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**ATT WORKING GROUP ON TREATY UNIVERSALIZATION
CO-CHAIRS' DRAFT REPORT TO CSP4**

Introduction

1. This draft report to the Fourth Conference of States Parties (CSP4) is presented by the Co-chairs of the Working Group on Treaty Universalization (WGTU) to reflect on the work conducted by the WGTU since its establishment and to make recommendations on steps to be taken with respect to Treaty universalization beyond CSP4.

Background

2. CSP2 established an Informal Working Group on Treaty Universalization with the objective of leading the process of harmonizing thoughts on the issue of universalization with a view to determining the best approach for taking the issue forward.

3. CSP3 decided to establish standing WGTU to operate under its Terms of Reference as contained in the WGTU Co-chair's draft report to CSP3 (ATT/CSP3.WGTU/2017/CHAIR/160/Conf.Rep). The Conference further endorsed the Initial Work Plan (ATT/CSP2/2016/WP.4/Rev.1) to serve as a basic document for WGTU work at least until CSP4. The documents mentioned above established a solid basis for WGTU work between CSP3 and CSP4.

Appointment of WGTU Co-chairs

4. 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 with a view to build on the predecessors' work on Treaty universalization.

Preparation for the First Meeting of the WGTU

5. In order to facilitate the work of the WGTU, on 09 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

6. The WGTU held its first meeting on 07 March 2018 at the CICG building in Geneva. Representatives of 62 States, 3 international organizations and 7 civil society organizations attended the meeting. The following aspects were dealt with during the meeting:

- a. The Head of the ATT 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 provided an update 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 reflected on the non-paper on the challenges to Treaty universalization (Annex to 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.
- e. Representatives of the Inter-Parliamentarian Union and the Parliamentary Forum on Small Arms and Light Weapons gave an overview on their activities and how such activities contribute towards the global efforts to reduce human suffering, which is one of objectives of the Treaty.

Preparation for the Second Meeting of the WGTU

7. On 15 May 2018, in anticipation of the second WGTU meeting, the Co-chairs issued a Draft Agenda for the second WGTU meeting (ATT/CSP4.WGTU/2018/CHAIR/309/M2.Agenda) and a Draft Discussion Paper (ATT/CSP4.WGTU/2018/CHAIR/308/M2.DrDissPaper).

Second Meeting of WGTU

8. The WGTU held its second meeting on 30 May 2018 in Geneva, at the CICG. The representatives of 62 States, 3 international organizations, 19 civil society organizations attended the meeting.

9. On the basis of the WGTU mandate issued by CSP3 and the exchange of views and discussions during the WGTU's first meeting, the second meeting of the WGTU focused on the following aspects:

- a. The Head of the ATT Secretariat gave an overview of the latest status of participation in the ATT including aspects related to arms trade volume.
- b. The Working Group warmly welcomed Chile, which had just become the 95th State Party to the Arms Trade Treaty. The meeting also welcomed the announcement by the delegation of Cameroon to the effect that Cameroon was about to deposit its instrument of ratification with the Treaty Depository.
- c. The CSP4 President gave an overview on the activities of the Presidency to promote Treaty universalization, supported by the ATT Secretariat. These include presentations to the special session of the Inter-Parliamentary Union and a Meeting of Governing Bodies and

Secretaries of International Instruments and Mechanisms on Small Arms and Light Weapons held in Mexico.

- d. Under the agenda item on the role of regional organizations in Treaty universalization, the representative of UNODA gave an account of Treaty universalization activities of the UN Regional Centre for Peace and Disarmament in Asia Pacific.
- e. On the role of defence industry in Treaty universalization, the representative of the AeroSpace and Defence Industries Association of Europe (ASD) elaborated on some of the defense industry practices that can contribute towards the universalization of the Treaty.
- f. New Zealand and the European Union gave an update on their universalization activities.
- g. The Working Group welcomed the presentation of Control Arms' *Sprint to 100* campaign to work towards realizing 100 States Parties by CSP4 or at least by the end of 2018.
- h. France and Italy reintroduced their joint proposal (ATT/CSP2/2016/OP.4) for the establishment of a Troika system at the level of the CSP President in order to promote the ATT continuity of effort particularly in the area of Treaty universalization.

