
**ATT Working Group on Treaty Universalization
Co-Chairs' Draft Discussion Paper**

Introduction

This discussion paper is presented by the Co-chairs of the Working Group on Treaty Universalization (WGTU) to reflect on the work carried out by the WGTU so far, to look into what could be discussed during the second WGTU meeting planned for 30 May 2018, and to suggest possible WGTU recommendations to the Fourth Conference of States Parties (CSP4) and issues for further discussion in the period leading up to the Fifth Conference of States Parties (CSP5).

Background

The Third Conference to the Arms Trade Treaty endorsed the ATT WGTU Co-chair's Draft report to CSP3 (ATT/CSP3.WGTU/2017/CHAIR/160/Conf.Rep: [En](#), [Fr](#), [Sp](#)), including Terms of Reference for the Working Group on Treaty Universalization and Working Group on Universalization Initial Work Plan, Rev. 3. Furthermore, the Initial Work Plan, Rev. 3 suggests that "The Working Paper *Promotion of Arms Trade Treaty Universalization* ([ATT/CSP2/2016/WP.4/Rev.1](#)) will serve as a basic document for WGTU work at least until CSP4". The documents mentioned above establish a solid basis for WGTU work between CSP3 and CSP4.

Appointment of WGTU Co-Chairs

The CSP3 mandated the CSP4 President, Ambassador Nobushige Takamizawa (Japan), with the responsibility of facilitating the work of the Working Group up until the next annual ordinary session of the Conference (CSP4). On 27 November 2017, the CSP4 President appointed Ambassador Klaus Korhonen (Finland, CSP3 President) as the Co-Chair of the WGTU.

Preparation for the Work of the WGTU

In order to facilitate the work of WGTU, on 9 February 2018, the Co-chairs issued the WGTU Work Plan (ATT/CSP4.WGTU/2018/CHAIR/249/M1.WorkPlan) that set out work for the WGTU and possible topics for deliberations during the WGTU meetings to be held in the period leading up to CSP4.

First Meeting of WGTU (Summary of Discussion)

The WGTU held its first meeting on 7 March 2018 at the CIGG building in Geneva. The meeting was attended by representatives of 62 States, 3 international organizations and 7 civil society organizations.

The following aspects were discussed during the meeting:

- a. The Head of Secretariat gave an overview of the latest status of participation in the ATT;
- b. One of the latest States Parties (Kazakhstan) to accede to the Treaty gave an overview of its path towards accession to the Treaty. During this item, other potential States Parties also gave an update to the meeting about their national activities towards joining the Treaty;

- c. The CSP4 President briefed the meeting about his universalization efforts since coming into office in September 2017 (see ANNEX A) and touched upon the non-paper on challenges to Treaty universalization (Annex of the Work Plan);
- d. Participants noted the significance of accession to the Treaty by as many states as possible including major players in the global arms trade; the requirement to provide new States Parties with basic information about the ATT, and reaffirmed the important role of Parliamentarians, civil society and industry in advancing the universalization of the Treaty; and
- e. Representatives of the International Parliamentarian Union and the Parliamentary Forum on Small Arms and Light Weapons explained the activities of their organizations and how such activities contribute towards the global efforts to reduce human suffering, which is one of objectives of the Treaty.

Second Meeting of WGTU (Discussion points)

On the basis of WGTU mandate issued by CSP3 and on the strength of the exchange of views and discussions during the WGTU's first meeting, in the Co-Chairs' view, the second meeting of the WGTU should include the following issues:

- a. Latest status of participation in the ATT including an aspect of arms trade volume.
- b. Universalization efforts by the President.
- c. Update on the role of regional organizations in Treaty universalization.
- d. Update on the role of defense industry in Treaty universalization.
- e. Update on other universalization activities by ATT Stakeholders.
- f. A Proposal for Troika system as initially proposed by France and Italy in 2016 (ATT/CSP2/2016/OP.4)

Possible WGTU recommendations to CSP4

- a. The re-endorsement of the Initial Work Plan (Rev 3), in Annex B to the WGTU report to CSP3, and tasking the WGTU with defining specific tasks and activities in the period between CSP4 and CSP5 in line with the Plan.
- b. To follow up discussion held during the last meeting in March, Co-Chairs would like to suggest the development of a Toolkit of the ATT, and mandate the WGTU to, in the period leading up to CSP5, to develop a Treaty universalization toolkit relying on the elements contained in Annex B.
- c. Furthermore, to facilitate effective universalization efforts in the CSP5 process, Co-Chairs would like to ask regional groups to share their foreseeable regional events to the WGTU. Sample of the list is attached as ANNEX C.

