



EUROPEAN UNION



UNITED NATIONS INSTITUTE  
FOR DISARMAMENT RESEARCH



MINISTRY OF FOREIGN  
AFFAIRS, MEXICO

**Promoting Discussion on an Arms Trade Treaty  
European Union–UNIDIR Project**

**Regional Seminar for Countries in  
the Americas and the Caribbean**

**18–19 June 2009  
Mexico City, Mexico**

**SUMMARY REPORT**

## Table of contents

<b><u>Introduction</u></b> .....	<b>1</b>
<b><u>Presentations and discussions</u></b> .....	<b>2</b>
Opening presentations .....	2
General overview of arms transfers and the proposed ATT .....	4
Regional perspectives on an ATT.....	5
Practical implications of an ATT.....	5
Human security and a possible ATT.....	6
Working groups and roundtable discussions .....	7
Closing session .....	7
<b><u>Recommendations and ideas</u></b> .....	<b>8</b>
Reducing armed violence—a priority to be reflected in a possible ATT.....	8
The need to build upon and further utilize existing regional arrangements .....	9
A universal, comprehensive and creative ATT.....	9
Challenges: ensuring global participation, remaining practical yet comprehensive and effective .....	12
Next steps: continued importance of regional-level involvement, broadening the debate.....	12
<b><u>General results</u></b> .....	<b>13</b>
<b><u>Next steps</u></b> .....	<b>14</b>
<b>Attachment 1—List of participants</b> .....	<b>15</b>
<b>Attachment 2—Seminar agenda</b> .....	<b>21</b>

## **Introduction**

The second regional seminar of the project implementing the decision by the Council of the European Union (2009/42/CFSP) “on support for EU activities in order to promote among third countries the process leading towards an Arms Trade Treaty, in the framework of the European Security Strategy”, adopted on 19 January 2009, was held in Mexico City on 18–19 June 2009. Directed to the countries of the Americas and the Caribbean, it brought together representatives from 25 of the 35 countries,<sup>1</sup> mostly from Ministries of Foreign Affairs and Defence, both from the capitals and from the countries’ representations to the United Nations in (see attachment 1)..

Following the launch in Geneva in February 2009, the United Nations Institute for Disarmament Research (UNIDIR) is implementing this project to promote the participation of all stakeholders in the discussions around an Arms Trade Treaty (ATT). The goal of the project is to integrate national and regional contributions to the international process underway and to contribute to identifying the scope and implications of a treaty on trade in conventional arms. In order to achieve this goal, the project aims to facilitate the exchange of views among states, regional organizations and civil society by encouraging discussions around different aspects of a possible international treaty on the conventional arms trade. These views will serve as an important input to current discussions on an ATT and support and stimulate related national, regional and international debates.

The agenda of the two-day seminar was developed both to give participants a general overview of an ATT, its background and actors, as well as scope and implications, and to gather ideas for further action, recommendations and suggestions to feed into the ATT process. The first day of the seminar heard presentations from several expert participants, while the second day was largely built around working group sessions and panel discussion.

Following the format of the first regional seminar, held in Dakar, Senegal on 28–29 April 2009,<sup>2</sup> this paper presents a narrative report of the seminar proceedings and discussions, as well as the ideas and suggestions put forward. It represents the impressions and views of the organizers at UNIDIR, based on their account of the presentations and discussions of the seminar. This report is not intended to be a consensus report, and it therefore does not necessarily represent the views of all seminar participants.

---

<sup>1</sup> Invited countries: 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, St Vincent and the Grenadines, Suriname, Trinidad and Tobago, United States, Uruguay and Venezuela.

<sup>2</sup> The report of the Dakar seminar is available on UNIDIR’s website at <[www.unidir.org/bdd/fiche-activite.php?ref\\_activite=447](http://www.unidir.org/bdd/fiche-activite.php?ref_activite=447)>.

## **Presentations and discussions**<sup>3</sup>

### **DAY 1**

#### **Opening presentations**

The Opening Session was chaired by Ambassador Juan Manuel Gómez Robledo, Undersecretary for Multilateral Affairs and Human Rights from the Ministry of Foreign Affairs of Mexico.

