Center was set up in Egypt at the recommendation of the 2016 CEN-SAD meeting held in Sharm El Sheikh,²⁸⁹ during which Members States agreed to enhance their information sharing and cooperation, including joint border controls to address terrorism-related threats. Reportedly, CEN-SAD is in the process of partnering with SARCOM on a Code of Conduct on SALW.²⁹⁰

East Africa Police Chiefs Cooperation Organization (EAPCCO)²⁹¹ was established in 1998, with the aim of strengthening police co-operation and development of joint strategies, facilitating information-sharing on crimes and harmonization of laws with a view to enhancing the capacity of law enforcement agencies to combat transnational organized crime. Its main objectives include the provision of training for police forces of member states, in particular on drug enforcement, economic and financial crime, violent crime, terrorism, and illicit trafficking of weapons.²⁹² EAPCCO has committed itself to assisting member states in the region to implement the Nairobi Protocol and has facilitated the adoption of sub-regional agreements related to transnational organized crimes including the [Protocol on the Prevention, Combating and Eradication of Cattle Rustling in Eastern Africa](#) adopted in 2008, the Agreement in Respect of Cooperation and Mutual Assistance in the Field of Crime Combating, and the Agreement in the Field of Combating Terrorism adopted in 2004.

G5 Sahel²⁹³ was established in 2014 to counter the security concerns specific to Sahel countries, including the proliferation of weapons. The organization is also intended to help coordinate and provide cohesion among the array of actors and actions increasingly engaged in these issues. In 2017, the Sahel's five countries set up the G5 Sahel joint force (FC-G5S) as a means of settling armed conflicts within the region. The joint force's mandate focuses on law enforcement and includes fighting terrorism, organized crime and human trafficking; restoring state authority; helping displaced persons to return home; contributing to humanitarian operations; and helping to implement development projects. The G5 Sahel works closely on security related issues with the AU, ECCAS, ECOWAS, and the EU. Particularly important is its cooperation with the EU, which according to the EU Integrated Strategy in the Sahel 2021, "places emphasis upon 'the fight against terrorist and armed groups, cross-border trafficking and organised crime' [and] support to security sector reform." ²⁹⁴

Gulf of Guinea Commission²⁹⁵ (GGC / CGG), was established in 2001, to provide an institutional framework for cooperation amongst the countries bordering the Gulf of Guinea on peace and socio-economic development. GGC is responsible for to regional instruments:

- The [Luanda Declaration on Peace and Security in the Gulf of Guinea Region](#), adopted in 2012, calls for cooperation and nonaggression in the settlement of disputes among members, efforts to address transnational crime, and the development of common policies to “prevent the proliferation and trafficking of small arms and light weapons and ensure implementation of agreements and other existing mechanisms.”
- [Code of Conduct Concerning the Repression of Piracy, Armed Robbery against Ships, and Illicit Maritime Activity in West and Central Africa](#), which focuses on transnational organized crime in the maritime domain, including money laundering, illegal arms and drug trafficking, piracy and armed robbery at sea, human smuggling, etc. The Code of Conduct “underscores the importance of enhancing international cooperation (...) [including on] illicit trafficking in firearms and criminal activities at sea falling within the scope of the United Nations Convention against Transnational Organized Crime.”²⁹⁶

International Conference on the Great Lakes Region (ICGLR),²⁹⁷ was established in 2006 to promote confidence building and joint efforts by member states to address prevailing peace and security challenges including conflicts, terrorism and transnational organized crime and the proliferation of SALW. [Dar Es-Salam Declaration](#), adopted in 2004, represents the political commitment of ICGLR member states to address the root causes of intractable conflicts and constraints to development through a regional, innovative approach. In particular, relevant to the ATT is paragraph 22 in which the signatories pledge to promote common policies to prevent the proliferation of illicit small arms and light weapons, as well as anti-personnel mines, and in that regard, harmonize and ensure the implementation of existing agreements and mechanisms (paragraph 22 of the Declaration).