Outcome of the WGTU meetings

10. The sense of the two WGTU meetings held in the intersessional period was that there is continued support for the suggested approaches to promoting ATT universalization outlined in the Working Paper (ATT/CSP2/2016/WP.4/Rev.1) , namely:

- a. Utilizing every opportunity for high level statements at both bilateral and multilateral meetings to include the significance of the ATT raises awareness of the Treaty among states that have not yet joined the Treaty.
- b. Setting universalization focus on regions with fewer States Parties. CSP Presidents coming from the regions with less ATT membership could utilize their bilateral relationships to advance Treaty universalization in those regions. CSP Presidents could also seek support from States Parties in a targeted region to facilitate access to high-profile stakeholders in states that have not yet joined the Treaty;
- c. Making universalization materials and toolkits easily available in multiple languages; and
- d. Sharing planned regional events organized by States, regional organizations and civil society to better utilize the Treaty universalization opportunities.

11. There was general understanding of the challenges to Treaty universalization as described in Annex B of the WGTU Work Plan. Participants agreed that it is essential to work with civil society, industry, Parliamentarians and UN regional centers in promoting the ATT.

WGTU Recommendations

12. On the basis of the WGTU mandate issued by CSP2 and on the strength of the exchange of views and discussions during the two WGTU meetings, the WGTU Co-chairs recommend that CSP4 adopts the following recommendations of the WGTU:

- a. The re-endorsement of the Initial Work Plan (Rev 3), in Annex B to the WGTU report to CSP3 (ATT/CSP3.WGTU/2017/CHAIR/160/Conf.Rep), by focusing on the following approaches in the period between CSP4 and CSP5:
 - i. Regions with fewer States Parties;
 - ii. Take advantage of WGTU Co-Chairs' states of origin or seek assistance of States Parties from targeted regions to facilitate access to high profile stakeholders in states that have not yet joined the Treaty;
 - iii. Continuously engage Parliamentarians to facilitate domestic ratification processes;
 - iv. Utilize regional events, if appropriate, to engage with stakeholders efficiently; and
 - v. Hold regular meetings of CSP President and other ATT stakeholders on the sidelines of the ATT meetings and universalization trips.
- b. Mandate the WGTU to, in the period leading up to CSP5, develop the toolkit relying on the elements contained in Annex B.
- c. Endorse the list of website links of possible events on Annex C as a reference to facilitate planning of future universalization trips.

ANNEX A
PRESIDENTS' ACTIVITIES FOR CSP3 and CSP4 PROCESSES

The Presidents of CSP3 and CSP4 discussed ATT universalization with 84 countries so far. Following are 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"

2 November 2016 Geneva, Switzerland

ATT Open Meeting

26 November 2016 Brussels, Belgium

EU Working Party on Conventional Arms Exports

29-30 November 2016 Amsterdam, Netherlands

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

- Commissioner for Peace and Security of the African Union
- Head of Defence and Security Division in PSD Department African Union
- Subregional organization: Conflict Early Warning & Response Mechanism (CEWARN)
- Ministry of Foreign Affairs
- Civil society organizations: Oxfam (Resident Representative and Head of Oxfam Liaison office in AU) and ICRC

19-20 January 2017 Dar es Salaam, Tanzania

- Minister for Foreign Affairs
- Regional organization: European Union delegation
- International organization: United Nations Resident Coordinator
- 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

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

AeroSpace and Defence Industries Association of Europe (ASD)

13-14 March 2017 Beijing, China

- 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 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
- Civil society meeting 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

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 Brasilia, Brazil

- Ministry of Foreign Affairs
- Ministry of Defense

- Federal Police
- Congressman Lincoln Portela
- European Union delegation to Brazil
- Director of the UNLIREC
- Civil society organizations: ICRC, CONECTAS, Sou da Paz