As the first speaker, Dr. Christiane Agboton-Johnson, Deputy Director of UNIDIR, thanked all participants and co-organizers, most notably the Ministry of Foreign Affairs of Mexico and the European Union, for their positive feedback and active cooperation. Before proceeding, the meeting observed a minute of silence to commemorate the tragic loss of three colleagues and friends involved in work to fight against armed violence and the illicit proliferation of small arms, who recently died in an airplane accident.

Coming back to the daily work and the seminar, Dr. Agboton-Johnson explained briefly the background, rationale and aims of the EU–UNIDIR project as well as the main outcomes of the first regional seminar, held in Dakar in April 2009. She noted that UNIDIR, together with the European Union, strongly believe that truly multilateral processes require multilateral participation and discussions in order to succeed. By implementing the project, UNIDIR, following its mandate, is promoting multilateral and comprehensive participation of all stakeholders so as to increase the awareness of relevant actors and to facilitate the exchange of views, concerning a possible ATT. Dr. Agboton-Johnson also noted that the seminar was being held during the Global Week of Action organised by the International Action Network on Small Arms (IANSA) , and reiterated the important role of Mexico in the UN Programme of Action on Small Arms and Light Weapons (SALW) process, especially because of the recent election of Ambassador Pablo Macedo Riba as the Chair-designate of the next Biennial Meeting of States (BMS), to be held in New York in mid-2010.

Mr. Fabio Della Piazza from the EU Council General Secretariat referred to the negative consequences of uncontrolled proliferation and accumulation of conventional arms, and highlighted the EU's commitment to establish a global regulatory system for the trade in such weapons. He stressed the importance of keeping the process towards an ATT as inclusive as possible, and called for states' active participation and discussions in the ongoing work of the Open-Ended Working Group (OEWG), which offers all stakeholders the opportunity to learn about the specific issues implicated in an ATT and express their national views. Mr. Della Piazza also briefly presented the instruments and agreements of the EU in relation to the arms trade, and confirmed the commitment of the EU to negotiate a comprehensive, legally binding ATT. He praised the existing regional examples of instruments regulating conventional arms transfer, such as the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials (CIFTA), and called for their full implementation.

---

<sup>3</sup> See the seminar's agenda, attachment 2.

Following the statement by UNIDIR and the EU, Ambassador Gómez Robledo made his official opening remarks, where he warmly welcomed all participants to Mexico City, and stressed the importance of the ATT initiative in combating the proliferation of illicit weapons and their negative consequences in the region. When referring to the history of active involvement of countries in the region in controlling illicit arms trafficking and organized crime, he noted that an ATT would not only permit better controls against illegal arms transfers, but would establish new, more responsible parameters for the arms trade, including with respect to human rights. Ambassador Gómez Robledo underlined the need for an ATT to be universal and comprehensive, and welcomed the seminar as a valuable opportunity to discuss further the proposed treaty's scope and content. He confirmed Mexico's commitment towards an ATT that would establish commitments for states to avoid irresponsible arms transfers, help combat diversions, and contain objective, transparent and non-discriminatory criteria, which would be applicable to both importers and exporters of arms.

Following the official opening remarks, Ms. Pamela Maponga from the United Nations Office for Disarmament Affairs presented the developments and processes within the United Nations related to the ATT initiative. She reminded all participants about the process so far towards an ATT within the United Nations, from the adoption of resolution 61/89 in 2006 to the ongoing work of the OEWG. She referred to draft parameters that many UN Member States are advocating to be part of an ATT, and also discussed views exchanged regarding a treaty's feasibility and possible scope. With regard to the OEWG, Ms. Maponga pointed out that although states still have divergent views about an ATT, the fact that all states seem to be in agreement that something needs to be done regarding the conventional arms trade is most encouraging. She noted that the complexity of the issues at hand will need careful and serious consideration, and called for continued discussions in the OEWG, especially on those issues that pose challenges to the potential treaty.