[Pact on Security, Stability and Development in the Great Lakes Region of Africa](#), which comprises two sub-programs focused on joint security management of common border and inter-state cooperation on peace and security issues.²⁹⁸ The project on SALW proliferation aims to strengthen coordination with other sub-regional mechanisms, to establish synergies with other international instruments in order to reinforce the capacity of states to fight the illicit proliferation of SALW in the sub-region. Other programmes and projects ICGLR coordinates relate to disarmament of illegal armed groups and nomadic pastoralists, as well as conflict prevention and peacebuilding.

Indian Ocean Commission (IOC),²⁹⁹ created in 1984, is the only Regional Organization in Africa composed exclusively of island states. IOC promotes cooperation projects on a wide range of sectors including preservation of ecosystems, sustainable management of natural resources, maritime security, entrepreneurship, public health, renewable energies.

Relevant to this Handbook, the IOC focuses on the implementation of the Convention sur la Sécurité Régionale des Etats Membres de la Commission de L’Océan Indien, adopted in 2006. Among key regional security concerns, IOC identifies terrorism, money laundering, maritime piracy and illegal fishing, and trafficking. The Maritime Security Programme (MASE) implemented in collaboration with other Regional Organizations and funded by the EU, aims to strengthen national and regional capacities in areas that include counter-piracy; combating money laundering; and improving coordination and information exchange.³⁰⁰

Mano River Union (MRU),³⁰¹ was established in 1973 to foster economic cooperation among its members as well as to promote peace, security, and stability. The 15th Protocol to the MRU Declaration, "Cooperation on Peace, Security, Internal Affairs, and Foreign Affairs", adopted in 2000, expanded the Secretariat's mandate to conflict prevention and peace building efforts. The Protocol was then amended (Revised Protocol of 2012) to cover additional security concerns, to establish a joint Security Committee and joint border security and confidence-building units. The functions of the Committee include addressing border security issues and initiation training programmes; the Committee can also broaden the scope of its mandate to include other related issues that may arise. This provides ground for enhanced focus on arms control issues. In 2013 Member States adopted a strategy for Joint Cross-border Security for the Mano River Union, which includes activities related to capacity building support and technical assistance in areas such as community development projects, promotion and protection of human rights, the fight against violence against women and children, the rule of law and security sector reform.³⁰²

West African Police Chiefs Committee (WAPCCO),³⁰³ was formed in 1997 to facilitate cooperation between ECOWAS states in response to the prevalence of cross-border trafficking in the subregion. WAPCCO, an ECOWAS specialized institution since 2003,³⁰⁴ aims to improve cooperation between police forces of West African States; increase effectiveness in crime prevention and countering cross-border crime in the region; make recommendations to ECOWAS authorities and implement their decision on security matters. To this end, WAPCCO defines sub-regional strategies to combat crime; informs regional and sub-regional authorities on security matters; coordinates cooperation activities throughout West Africa; and identifies the emergence of new forms of crime.³⁰⁵ In 2008, WAPCCO's mandate was expanded to enable the organization to adopt measures to address regional-specific problems such as the proliferation of small arms and light weapons.³⁰⁶

As part of the outcomes of a WAPCCO sub-committee meeting on training and coordination held in 2018, ECOWAS and INTERPOL in cooperation with WAPCCO agreed to conduct training on uniform standards for gathering, reporting and sharing of crime statistics, taking gender into consideration. It was also decided that Member States will be required to submit quarterly reports on crime statistics to the Permanent Secretariat of WAPCCO.³⁰⁷

THE AMERICAS

The Police Community of the Americas (AMERIPOL)³⁰⁸ was established in 2007, to promote regional police cooperation and strengthen capacities³⁰⁹ in order to prevent and neutralize crimes and threats at the regional level.

Among others, AMERIPOL facilitates and promotes cooperation on police technical scientific cooperation, information exchange, criminal investigation and judicial assistance, and training and doctrine. AMERIPOL addresses the illicit trafficking of arms and ammunition as part of its focus on transnational organized crime. For example, in 2014, AMERIPOL published a collection of best practices on the subject of the trafficking of arms, munitions, and explosives in the region.³¹⁰ In 2015, AMERIPOL also published a collection of best practices on the subject of Gender-Based Violence.³¹¹