ANNEX A
PRESIDENTS' ACTIVITIES FOR CSP3 and CSP4 PROCESSES

The Presidents of CSP3 and CSP4 discussed ATT universalization with 84 countries so far. Following is examples of such efforts.

CSP3 Process

23 September 2016 New York, USA

Breakfast meeting with Ambassador Korhonen, candidate for the 3rd CSP President

22-29 October 2016 New York, USA

- UNGA 71, First Committee
- Panel discussion at the side event "Towards a Globalized ATT: Focus on the Asia-Pacific region"
- Panel discussion at the side event "The Arms Trade Treaty Conference of States Parties 2016 and Prospects for CSP 2017"

02 November 2016 Geneva, Switzerland

ATT Open Meeting

26 November 2016 Brussels, Belgium

Guest Speaker at EU Working Party on Conventional Arms Exports

29-30 November 2016 Amsterdam, Netherland

Expert Group on ATT Implementation,

3-4 December 2016 Brussels, Belgium

- 5th EU Non-Proliferation and Disarmament Conference
- Panel discussion "Combating the trafficking of small arms and light weapons"

16-18 January 2017 Addis Ababa, Ethiopia

- H.E. Amb. Smail Chergui, Commissioner for Peace and Security of the African Union
- Dr. Tarek A. Sharif, Head of Defence and Security Division in PSD Department African Union
- Subregional organization: Conflict Early Warning & Response Mechanism (CEWARN)
- Meeting with the Ministry of Foreign Affairs
- Civil society organizations: Oxfam (Mr. Désiré Assogbavi, Resident Representative and Head of Oxfam Liaison office in AU) and ICRC

19-20 January 2017 Dar es Salaam, Tanzania

- H.E. Mr. Augustine Phillip Mahiga, Minister for Foreign Affairs
- Regional organization: European Union delegation
- International organization: United Nations Resident Coordinator
- Meeting with Mr. Alvaro Rodriguez, UN Resident Coordinator and UNDP Resident Representative

1 February 2017 Geneva, Switzerland

Arms Transfer Dialogue (ATD), First Meeting: "Diversion of Arms"

3 February 2017 Paris, France

- Meeting with Ambassador Michèle Ramis, President-designate of the 3rd Review Conference of the UN Programme of Action

09 February 2017 Geneva, Switzerland

Working Group on Treaty Universalization (WGTU) First Meeting

16 February 2017 Geneva, Switzerland

First CSP3 Informal Preparatory Meeting

2 March 2017 Brussels, Belgium

Guest Speaker at AeroSpace and Defence Industries Association of Europe (ASD)

13-14 March 2017 Beijing, China

- Meeting with Mr. Ma Shengkun, Counsellor, Arms Control Department, Ministry of Foreign Affairs
- Representatives of some of the ATT initiating countries: Australia, Costa Rica, Japan, Kenya and UK
- Representatives of some of the CSP3 Vice Presidents: Australia and Bulgaria
- Regional organization: European Union delegation to China
- Think Tanks: Institute of Arms Control and Security Studies and China Arms Control & Disarmament Association, National Defense University

15-17 March 2017 Jakarta, Indonesia

- Ministry of Defense
- Ministry of Foreign Affairs
- European Union delegation to Indonesia
- Meeting with Ms. Mala Selvaraju, Assistant Director of Political and Security ASEAN Secretariat
- Civil society organizations: Research Center of Politics (LIPI), Women Peace and Security Working Group, Paramadina University, CSIS, Institute Titian Perdamaian – National network, UNPKO, ELSAM
- Meeting with civil society at Center for Political Studies, Indonesia Institute of Sciences

20-21 March 2017 Bangkok, Thailand

- Ministry of Defense and Ministry of Foreign Affairs
- International organization: UNDP Resident Coordinator Thailand and UNRCPD
- European Union delegation to Thailand
- Civil society organizations: ICRC, Nonviolence International Southeast Asia, Norwegian People's Aid, Amnesty International

07 April 2017 Geneva, Switzerland

Second CSP3 Informal Preparatory Meeting

26 April 2017 Brussels, Belgium

Guest Speaker at the Euro-Atlantic Partnership Council (EAPC)

30 May 2017 Geneva, Switzerland

Arms Transfers Dialogue (ATD), Second Meeting: "Promoting a Multifaceted Approach to Addressing Illicit Arms Flows: Exploring Synergies between the Sustainable Development Goals, Arms Trade Treaty and other relevant Multilateral Instruments"

31 May 2017 Geneva, Switzerland

Working Group on Treaty Universalization (WGTU) Second Meeting

01 June 2017 Geneva, Switzerland

Third CSP3 Informal Preparatory Meeting

8-9 June 2017 Brasília, Brazil

- Ministry of Foreign Affairs
- Ministry of Defense

- Federal Police
- Congressman Lincoln Portela
- European Union delegation to Brazil
- Ms. Mélanie Régimbal, UNLIREC Director
- Civil society organizations: ICRC, CONECTAS, Sou da Paz

12-13 June 2017 New York, U.S.A.