Finally, Mr. César Marín Martínez from IANSA made a statement regarding civil society's contribution to the ATT process in the Americas and the Caribbean. He pointed to the fact that this is the region suffering most from the negative consequences of armed violence. However, he also stressed the great interest and activity of states in the region to combat these problems, and that these states have come to the realization that national or regional action to address these issues is insufficient. Mr. Marín Martínez stressed a global binding treaty on the international trade in conventional arms is vital to reducing the impact of these weapons. But to minimize the suffering caused by the uncontrolled proliferation of these weapons, Mr. Marín Martínez argued that an ATT must have comprehensive scope and strong parameters. He called these parameters the "Golden Rules". Civil society's golden rules are that a transfer should not be authorized if there is a substantial risk that the weapons will be used to commit serious violations of international human rights or humanitarian law, or undermine socio-economic development. He underlined the call from civil society for states' global responsibility over arms transfers and the need to agree a strong and effective treaty that could save lives.

## **General overview of arms transfers and the proposed ATT**

Mr. Mark Bromley from the Stockholm International Peace Research Institute (SIPRI) gave the participants an overview of the scale and nature of the international arms trade, both globally and especially with regard to the Americas and the Caribbean. According to SIPRI, the Americas, compared with Asia and the Middle East, have long been a minor destination for conventional arms transfers, accounting for 11 per cent of global imports over the last five years. The region is dominated by the United States, which in 2008 accounted for over 40 per cent of global military spending. In South America there has been a significant increase in military spending, with a 50 per cent increase in the past decade that, according to him, is largely a result of the recent high prices of commodities, which have boosted the revenues of some countries in the region. Many countries in the Americas are also currently undergoing military reforms. Mr. Bromley commended the states of the region for making significant strides in developing mechanisms to build trust between each other and to combat the illicit trafficking of SALW. However, according to the speaker, the implementation of these agreements has often left much room for improvement. Finally, Mr. Bromley noted that an ATT should not duplicate, but rather complement, existing mechanisms at the regional level, particularly within the Americas, and that one of its most promising aspects would be the potential to advance international norms of transparency, effective transfer control systems, and responsible decision-making in transfer licensing requests.

Ms. Carolyne-Mélanie Régimbal from the United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UN-LIREC), discussed arms transfers and their impact on security in the Americas and the Caribbean. As previous presenters, her comments also revolved around the tremendous negative consequences of illicit trade and proliferation, especially of SALW in the region, which have resulted in continuously rising levels of armed violence and criminality, especially in large urban areas and among young men. She quoted the Small Arms Survey, according to which there are between 45 and 80 million firearms in the region. Ms. Régimbal highlighted the importance of addressing not only the transfers of weapons but also ammunition, and to improve their controls together with those of home-made weapons. She also referred to the complexities related to the functions and controls over private security companies, which in some instances have contributed to insecurity and violence in the region, and called for improved controls against diversion of trade through insecure stockpiles.

Ms. Elli Kytömäki from UNIDIR gave a presentation about the possible parameters, scope and implications of the proposed ATT. The special nature of trade in arms and related equipment sets it in a unique position as compared to the trade in many other commodities. Also, the increased complexity of trade relations in the past years, as well as the already existing web of national, regional and international regulations related to arms trade, have set specific requirements to controlling the arms trade. In this regard, she noted that in general states agree that with this growing complexity, global regulations are needed. Following the points made by some previous speakers, Ms. Kytömäki also underlined the need for an ATT to be universal, and based on objective and agreed global criteria that reflect the respective responsibilities of exporters and importers. At the same

time, she warned about the dangers of setting the bar too high, and noted that drafting a very long and detailed treaty text might prove counter-productive, in making it very difficult for states to join and to implement. Finally, Ms. Kytömäki referred to the importance of thinking about the implementation of the future treaty already at this stage of discussions, and mentioned provisions of information-sharing and -exchange, reporting mechanisms, and international cooperation and assistance as issues that should be further considered.

### **Regional perspectives on an ATT**

The second substantial session of the seminar concentrated on regional perspectives relevant to an ATT. As the first presenter, Dr Abraham Stein from the Secretariat of the Organization of American States (OAS) presented the Organization's work related to controlling the transfers of arms. The focus of his presentation was on CIFTA, which has been in force since 1998. He noted that at the moment, CIFTA has been ratified by 30 OAS member states, and a further four ratifications are expected shortly. Dr Stein also highlighted some of the main aspects of CIFTA relevant to the proposed ATT, namely the definition of items included in the Convention, and introduced the mechanisms in place to ensure its implementation, namely the Consultative Committee and the Conferences of States Parties to the Convention.