Union of South American Nations (UNASUR)³¹² was established in 2008 through the [UNASUR Constitutive Treaty](#). The objectives of UNASUR include “coordination [...] to strengthen the fight against corruption, the global drug problem, trafficking in persons, trafficking in small and light weapons, terrorism, transnational organised crime and other threats as well as for disarmament”. Among the objectives is also “sectoral cooperation as a mechanism to deepen South American integration, through the exchange of information, experiences and capacity building.”³¹³

In 2009, UNASUR established a platform for information exchange on military and defence policy: the South American Defense Council (CDS), which aims to establish South America as a zone of peace and to facilitating humanitarian and peace missions.³¹⁴ In 2012, UNASUR established the South American Council on Public Security, Justice, and Coordination of Actions against Transnational Organized Crime (CSSCJDOT) to act as a permanent body for consultation, coordination and cooperation among South American countries in matters related to security and justice, and carry out actions against transnational organized crime. CSSCJDOT has among its goals to strengthen the capacity of and information sharing among security- and crime-related institutions.³¹⁵

A Peace, Security and Cooperation Protocol (coordinated by Peru and as part of the Confidence- and Security-Building Measures Mandate) is currently in its negotiation phase.³¹⁶

ASIA & OCEANIA

Asia-Pacific Economic Cooperation (APEC)³¹⁷ is a regional economic forum established in 1989 to support sustainable economic growth and prosperity in the Asia Pacific region. While the APEC cooperative process is predominantly concerned with trade and economic issues, as well as economic integration and cooperation, it also champions the enhancing of human security.

Relevant to arms trade is that counter-terrorism actions were developed as part of the Secure Trade in the APEC Region (STAR) Initiative adopted in 2002.³¹⁸ The Counter-Terrorism Action Plans (CTAP)³²¹ developed by Member States to implement the STAR Initiative, also address broader arms control efforts. Each CTAP provides a concise checklist of counter-terrorism measures which can be undertaken by APEC member, including securing cargo, protecting ships engaged in international voyages and international aviation, and combating other threats to security.

ASEANAPOL³¹⁹ was established in 1981 to deal with the preventive, enforcement and operational aspects of cooperation against transnational crime. ASEANAPOL's works to ensure cross-border cooperation and coordination in the fight against transnational crime in Southeast Asia. Countering "arms smuggling" is one of 13 topics of mutual interest that ASEANAPOL addresses.³²⁰ As part of this work, in 2017, UNRCPD in collaboration with the Government of Cambodia and ASEANAPOL Secretariat held a two-day seminar on illicit trafficking and diversion of SALW, which was held in Cambodia.³²² The seminar provided participants with information on actual trends and developments with regard to SALW diversion and illicit arms trade as well as key international instruments including the ATT, alleviating concerns about ATT and positively influencing the consideration process in South East Asia.³²³ Moreover, the 1st Korea – ASEAN International Crime Capacity Building Program was held in 2021. The program aimed to strengthen knowledge of international police cooperation and mutual assistance against transnational crimes and provides an opportunity to explore new fields in the ambit of police cooperation.³²⁴

Bay of Bengal Initiative for Multi-Sectoral Technical and Economic Cooperation (BIMSTEC),³²⁵ was established in 1997 with the signing of the Bangkok Declaration.³²⁶ As a sector-driven grouping, BIMSTEC promotes cooperation on 14 areas: trade, technology, energy, transport, tourism, and fisheries, counter-terrorism, environment, culture, people-to-people contact, and climate change. Relevant instruments include:

- [BIMSTEC Convention on Cooperation in Combating International Terrorism, Transnational Organized Crime, and Illicit Drug Trafficking](#), signed in 2009.³²⁷ Member states of the Convention, which entered into force in 2021, agreed to “facilitate cooperation in preventing access to arms, explosives, and other prohibited substances by organized criminal groups”; and to “enhance cooperation between the law enforcement agencies” including through training of security and law enforcement personnel and in organizing seminars and conferences on transnational organized crime (Art 4).
- [the Convention on Mutual Legal Assistance in Criminal Matters](#). Article 1 defines the 11 BIMSTEC purposes; among those is the maintenance of peace and stability in the Bay of Bengal region through close collaboration in combating international terrorism, transnational organized crimes as well as natural disasters, climate change and communicable diseases. The Convention also contains measures on mutual cooperation for enhancing capability and effectiveness in the investigation and prosecution of crimes.

