Synergies between the UN Programme of Action on Small Arms and other relevant multilateral instruments: Key issues and opportunities ahead of the Third Review Conference

26 January, 10:00-12:00

Room S8, Interpétale, Maison de la Paix, Geneva, Switzerland
Acknowledgements
“Exploring Synergies in Reporting Under Multilateral Conventional Arms Treaties and Instruments”

Arms Transfer Dialogue

United Nations Institute for Disarmament Research
Acknowledgements
Overview

1. Framing the Issue
2. Project Overview
3. Preliminary Findings
4. Way forward
Framing the Issue
Why report?

• Reporting may have varying objectives and purposes:
  • Building confidence
  • Promoting transparency and predictability
  • Serving as a compliance mechanism
  • Enabling information exchange
  • Supporting the review of implementation progress
  • Serving as a basis for international cooperation and assistance
How might reporting differ across instruments?

- Membership
- Objectives
- Scope (type of information, categories of weapons, exceptions)
- Format (type of reporting template and fields)
- Legal nature of reporting (voluntary/mandatory)
- Timeframes
- Recordkeeping requirements
- Methods of reporting
- Sources of information
- Confidentiality modalities (public/secured)
- National interpretation, approaches and practices

The differences pose a challenge to States, and synergies are not always clear and therefore remain underutilized
What are common challenges expressed by States?

• **Key challenges identified:**
  • Reporting fatigue (frequency of reporting)
  • Lack of resources / capacity
  • Lack of information (i.e. inadequate recordkeeping system and/or modalities)
  • Lack of internal information verification means
  • Language challenges
  • Varying templates and information formats for similar information
  • Challenges to multi-stakeholder coordination at the national level
• Trends indicate **lower reporting participation in recent years**
Example trend from the ATT: Reporting on time

“41 per cent of States Parties that should have reported on their exports and imports actually did so [in time of the reporting deadline]” (as of 7 June 2017, 31 out of 75 States submitted report on time)

<table>
<thead>
<tr>
<th>Region</th>
<th>States Parties due to Report by 31 May</th>
<th>States Parties that have submitted reports</th>
<th>Regional reporting rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Africa</td>
<td>13</td>
<td>2</td>
<td>15%</td>
</tr>
<tr>
<td>Americas</td>
<td>20</td>
<td>2*</td>
<td>10%</td>
</tr>
<tr>
<td>Asia</td>
<td>1</td>
<td>1</td>
<td>100%</td>
</tr>
<tr>
<td>Europe</td>
<td>37</td>
<td>24**</td>
<td>65%</td>
</tr>
<tr>
<td>Oceania</td>
<td>4</td>
<td>1</td>
<td>25%</td>
</tr>
</tbody>
</table>

Note: WGTR presented during the CSP3 that, as of 13 September 2017, 64 per cent of the States Parties due to report provided their annual report (48 out of 75 States).
Example trend from the UN PoA: Frequency of reporting

Between 2002-2012, the number of reports submitted by States generally decreased after reporting three times.

Source: UNIDIR/SAS
Example trend from the UN ROCA: Trends in reports submitted over time

Gradual decrease in reports submitted can be observed from 2006

Source: UNODA
Example trend from the UN ROCA: Trends in reports submitted over time

By regions:

- **Africa**
- **Asia**
- **Latin America & Caribbean**
- **Western Europe**

Source: UNODA
Example trend from the UN PoA:
Trends in reports submitted over time: 2002-2017 (as of 25/01/2018)

- 169 States have submitted National Reports for far
- 861 National Reports available between 2002 – 2017

Source: UNIDIR/UNODA
Call to explore synergies

• “At the national level, organizational measures could be put in place that harness similarities or ‘synergies’ between different reporting requirements in order to improve reporting consistency, make reporting work more efficient, and minimise resource requirements” – Mandatory work and priority topics, ATT WGTR, Co-chair’s Draft Report to CSP3, 31 July 2017

• “To make use of, as appropriate, reporting under the Programme of Action in reporting under other instruments, including the 2030 Agenda for Sustainable Development and subregional and regional instruments, in order to minimize administrative reporting burdens”. – Way forward, Outcome document of the BMS6, UN Programme of Action on Small Arms, 2016

• “The Group [GGE] also made recommendations aimed at exploring synergies between the Register and other existing transparency instruments; enhancing the effectiveness of national points of contact; increasing the stability of national reporting mechanisms”
UNIDIR Project

Exploring Synergies in Reporting under Multilateral Conventional Arms Treaties and Instruments (2017-2018)

In cooperation with Stimson Center
Rationale

- The issue of reporting is often seen in a fragmented way, with each stakeholder operating under its own rules independently from others.