Ms. Myriam Vasquez Gonzalez from the Central American Small Arms and Light Weapons Control Programme (CASAC) gave a presentation about the Programme's activities and their relevance to an ATT. CASAC, a joint programme of the United Nations Development Programme (UNDP) and Central American Integration System (SICA), is an initiative that emerged in Central America to strengthen citizen security, by addressing the challenges for the prevention and reduction of armed violence, and to diminish crime levels in the region. Ms. Myriam Vasquez Gonzalez highlighted the crucial importance of addressing armed criminality, its links with drug trafficking and the trafficking of weapons, and the impact of globalization on criminality. She noted, for example that between 50 and 82 per cent of homicides and murders in Central American countries are committed with firearms. Ms. Vasquez Gonzalez gave an overview of these factors in CASAC's operating region, with special emphasis on high levels of armed criminality and homicides. With reference to established frameworks in the region to combat these problems, she discussed work already done in revising legislation, promoting a culture of peace and undertaking weapons collection and destruction programmes, and highlighted the importance of the regional Code of Conduct on the Transfer of Arms, Ammunition, Explosives and Other Related Material, which established common guidelines for countries in the region with regard to their arms transfer decisions.

### **Practical implications of an ATT**

The last session of Day 1 of the seminar concentrated on the more practical aspects of the proposed ATT, by looking at an example of operationalizing arms transfer criteria from

the European Union, and by hearing the views of an industry representative regarding the ATT initiative and its possible implications.

Mr. Ulf Lindell, from the Ministry for Foreign Affairs of Sweden, presented the EU Common Position Defining Common Rules Governing the Exports of Military Technology and Equipment, which was adopted by the European Union in 2008. The Common Position supersedes the EU Code of Conduct on Arms Exports. Mr. Lindell presented the eight criteria included in the Common Position, and discussed the mechanisms in place to ensure effective implementation. He mentioned the annual EU reports and member states' national reports, exchanges of information and consultations on denials, as well as regular discussions about potential or actual recipients of arms from the EU and the network of contacts among European export control officials. It was noted that the Common Position, and previously the Code of Conduct, had contributed significantly to the harmonization of national arms export control policies of the EU member states.

Mr. Andrew Wood, as an industry representative, provided the participants with an industry perspective on the process towards an ATT. He stressed the importance of including industry from all regions in the discussions about an ATT. Noting that the arms industry is already heavily regulated, he pointed to the current uneven landscape of these regulations, which from an industry point-of-view provides one of the key arguments in support of a global ATT. Mr. Wood discussed the questions of *what* an ATT could or should control, and noted that an even more challenging question will be related to *how* transfers of these goods and technologies are controlled. He called for the broadening of the debate and thinking around an ATT, which challenges the UN to address the inter-relationships between conflict, poverty, development, human rights and trade in a completely novel manner. Finally, Mr. Wood listed some observations made by industry with regard to a possible ATT, referring among other things to the importance of a clear and simple definition of transfers, the need to strive for preventing undercutting and leveling of the playing field, reducing unnecessary bureaucracy involved in arms transfers, and working towards better consistency in export licensing decisions.

Presentations were followed by question and answer sessions and general discussion in the plenary session.

## **DAY 2**

### **Human security and a possible ATT**

On the morning of Day 2, participants heard presentations by international expert participants.

First, Ms. Elsa Marisol Alonzo de Valenzuela, representing El Instituto de Enseñanza para el Desarrollo Sostenible (IEPADES), discussed human security and a possible ATT, giving a regional civil society perspective from the Americas and the Caribbean. Following the theme of Day 1, also she pointed to the huge impact of armed violence on



individuals and societies in the region, and discussed the negative consequences of illicit trade in SALW on youth, and urban criminality and transborder criminal activities. By presenting some examples of problems caused by illicit weapons for the functioning of the educational system and development in general, she discussed ongoing programmes in some countries in the region, and highlighted the need to improve controls over the transfer of SALW.