Collective Security Treaty Organization (CSTO),³²⁸ established in 1992, with the conclusion of the [Collective Security Treaty](#). In 2002, the Collective Security Council made a decision to grant the status of an international Regional Organization to the CSTO and in the same year the [CSTO Charter](#)³²⁹ was approved. The main components of CSTO activities are political cooperation, military construction, parliamentary cooperation, and the fight against modern security challenges and threats. Within the latter, relevant to the ATT is the focus on international terrorism and extremism.³³⁰ According to Article 8 of the [CSTO Charter](#), member states are required to co-ordinate and unite their efforts in the “fight against international terrorism and extremism, illicit trafficking of drugs and psychotropic substances, weapon, organized transnational crime, illegal migration and other menaces to safety of the Member States”. Since 2003, CSTO states have participated in joint operations to counter drug trafficking under the Kanal (Channel) programme. These operations have included not only the seizure of drugs but also of illicit weapons.³³¹ A sub-regional anti-drug operation “Channel-Second Barrier” was conducted in May 2022.³³²

Commonwealth of Independent States (CIS),³³³ created in 1991, as an intergovernmental forum to coordinate economic, security, and humanitarian affairs across the Eurasian region. Cooperation focuses on 9 priority areas including security. In this framework, an Anti-Terrorism Centre (CIS ATC) was established in 2000 as a permanent specialized body that coordinates the work of competent authorities of CIS Member States in the field of combating terrorism and other violent manifestations of extremism. The [Program of Cooperation of the Member States of the Commonwealth of Independent States in Combating Terrorism and Other Violent Manifestations of Extremism](#), renewed every three years, is the main document governing the work of the CIS ATC. CIS has engaged in arms control issues and countering illegal supply of arms in the context of fighting international terrorism. For instance, CIS Member States exchange information on crimes including those involving arms under the Agreement on Cooperation in the field of fight against crime adopted in 2009.³³⁴ Also, in 1997 the CIS Inter-Parliamentary Assembly adopted the Model Law on Weapons,³³⁵ recommending it as the basis for national legislation to be adopted by Member States. Furthermore, an Agreement on Cooperation of the Participating States of the Commonwealth of Independent States in the Fight against the Illicit Manufacture of and Trade in Firearms, Ammunition, Explosive Substances and Explosive Devices was signed by Member States in 2008,³³⁶ with a view to combating the illicit trade in firearms. These agreements, together with other instruments focused on SALW,³³⁷ aim to facilitate overall control over the market of illicit arms trafficking.

Conference on Interaction and Confidence-Building Measures in Asia (CICA),³³⁸ established in 2012, aims to achieve its basic objectives through implementation of confidence building measures in a cooperative and collaborative approach, seeking mutually acceptable measures for resolving problems and conflicts in the region through dialogue. Practical steps towards greater security and stability were elaborated in the [Catalogue Of CICA Confidence Building Measures](#) ("The Catalogue"), adopted in 2004.³³⁹ Through the Catalogue, amended in 2021, the Member States recognize that the confidence building measures on peaceful settlement of disputes and implementation of agreements on arms control and disarmament are complementary. Arms control comes specific to the military-political dimension (exchange of information on accession/ratification of multilateral instruments on arms control and disarmament) and to new threats and challenges (exchange of information on measures taken to combat transnational organized crime, including illicit trafficking in SALW in all its aspects).³⁴⁰

CICA has also taken a very strong stand against terrorism, including through the declaration of the First CICA Summit³⁴¹ which was devoted exclusively to terrorism. In all subsequent declarations, the Member States have reaffirmed their determination to cooperate to combat terrorism, including its possible sources. CICA Member States have also adopted draft CICA Action Plan for implementation of UN Global Counter-Terrorism Strategy, which is expected to be finalized at the Sixth CICA Meeting of Heads of State or Government to be held in October 2022.³⁴²

Eurasian Economic Union (EAEU) ³⁴³ was established by the 2014 [Treaty on the Eurasian Economic Union](#), to facilitate the free movement of goods, services, capital and labor and to pursue coordinated, harmonized and common policy in areas determined by the Treaty and international agreements within the Union.