- International organization: UNODA, Counter-Terrorism Committee Executive Directorate (CTED), UN Department of Economic and Social Affairs (DESA).
- Regional organization: European Union
- Bilateral outreach meetings with UN Member States
- Side-event "*Briefing on Synergies from the Implementation of UNSCR 1540 and ATT*" co-hosted by the Permanent Missions of Finland and Jamaica and The Stimson Center

13-15 June 2017 Washington DC, U.S.A.

- Regional organization: European Union, OAS
- US defense industry

12 June 2017 New York, U.S.A.

High Representative for Disarmament Affairs Izumi Nakamitsu

13 June 2017 New York, U.S.A.

CSP3 President & Mission of Jamaica host side-event on synergies between ATT & SC Res 1540 with Stimson Center, New York

14 June 2017 Washington DC, U.S.A.

Stimson Center hosts roundtable on synergies between ATT & SC Res 1540

15 June 2017 Washington DC, U.S.A.

US NGOs at the Stimson Center

28 June 2017 Vienna, Austria

- Mr. Ismail Balla, Director, United Nations Office for Disarmament Affairs at Vienna + UNODA Team
- Ambassador Gonzalo de Salazar, Permanent Mission of Spain to the UN and other International Organisations in Vienna
- Ms. Maria Brandstetter, Confidence and Security-Building Measures Officer, Mr. Robin Mossinkoff, Head of the FSC Support Section Conflict Prevention Centre/FSC Support Section, OSCE Secretariat and Colonel Ville-Pentti Pouttu, Military Adviser, OSCE delegation, Embassy of Finland, Wien
- Ambassador Didier Lenoir + Mr. Jose-Luis Martins, Counsellor, Delegation of the European Union to the International Organizations in Vienna

29 June 2017 Vienna, Austria

- Ambassador Philip Griffiths, Head of Secretariat, Wassenaar Arrangement
- Ms. Laura Rockwood, Director, Vienna Center for Disarmament and Non-Proliferation (VCDNP)
- Seminar "Contributions to Controlling Transfers of Conventional Arms", VCDNP

28-29 August 2017 Berlin, Frankfurt

Meetings with German authorities, NGOs and think tanks

11 September 2017 Geneva, Switzerland

Side event: "Arms Trade Treaty Signatory States – Gaps and Possibilities for Treaty Universalization"

12 September 2017 Geneva, Switzerland

Side event “The Role of Industry in the ATT”

12 September 2017 Geneva, Switzerland

Side event “The prevention agenda, illicit arms flows and the SDGs – how do they connect?”

13 September 2017 Geneva, Switzerland

Side event “Fostering Shared Understanding on the Synergies Between the Arms Trade Treaty and the UN Programme of Action on Small Arms”

11-15 September 2017 Geneva, Switzerland

Third Conference of States Parties (CSP3)

CSP4 Process

24 September 2017 Geneva, Switzerland

Side event “Dialogue with Amb Nobushige Takamizawa, Japan’s Candidate for the Presidency of the Fourth Conference of States Parties to the ATT”

17 October 2017 New York, U.S.A.

Representatives from Tonga, Thailand, Cambodia, Micronesia, Malaysia, Marshall, Laos, Vietnam, Brunei, Philippines, Singapore, and Fiji

23 October 2017 New York, U.S.A.

Central and South Asian states representatives

24 October 2017 New York, U.S.A.

African states representatives

12 December 2017 Brussels, Belgium

EU Non-proliferation and Disarmament Conference

20 December 2017 Vienna, Austria

Ambassador Philip Griffiths, Head of Wassenaar Arrangement

21 December 2017 Vienna, Austria

Ms. Simonetta Grassi, Head of the UNODC Global Firearms Programme

15 January 2018 Maputo, Mozambique

- HE Mr. José Condugua António Pacheco, Minister for Foreign Affairs and Cooperation
- Ms. Helena Mateus Kida, Deputy Minister of the Interior
- Mr. Jeronimo Malagueta, President of Commission of Defense, Security, and Public Order of National Assembly

16 January 2018 Maputo, Mozambique

- Mr. Antonio Niquice, Rapporteur of Commission of International Affairs of National Assembly
- Mr. Patricio Jose, Vice-Minister of Defence
- Mr. Albino Forquilha, Director of FOMICRES
- HE Mr. Joaquim Alberto Chissano, Former President of Mozambique
- DG for International Organizations of Ministry of Foreign Affairs and Cooperation