Ms. Nathalie Weizmann from the International Committee of the Red Cross (ICRC) presented the ICRC's views on the proposed ATT, especially from the point-of-view of international humanitarian law (IHL). By referring to UN resolutions on the subject as well as to the Geneva Conventions, she discussed the norms of IHL, reminding the participants that they apply to all types of conflicts and concern all parties to conflict, whether states or non-state actors. She underlined states' responsibility to respect IHL, and also to ensure its respect in cases where the state in question is not directly party to a conflict. Taking examples from the Americas and the Caribbean, she listed and presented key existing regional commitments on this issue. Finally, to help states to apply IHL criteria in their arms transfer decisions, Ms. Weizmann presented the ICRC Practical Guide on this subject, and gave examples of the kinds of considerations that, in the ICRC's view, states should undertake when considering arms transfer authorizations.

### **Working groups and roundtable discussions**

Apart from the first morning session, Day 2 of the seminar was built around working group sessions and roundtable discussions, to allow participants to express further their views and ideas and to discuss different issues relevant to a possible ATT.

Participants were divided into three groups that were asked to think about four central issues around an ATT and come up with opinions, ideas and suggestions. Issues discussed included participants' ideas about the most important common principles (parameters) for an ATT, its scope, and the best ways to ensure the effective and constructive contribution of existing regional agreements to an ATT. Finally, participants were also asked to think about the next steps in the ATT process nationally, regionally as well as internationally, and to come up with concrete ideas and means to implement them.

Priority issues and concerns discussed in the working groups and during the roundtable session on the next steps are summarized in the "Recommendations and ideas" section of this report. Overall, participation in the working groups and the following plenary discussions was very lively and resulted in concrete suggestions that hopefully will be reflected in the following international discussions.

### **Closing session**

The closing session was chaired by Ambassador Gómez Robledo. In his remarks, the Ambassador noted that deliberations during the seminar reminded all participants of the complexity and multidimensionality of the ATT process and highlighted the importance of

continuing an open and constructive dialogue to identify areas of convergence. According to Mexico, an ATT would be a useful tool for states to guarantee that arms transfers would be conducted in a fully responsible manner and that both importer and exporter states, as well as private entities, would become aware of their responsibilities. Finally, Ambassador Gómez Robledo confirmed Mexico's desire for the global community to take concrete steps and work towards establishing global and legally binding obligations to prevent irresponsible arms transfers, and to establish objective, transparent and non-discriminatory measures to grant legal certainty to importers and exporters, to avoid diversion to the illicit market and to promote the sense of shared responsibility.

Dr. Christiane Agboton-Johnson stressed again the important and fruitful cooperation between UNIDIR, the European Union and host country Mexico in organizing the seminar, thanked everyone involved, and noted that the discussions during the two days had highlighted many priority issues for the region and gave food-for-thought for future discussions. Ms. Elli Kytömäki then gave a short summary presentation of the seminar's proceedings and discussions. Ms. Katerina Sequensova, representing the Czech Presidency of the European Union, ensured all participants of the priority that the Czech Presidency, as well as the incoming Swedish Presidency, attach to the issue of an ATT, and joined many other speakers in stressing the importance of active and functioning regional approaches, such as in the Americas, in support of the global process. She also extended her thanks to UNIDIR and host country Mexico.

Immediately after the closing session, a press conference was held to report the general outcomes of the seminar and to allow for media representatives to ask questions. Over 30 press agencies were invited to attend and a great number participated in the press conference, asking especially about the current situation in the Americas regarding arms transfers and the illicit arms trade, and how an ATT could be a solution. The current and potential role of the United States also provoked some questions.

## **Recommendations and ideas**

The following is a compilation of ideas and recommendations put forward during the seminar presentations and discussions. While not necessarily fully consensual, these issues seemed to attract general support and acceptance among seminar participants and could be used to feed into and support the ongoing international discussions on an ATT from the regional perspective of the Americas and the Caribbean.<sup>4</sup>

### **Reducing armed violence—a priority to be reflected in a possible ATT**

Human security and the human dimension of armed violence were highlighted by several participants and presenters during the seminar as one of the priority areas of concern in the Americas. Many speakers noted especially the problems caused by increasing urban

---

<sup>4</sup> Attendance of Caribbean states in the seminar was very limited, so caution should be exercised with regard to references to this region.

armed violence and organized crime, often linked with problems related to trafficking in drugs and SALW.