Building on a similar document adopted by the Customs Union, which was integrated into the Eurasian Economic Union, in 2012 EEU adopted the ["Single list of goods subject to prohibitions or restrictions on import or export by the Customs Union member states within the EurAsEC when trading with third countries and Provisions on application of restriction"](#) which includes a common list of small arms, their parts, and ammunition whose export, import, or transit were banned or restricted within the organization's territory.³⁴⁴ Likewise, the Customs Union adopted in 2016 an Agreement on movement of service and civilian weapons among the Member States of the Eurasian Economic Union.³⁴⁵

Oceania Customs Organization (OCO)³⁴⁶ established in 1998, assists members to align activities where appropriate with international customs standards and best practices; coordinates activities and the sharing of resources among members; and promotes collaboration and communication both among members, and with private sector bodies and international organizations.

Relevant to ATT States parties' efforts to prevent diversion, OCO developed the Customs Regional Intelligence Network (CRIN), which aims to facilitate the sharing of information among members on seizures of unlawful restricted goods, and a Working Group on Information Sharing.³⁴⁷ In addition, OCO members "submit reports of seizures, methods of transportation, and methods of concealment to the New Zealand Customs Service, which produces and publishes the report on behalf of the OCO."³⁴⁸ The OCO Strategic Plan covering the period 2022-2027 includes five priority areas to be addressed,³⁴⁹ including law enforcement and border security (priority 2) and trade facilitation and management (priority 3). The former focuses on four main components: coordinated border management; strengthened intelligence-driven risk management capacity; the fight against transnational organized crime; and strengthened coordination between border and law enforcement agencies. The latter focuses on the modernization and harmonization of customs procedures and processes and support to the implementation of regional trade facilitation initiatives.

Pacific Islands Chiefs of Police (PICP),³⁵⁰ was established in 1970 to facilitate information exchanges and lessons learned among Pacific Police Chiefs and to establish regional agreements. Over the past 50 years, the PICP has worked continuously to build more secure communities by improving policing, in particular by facilitating the training of its members' police forces and seeking to improve information sharing and cooperation among them.³⁵¹ In 2021, the PICP renewed its commitment to address crime and safety issues in all form and support regional mechanisms and partners working to respond to transnational threats and border security issues.³⁵²

The PICP partners with the Pacific Transnational Crime Network (PTCN) established in 2002 and the Pacific Transnational Crime Coordination Centre (PTCCC). The PTCN, which has developed into a regional transnational crime capability,³⁵³ comprises member countries as well as twenty eight transnational crime units (TCUs) and a central coordination hub performed by the PTCCC. The PTCN Strategic Direction 2020-2024³⁵⁴ includes two pillars: sharing and coordination information to fight crime and improve regional security; and the strengthening of operational policing to monitor and deter current and emerging transnational crime threats. The PTCCC is mandated to manage and coordinate criminal intelligence through cooperation and collaboration with the transnational crime units (TCU) and regional stakeholders.

Shanghai Cooperation Organization (SCO),³⁵⁵ was established in 2001 with the aim of strengthening mutual trust and good neighborliness among its members by promoting effective cooperation in a variety of sectors, including peace and security. The [SCO Charter](#) includes among its tasks "combating terrorism, separatism and extremism in all their manifestations, fighting against illicit narcotics and arms trafficking and other types of transnational criminal activity". Among the 10 areas of cooperation listed in Article 3, two are related to arms control: "development and implementation of measures aimed at jointly counteracting terrorism, separatism and extremism, illicit narcotics and arms trafficking and other types of criminal activity of a transnational character"; and "coordination of efforts in the field of disarmament and arms control."

In 2008, through the [Agreement on Cooperation between the Governments of the Shanghai Cooperation Organization Member States in Combating Illicit Trafficking in Weapons, Ammunition and Explosives](#), Member States agreed to harmonize national legislation, develop joint countermeasures, exchange relevant information and expertise, undertake joint research, and collaborate in personnel training to help counter arms trafficking. In 2010, the Agreement on Cooperation between the Governments of the Shanghai Cooperation Organization Member States in the Fight against Crime was also adopted. Article 1 defines the scope of cooperation, which includes combating, detecting and solving crimes such as the "illicit production and trafficking of arms, ammunition, explosive devices, explosive, toxic and radioactive substances and nuclear materials".