12-13 June 2017 New York, USA

- 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, USA

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

12 June 2017 New York, USA

High Representative for Disarmament Affairs

13 June 2017 New York, USA

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, USA

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

15 June 2017 Washington DC, USA

US NGOs at the Stimson Center

28 June 2017 Vienna, Austria

- Director, United Nations Office for Disarmament Affairs at Vienna
- Permanent Mission of Spain to the UN and other International Organizations in Vienna
- OSCE Secretariat
- Delegation of the European Union to the International Organizations in Vienna

29 June 2017 Vienna, Austria

- Head of Secretariat, Wassenaar Arrangement
- Director, Vienna Center for Disarmament and Non-Proliferation (VCDNP)
- Seminar "Contributions to Controlling Transfers of Conventional Arms", VCDNP

28-29 August 2017 Berlin, Frankfurt, Germany

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”

October 2017 New York, USA

UNGA 72, First Committee

17 October 2017 New York, USA

Side event on ATT VTF

17 October 2017 New York, USA

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

23 October 2017 New York, USA

Representatives from Maldives, Kiribati, Bhutan, Uzbekistan, Nepal, Afghanistan, Kazakhstan, Nauru, Tajikistan

24 October 2017 New York, USA

Side event “Report from the ATT CSP 2017 and Prospects for the CSP 2018”

24 October 2017 New York, USA

Representatives from Algeria, Mongolia, Bangladesh, Republic of Congo, Tunisia, Swaziland, Burundi, Namibia

12 December 2017 Brussels, Belgium

EU Non-proliferation and Disarmament Conference

20 December 2017 Vienna, Austria

Head of Wassenaar Arrangement

21 December 2017 Vienna

Head of the UNODC Global Firearms Programme

15 January 2018 Maputo, Mozambique

- Minister for Foreign Affairs and Cooperation
- Deputy Minister of the Interior
- President of Commission of Defense, Security, and Public Order of National Assembly

16 January 2018 Maputo, Mozambique

- Rappoteur of Commission of International Affairs of National Assembly
- Vice-Minister of Defence
- Director of FOMICRES
- Former President of Mozambique

- DG for International Organizations of Ministry of Foreign Affairs and Cooperation

18 January 2018 Gaborone, Botswana

- Acting Permanent Secretary, Ministry of Defence, Justice and Security
- MP, Parliamentary Committee on Foreign Affairs, Defense, Law, Safety, Government Assurance of the Parliament and other Parliament members

19 January 2018 Gaborone, Botswana

- Acting Permanent Secretary, Ministry of International Affairs and Cooperation
- 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

Representatives from Malawi, Libya, Morocco, Angola

22 February 2018 Vientiane, Laos

- Minister of Foreign Affairs
- Vice Defense Minister
- Vice Minister for Public Security
- Chairperson, Law Committee, National Assembly

23 February 2018 Phnom Penh, Cambodia

- Deputy Prime Minister and Minister of Interior
- Secretary of State, Ministry of Foreign Affairs and International Cooperation
- Secretary of State, Ministry of National Defense
- Advisor of the Cambodian Government

27 February 2018 Tokyo, Japan

- 25th Asian Export Control Seminar
- Representatives from ASEAN members

7 March 2018 Geneva, Switzerland

First Working Group on Treaty Universalization

9 March 2019 Geneva, Switzerland

First CSP4 Informal Preparatory Meeting

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

Preparatory Committee for the Third United Nations Conference to Review Progress Made in the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects

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

- Side event with France, UNIDIR “Comprehensive Approach to Addressing Diversion in Arms Transfers”
- Representatives of Mauritius, Tanzania, Zimbabwe, Swaziland, Zambia, South Africa, DRC, Angola

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

- Roundtable discussion with civil society members from different regions
- Representatives of Vanuatu, Micronesia, Nauru, Tonga

27 March 2018 Geneva, Switzerland

A special session held in the 138th Assembly of the Inter-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