SALW and associated ammunition were especially noted in this regard to be of primary importance, and participants referred to the need to include comprehensive categories of SALW and ammunition in the potential ATT. At the same time, however, some participants expressed concern that issues related to armed violence, its full causes and consequences have not yet been adequately studied, and that an overly wide-ranging draft treaty would be more difficult for states to agree on.

### **The need to build upon and further utilize existing regional arrangements**

There was a general call from participants for lessons to be drawn from existing regional arrangements to see how they have been implemented. Similarly, many called for more research into why current regional agreements may not have been fully or adequately implemented. Based on this research, we should try to understand current deficiencies at the regional level so as to avoid them globally.

In addition to regional arrangements being mentioned as examples and indicators for a global draft treaty, participants also noted that regional approaches can be very useful, for example, in the process of harmonizing legislation on arms exports, imports and registration.

Many stressed that regional-level action in controlling the arms trade should be further enforced, in coherence with international processes. The discussions also highlighted the potential that existing regional agreements have as instruments that can feed into and help inform the development of an ATT. In particular, fruitful discussion was heard about the lessons that can be drawn from work done in the Americas in terms of CIFTA and other agreements, as well as within the European Union.

In terms of links between regional arrangements and an ATT, some participants noted that a future treaty could perhaps be tailored according to regions and regional specificities. It was also noted that a treaty should take into account and reflect regional specificities and priorities.

### **A universal, comprehensive and creative ATT**

In all working groups and during the plenary discussions, there seemed to be a general call for an ATT to be universal and legally binding.

Among other things, it was noted that an ATT should be global, since global problems require global solutions. Currently there are still several countries that are not part of any regional or international instruments governing arms transfers, and therefore, while regional approaches are also of vital importance, they cannot provide a comprehensive and effective solution to the issues at hand.

There seemed to be consensus for the need to base the parameters of a treaty on already existing commitments under international law, such as the UN Charter and Security Council arms embargoes. Many participants called for the inclusion of IHL principles in an ATT. While there was general agreement on many of the issues on the table at a general level, views became more diversified the more into detail the discussion went.

There was wide-spread support for the 7+1+1 categories of weapons and equipment as a basis of an ATT. However, many participants pointed to the resultant gap that this way of defining the treaty's scope would leave, and called for more comprehensive categories and further elaboration on this question. At the same time it was noted that a "light treaty" without, for example, long detailed lists of weapons categories would be both easier to negotiate and remain more flexible to future developments.

Several states underlined the need to include ammunition in the scope of an ATT, and noted that transfers of ammunition are of crucial importance to the region since they greatly contribute to regional problems. Some pointed also to the need of including parts and components. The concrete ways in which comprehensive categories could be included in an ATT were also discussed.

Many participants called for comprehensive definitions of activities and transactions to be covered in a treaty, including imports, exports and transfers, but also a wide variety of other activities, with special emphasis on national licensing procedures. Reference was also made to the need to include brokering controls, as well as regulations controlling transfers of arms to non-state actors. Many participants reconfirmed that a treaty should not address internal transfers of arms.

However, in some working group discussions contrasting views about the nature and impact of a possible ATT were expressed, which some participants noted to be a practical example of how challenging it will be to agree on a global treaty.

Finally, many participants noted that discussing the idea of an ATT is posing new challenges to everyone involved. Unlike some other related documents and agreements negotiated in previous years, an ATT would not be a traditional disarmament or arms control treaty, because of the characteristics of the issue at hand. This will require all involved actors to keep thinking creatively and outside the box of already existing arms control instruments.

Main responsibility in negotiating and later implementing an ATT will remain with states' national authorities, and many participants stressed the responsibility of states to introduce effective national controls on arms transfers as crucial to the success of an ATT. In discussions around an ATT, some noted the need to keep in mind the primary role of state responsibility, as well as principles of sovereignty and states' inherent right to self-defence.