Furthermore, the Dushanbe Declaration adopted in 2021 reiterates SCO's priorities in ensuring regional security and stability, which include combating illicit trafficking in weapons and strengthening border security. As stated in the Declaration, to improve the mechanisms for countering security challenges and threats, the SCO Member States are considering the establishment of the SCO Information Security Centre, and the SCO Centre Against International Organized Crime in Bishkek.

South Asian Association for Regional Cooperation (SAARC),³⁵⁶ was established with the signing of the [SAARC Charter](#) in 1985 to, inter alia, accelerate economic growth, social progress and cultural development in the region; contribute to mutual trust, understanding and appreciation of one another's problems; promote active collaboration and mutual assistance in the economic, social, cultural, technical and scientific fields; strengthen cooperation among themselves in international forums on matters of common interests; and to cooperate with international and Regional Organizations with similar aims and purposes.

SAARC adopted in 1987 the [Regional Convention on the Suppression of Terrorism](#), and in 2004, an [Additional Protocol to the Convention](#). The Additional Protocol, in the context of “Co-operation on immigration and customs controls” (Article 9) makes reference to control measures to detect and prevent the international movement of terrorists and trafficking in arms. While SAARC has faced obstacles in the field of security cooperation,³⁵⁷ at the 17th and 18th SAARC Summits held respectively in 2012 and 2014, SAARC Leaders committed to eradicate terrorism, including by taking into account its linkages with illicit trafficking including in small arms³⁵⁸ and agreed to take effective measures to combat arms smuggling.³⁵⁹

EUROPE

The **Organization of the Black Sea Economic Cooperation (BSEC)**³⁶⁰ came into existence in 1992 with the signing of the Istanbul Summit Declaration and the Bosphorus Statement by the Heads of State and Government of the countries in the region. The 1998 BSEC Charter marked the transformation into a full-fledged regional economic organization,³⁶¹ and represents BSEC Member States’ agreed to work together to combat organized crime and the illicit trafficking of drugs, weapons, and radioactive materials (Article 4).³⁶² Relevant to arms control are also:

- the [1998 Agreement on Cooperation in Combating Crime](#), which makes reference to cooperation and information exchanges in countering the “illicit trafficking in weapons”
- the 2002 [Kiev Additional Protocol to the 1998 Agreement](#) which establishes a “BSEC Network of Liaison Officers on Combating Crime” (Article 1)
- the [2004 Athens Additional Protocol on Combating Terrorism, Member States](#) through which BSEC member states committed to exchange information on the “illicit trafficking of weapons, including ammunition” (Article 5.g) and to cooperate closely to prevent, disclose, and suppress both financial support for and delivery of weapons and ammunition (Article 6.f).

In 2012 a Joint Declaration of the Ministers in Charge of Interior/Public Order of the BSEC Member States was adopted on [Strengthening Cooperation in the Field of Fight Against Transnational Crimes, in Particular Smuggling, Trafficking of Light Weapons, Economic, Financial Crimes and Terrorism](#), through which Member States commit to, inter alia, strengthen cooperation on trafficking of light weapons and information exchange among experts on the activities of the criminal groups involved in trafficking of light weapons and ammunition in the BSEC Region.

Moreover, the BSEC Working Group on Cooperation in Combating Crime, is mandated to foster regional cooperation in the fight against organized crime and submits recommendations, among other things, on the need to conclude additional Protocols to the Agreement; establish common institutions of cooperation in the sphere of combating crime, organize experts meetings and workshops and plan coordinated actions against transnational criminal networks.³⁶³ Similarly, the BSEC Working Group on Customs Matters is mandated, among other things, to strengthen the capacity of customs to combat smuggling and to strengthen capacity building activities among the customs administrations of the BSEC Member States on post release control matters.³⁶⁴