- A cross-cutting approach could help national authorities—without prejudice to the nature of reporting requirements and membership of instruments considered—to rationalize their reporting obligations and approach them in a more integrated manner, where synergies can be used in mutually reinforcing manner.
Objectives

Map obligations; Highlight synergies; and Identify opportunities

• To identify options and approaches to facilitate and strengthen reporting by States in the area of conventional arms, including SALW

• To provide guidance to States on converging sources of information, methods and approaches that can be used to facilitate reporting under various multilateral conventional treaties and instruments

• The project builds on previous work by Stimson Center, ATT-BAP, SAS
Scope of the project

- Four instruments: ATT; UN ROCA; UN PoA; FP
- Good practices and lessons learned from national, sub/regional and custodian experiences
- Synergies focusing on arms transfers controls
- Target audience:
  - To support States that are facing challenges to report
  - To facilitate States that are reporting to continue to do so with greater ease
Informal Expert Meeting
Exploring Synergies in Reporting under Multilateral Conventional Arms Treaties and Instruments
Areas explored

1. Presentation of Synergies in Reporting
2. Sources of information and recordkeeping
3. Methods to reporting
   i. User of templates and guidance
   ii. Coordination
   iii. Information sharing
4. Opportunities to enhance reporting
5. Reflection and way forward

Expert presentations & Group work
Source of Information

- Centralization versus decentralization of data
- **Type of data: actual versus authorized transfers**—this discussion included:
  - Discrepancies related to authorized transfer and actual transfers
  - National coordination to obtain data on actual transfers
- **Ownership of data**
- **National databases** often not purpose built for reporting
- **Challenges:**
  - Industry / economic actors
  - Discrepancy in reported data—Who should support?
  - Data collection on parts and components of conventional arms
  - Data that are confidential in nature and data de-sensitization
  - Data collection on open and/or general licenses
Methods to Reporting

• **National practices** identified:
  o A *national legislation* requiring the State to prepare and submit reports
  o Linking reporting obligations to *national strategy* related to arms control
  o Development and use of a *national paper that details the PoC and procedures*
  o A *dedicated national body* designed to internally monitor reporting obligations
  o A ‘*data-related conference*’ / national consultative process

• **Challenges:**
  o *Job rotation* of national staff
  o Internal versus external *reporting deadlines*
  o *Data collection* mechanism
  o National *inter-agency coordination*
Methods to Reporting

- **Custodian organizations’ reflections:**
  - Linking reporting interfaces: UNODA and OSCE reporting tool
  - Development of centralized reporting tool: SEECAS reporting tool
  - Enhanced reporting analysis platform: UNODA website (To be launched)
  - Examining reporting deadlines (ATT/ROCA) and frequency (PoA)

- **Challenges:**
  - Capacity and mandate to undertake tasks in the use of reported data, provide feedback or follow up
  - Lack of ‘big data’ platforms—but how to use?
  - Reporting template too open or too rigid?
Opportunities to Enhance Reporting

• **Use of reporting data:**
  - Review and **analysis of licenses**
  - *Conducting national assessments*—on risks, authorizations of licenses
  - *Comparative analysis of transfers* with neighboring States
  - *Bilateral consultations and follow up* with States on reported transfers
  - *Checks on compliance* and quality control
  - Identification of **international cooperation and assistance needs**
  - Identification of **priority areas for working groups and/or review cycles**

• **Useful practices:**
  - Development of a **reporting matrix** at the national level
  - **Technical follow up mechanism** from the custodian organization
  - **Institutionalization of point of contact**
  - Use of **information prepared for reporting to regional framework**
Opportunities to Enhance Reporting

• Ideas for feedback mechanism:
  o Technical feedback
  o Bilateral feedback mechanism
  o Feedback mechanism on international cooperation and assistance

• Ideas for diversion and reporting:
  o Reporting template for measures taken to address diversion
  o A national paper on how to report on measure taken to prevent diversion
  o Identification of synergies in reporting obligation related to diversion
  o Compilation of good practices to address diversion
  o Information exchange on roles and responsibilities on measures to prevent diversion
Opportunities to Enhance Reporting

• Ideas for incentives (positive and negative):
  o Naming and shaming
  o Assistance eligibility and/or prioritization based on compliance with reporting
  o Giving officeholders based on positive participation with reporting
  o Simplifying reporting templates and approaches via tools
  o Dedicated forum/platform for international cooperation and assistance
  o Clearer linkage between submitted reports to programmes of work of Working Groups / Review cycles
  o Using compliance to attract investments and economic growth

• Other ideas:
  • Reporting on ammunition
## Next steps

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<tr>
<th>Deliverables</th>
<th>Proposed Timeline</th>
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<tbody>
<tr>
<td>Informal Expert meeting</td>
<td>December 2017</td>
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<tr>
<td>Release of Synergies / Cross-walk Handbook</td>
<td>March 2018 (At UN PoA PrepCom)</td>
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<tr>
<td>Release of Informal Expert Meeting report with recommendations</td>
<td>March 2018 (At UN PoA PrepCom)</td>
</tr>
<tr>
<td>A side-event at the Preparatory Meeting of the Third Review Conference of the UN Programme of Action on Small Arms in March 2018</td>
<td>March 2018</td>
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Questions

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