Civil society: Iglesias por la Paz, Movimiento por nuestros desaparecidos en México y Movimiento por la paz con Justicia y Dignidad, Instituto Mexicano de Doctrina Social Cristiana y Acción Ciudadana Frente a la pobreza, Pastoral Social Diócesis de México, Iglesia Anglicana de México, y Observatorio Eclesial, Iglesia Bautista Shalom de la Ciudad de México, Servicio Internacional Cristiano de Solidaridad con los pueblos de América Latina, Desarma México, Casa Refugiados, Open Society, Centro de Estudios Ecuménicos, Sehlac

25 May 2018 Brussels, Belgium

EU COARM (Working Party on Conventional Arms Export)

29 May 2018 Geneva, Switzerland

Civil Society

30 May 2018 Geneva, Switzerland

Second Working Group on Treaty Universalization

31 May 2018 Geneva, Switzerland

Side event “International Assistance and Cooperation to Implement the ATT”

1 June 2018 Geneva, Switzerland

Second CSP4 Informal Preparatory Meeting

11 June 2018 Colombo, Sri Lanka

- Speaker of the House
- Former Deputy Speaker of the House
- Chief of Defense Staff
- Defense Secretary
- Additional Foreign Secretary
- Civil Society: Forum on Disarmament and Development, University of Colombo, SHARP Demining, DASH Demining, Sri Lanka Customs, Japanese Sri Lanka Friendship (JSF) Holding Pvt. Ltd

12 June 2018 Kathmandu, Nepal

Director of the UN Regional Centre for Peace and Disarmament in Asia and the Pacific

13 June 2018 Kathmandu, Nepal

- Deputy Prime Minister and Defense Minister
- Minister of Home Affairs
- Foreign Secretary

- Civil Society: Members of Parliament, Nepal Control Arms Coalition, Institute of International Relation, Nepali Congress, Band Land Mines, WPD-Nepal/South Asia Control Arms Coalition, IHRICON

19 June 2019 Geneva, Switzerland

Representatives from Sri Lanka

20 June 2018 Geneva, Switzerland

Civil society: ICRC, GCSP, Control Arms, Sehlac

25 June 2018 Washington DC, USA

- National Security Council
- Department of State
- President of CSP1 to the ATT
- Civil Society
- Industry

2 July 2018 Geneva, Switzerland

UNIDIR, Small Arms Survey

20-24 August 2018 Tokyo, Japan

Fourth Conference of the States Parties

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 non-exhaustive *reference paper* to assist future office holders to the ATT to find out regional events, as *appropriate*, in deciding the timing of the Treaty universalization trips.

REGIONAL ORGANIZATIONS

Association of Southeast Asian Nations (ASEAN)

<http://asean.org/calendar/official-meetings/>

Economic Community of West African States (ECOWAS)

<http://www.ecowas.int/allevts/events/>

European Union (EU)

https://europa.eu/newsroom/events/week_en

Organization of American States (OAS)

<http://www.apps.oas.org/oasmeetings/default.aspx?Lang=EN>

South Asian Association for Regional Cooperation (SAARC)

<http://saarc-sec.org/calendar>

Southern African Development Community (SADC)

<https://www.sadc.int/news-events/events/>

OTHERS

The UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC, located in Lima, Peru)

http://www.unlirec.org/att00_eng.aspx

The UN Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD, located in Kathmandu, Nepal)

<http://unrcpd.org/event/>

The UN Regional Centre for Peace and Disarmament in Africa (UNREC, located in Lomé, Togo)

<https://www.unrec.org/default/index.php/en/what-we-do/list-of-events>

International Committee of Red Cross

<https://www.icrc.org/en>

Inter-Parliamentary Union

<https://www.ipu.org/events/new-events>

Control Arms

<https://controlarms.org/news/>

Parliamentarians for Global Action

<http://www.pgaction.org/news/activity-calendars/2018.html>

Parliamentary Forum on Small Arms and Light Weapons

<http://parliamentaryforum.org/parliamentary-action/events/>

Reaching Critical Will

<http://www.reachingcriticalwill.org/resources/calendar>