Regional Cooperation Council (RCC),³⁶⁵ was established to promote regional cooperation in South-east Europe (SEE). SALW control is relevant to two of RCC's priority areas: security cooperation and parliamentary cooperation. In 2002 the RCC, together with UNDP, launched SEESAC to serve as the regional focal point for small arms non-proliferation issues. The [SEESAC Regional Implementation Plan for Combating the Proliferation of Small Arms and Light Weapons](#) launched in 2001 and revised in 2006 and again in 2014 is one of the main ATT-relevant RCC documents.³⁶⁶

The [RCC Strategy and associated Work Programme 2023-2025](#) address SALW control in the Chapter of Security, and includes recommended actions such continued support to the SEESAC and support for development of topical surveys and analyses concentrating on areas of regional security-related importance, including SALW.³⁶⁷ In the forthcoming period RCC will provide political support to regional efforts aimed at better control of SALW and closely cooperate with the Parliamentary Forum for Small Arms and Light Weapons.³⁶⁸

MIDDLE EAST AND NORTH AFRICA

Arab Maghreb Union (AMU) was created in 1989 by the Marrakesh Treaty to advance economic integration, strengthen peace and cooperation, and deepen intra-regional trade amongst its member states.³⁶⁹ The AMU was initially tasked with setting up the North African Standby Brigade. The North African Regional Capability (NARC), which is independent of any regional economic community, was created in *lieu* of the North African Standby Brigade.

Cooperation Council for the Arab States of the Gulf (GCC)³⁷⁰ was established in 1981 to foster "coordination, cooperation and integration between them in all fields". According to the Charter, one of the basic objectives of the Cooperation Council is to formulate regulations in various fields including economic and financial affairs; commerce, customs and communications; and education and culture (Article 4).

In 2014 the GCC agreed to establish a GCC police force (GCCPOL) which aims to strengthen the security cooperation among the GCC police forces in the field of combating crime.³⁷¹ The main stated aim of the organisation, which is based in Abu Dhabi, is to tackle terrorism; however, like Interpol, it also includes other criminal activities including arms smuggling. GCCPOL has created a unified security system, including a comprehensive database which facilitates rapid exchange of criminal and security information between the police and security agencies and enhances analytical capabilities in the security and criminal matters and strengthening the effectiveness of combating crime and crime prevention.³⁷²

Legal instruments adopted by the GCC include:

- [The Security Agreement of the Cooperation Council of the Arab States of the Gulf and the Counter-Terrorism Agreement](#).
- [The 1994 Security Agreement of Cooperation Council States](#). It explicitly prohibits illicit arms trading and promotes using the newest technologies to combat arms trafficking.³⁷³ The amended agreement adopted in 2013 aims to foster an optimum level of cooperation and coordination between Arabian Gulf States in all criminal aspects. It includes extradition of accused and convicted, cooperation in operations of rescue people, borders' control, and security cooperation and coordination.³⁷⁴
- [The Security Agreement of Cooperation Council States](#), adopted in 2004, the agreement prohibits supplying arms to aid terrorism. In 2006, a permanent security committee specialized in combating terrorism was formed.



Footnotes

- ²⁷⁸ List of Members: Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cape Verde, Central African Republic (CAR), Chad, Comoros, Côte d'Ivoire, Democratic Republic of Congo (DRC), Djibouti, Egypt, Equatorial Guinea, Eritrea, Eswatini, Ethiopia, Gabon, The Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Republic of Congo, Rwanda, Sahrawi Arab Democratic Republic (SADR), São Tomé and Príncipe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Tanzania, Togo, Tunisia, Uganda, Zambia, Zimbabwe
- ²⁷⁹ CEMAC was created in 1994 to promote a common market and customs union among its Member States: Gabon, Cameroon, Central African Republic (CAR), Chad, Republic of Congo, Equatorial Guinea.
- ²⁸⁰ Examples include but are not limited to Regulation No. 01/03-CEMAC-UMAC on the "prevention and repression of money laundering and terrorist financing in Central Africa" incorporating the offence of terrorist financing into national law; CEMAC Regulation No. 03/01-UEAC-088-CM-06 adopting a revised Community Code of Merchant Marine incorporating the offences related to Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation into national law; CEMAC Regulation No. 10/00/CEMAC-0626-CM-04 creating a Civil Aviation Code incorporating the offences related to the safety of civil aviation into national law.
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