18 January 2018 Gaborone, Botswana

- Ms. Dimpho Mogami, Acting Permanent Secretary, Ministry of Defence, Justice and Security
- Hon. Ms. Bogolo Kenewendo, MP, Parliament Committee on Foreign Affairs, Defense, Law, Safety, Government Assurance of the Parliament
- Parliament members

19 January 2018 Gaborone, Botswana

- Mr. Thuso Godson Ramodimoosi, Acting Permanent Secretary, Ministry of International Affairs and Cooperation
- HE Dr. Stergomona Lawrence Tax, Executive Secretary of the South African Development Community (SADC)

29 January 2018 Tokyo, Japan

Representatives from Botswana, Mozambique, Bangladesh, Nepal

13 February 2018 Geneva, Switzerland

Malawi, Libya, Morocco, Angola representatives

22 February 2018 Vientiane, Laos

- HE Mr. Saluemxay Kommasith, Minister of Foreign Affairs
- MajGen Onesy Senesouk, Vice Defense Minister
- Brig Gen Kongthong Phongphichit, Vice Minister for Public Security
- Mr. Saithong Keoduangdy, Chairperson, Law Committee, National Assembly

23 February 2018 Phnom Penh, Cambodia

- HE Mr Sar Kheng, Deputy Prime Minister and Minister of Interior
- HE Mr. Ouch Borith, Secretary of State, Ministry of Foreign Affairs and International Cooperation
- Gen Moeung Samphan, Secretary of State, Ministry of National Defense
- Mr. Sieng Lapresse, Advisor of the Cambodian Government

27 February 2018 Tokyo, Japan

25th Asian Export Control Seminar

27 February 2018 Tokyo, Japan

Ambassadors of ASEAN

19-23 March 2018 New York, U.S.A.

UNPOA RC-3 Prepcon

19 March 2018 New York, U.S.A.

- Side event with France, UNIDIR "Comprehensive Approach to Addressing Diversion in Arms Transfers"
- Representatives of SADC members

20 March 2018 New York, U.S.A.

- Roundtable discussion with civil society members from different regions
- Representatives of Pacific states

27 March 2018 Geneva, Switzerland

A special session held in the 138th Assembly of the International Parliamentary Union

3 April 2018 Mexico City, Mexico

Meeting of Governing Bodies and Secretaries of International Instruments and Mechanisms on Small Arms and Light Weapons "Building Synergies to Prevent and Combat Illicit Trafficking: Achieving 16.4 SDG"

4-5 April 2008 Mexico City, Mexico

CSP4 of the Inter-American Convention Against the Illicit Manufacturing and Trafficking in Firearms, Ammunition, Explosives and Other Related Material (CIFTA)

4 April 2018 Mexico City, Mexico

Non-ATT States Parties of CIFTA CSP4 participating states

5 April 2018 Mexico City, Mexico

Roundtable discussion with civil society members

ANNEX B
ELEMENTS FOR INCLUSION IN AN ATT UNIVERSALIZATION TOOLKIT

1. Who is this toolkit designed for?

[brief explanation that the toolkit is designed to assist those wishing to promote universalization of the ATT – States, ATT office holders, civil society etc.]

2. Why is universalization of the ATT important?

3. What are the benefits to joining the Treaty?

4. What are the reasons States give for not joining the Treaty?

[typology of reasons for not joining the Treaty, from the political to the economic, plus some valid responses/counter-arguments]

5. What are the challenges States face in joining the Treaty?

[overview of challenges new States face when they join the Treaty – such as understanding their obligations, knowing where they can find more info etc – and we could provide basic guidance on assistance and other resources available to overcome those challenges]

6. Frequently asked questions

[a list of some of the question skeptics and others ask about the value of the Treaty with possible responses for universalization advocates, such as:

- *What difference is the Treaty making in the global arms trade?*
- *What about countries that have not yet joined the Treaty?*
- *Is the Treaty worthwhile without some major arms exporters and importers on board?*
- *What is the scope of the Treaty?*
- *How can we be sure that States Parties respect their commitments?*
- *Does the Treaty prevent States from importing weapons? OR If a State becomes a State Party to the Treaty, will it still be able to import weapons?*
- *What role do Civil Society Organizations play in treaty implementation?]*

ANNEX C
REGIONAL EVENTS PLANNED TOWARD CSP5

This is a reference paper to assist future office holders to the ATT to effectively carry out universalization.

REGIONAL ORGANIZATIONS

ASEAN

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

ECOWAS

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

EU

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

OAS

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

SAARC

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

SADC

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

WORKSHOPS

ATT VTF

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

Donors

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

UN regional centers

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)

Civil Society Organizations

DD/MM/YYYY – DD/MM/YYYY

City, Country name

Title of Event

Expected participants (Rank, Size)