## **Wide participation base is crucial, and more coordination is needed**

It was widely noted among the participants that the discussions and negotiation process towards an ATT have to stay comprehensive and include all relevant stakeholders, comprising not only states but also other actors, such as industry and civil society. In this regard, the EU–UNIDIR project on broadening the discussion base was very much welcomed. At the same time, in the context of the seminar, and as a practical example of difficulties related to actually encouraging wide participation, it was noted with regret that attendance from the Caribbean sub-region was very limited despite active efforts to engage these states in the discussions. However, the participants present from the region gave valuable inputs to the discussions, highlighting priority issues in their region.

Furthermore, many participants acknowledged the need to further improve and strengthen coordination and cooperation between organizations in different regions working on similar issues related to the arms trade. It was also noted that further links should be established between actors involved in the ATT process and institutions and people working on other, related processes, such as the Ottawa Convention on anti-personnel mines and the Geneva Convention on Armed Violence. In terms of the possible ATT, it was noted several times that an ATT should be consistent with other related instruments, which further underlines the importance of coordination with other actors.

## **Transparency of arms trade of primary importance**

Transparency measures that could or should be included in an ATT were noted by several participants as extremely important; transparency was the foremost issue discussed in terms of a treaty's implementation phase. However, some participants referred to the sensitivity of information related to the arms trade, which was noted possibly to hamper monitoring as built into a treaty. Also, reference was made to potential duplication with already existing transparency instruments, such as the UN Register of Conventional Arms, and it was noted that this should absolutely be avoided, as should unnecessary burden from states' reporting requirements.

## **Need to stay realistic and move towards concrete objectives**

During the discussion, many participants pointed out that matters of implementation should be considered at the earliest possible phase in the ATT process, even if there are several issues that remain under consideration and are being defined.

With regard to the issue of definitions it was noted that negotiating detailed lists of, for example, types of weapons that could or should be covered in an ATT might prove unrealistic, and many participants called for the need to remain realistic and ensure that the types of weapons and equipment to be included in a treaty would remain quickly adaptable to possible future modifications. Some referred to an ATT as a “common language on arms transfers” that could be open and general enough to remain flexible to national systems and regional considerations.

**Challenges: ensuring global participation, remaining practical yet comprehensive and effective**

The issue of definitions and deciding between a “heavy” and “light” ATT was discussed as one of the main challenges ahead in the process leading towards negotiations. In this regard it was also noted that a possible challenge, even given that common definitions could be agreed, might be related to commonality of interpretation of the treaty’s clauses and commitments.

Participants also discussed the differences between deciding *how* to control transfers through an ATT, and *what* could or should be covered. In this, both normative and technical considerations were noted, and some pointed out that technicalities of a treaty might in the end prove more challenging than the normative or political aspects. Therefore, it was acknowledged that more thought should be given to technical details of the proposed treaty even at this relatively early stage of the process.

**Next steps: continued importance of regional-level involvement, broadening the debate**

Discussion about next steps in the ATT process brought forward proposals and ideas for national, regional and international level action.

At the national level, it was noted that the role of national commissions should be strengthened, and the participation base of the ATT process should be widened from technical experts and arms control/disarmament diplomats to other communities. More thought has to be given to finding the right channels of influence. As a concrete proposal, some participants called on countries to organize more events with high-level policymakers and parliamentarians, as well as civil society, to further the ongoing dialogue. The involvement of practitioners, whose work an ATT will ultimately affect, was highlighted on several occasions as crucial.

At the regional level, high importance was placed on the continued active involvement of regional organizations, and regional consultations in the process. It was noted that regional support to the OEWG Chair should be strengthened. Enhancing regional-level involvement would help ensure that the specific realities and concerns of different regions feed into to the ATT process. Furthermore, it was noted that examples of assistance and cooperation arrangements for an ATT could be drawn from regional agreements.

At the international level, the need to broaden the participation base was again affirmed. Furthermore, the need to get and keep states firmly committed to the ongoing discussions, and to later implementation of an ATT, was stressed. In concrete terms, the ongoing OEWG was seen as a natural place to continue and enhance this involvement.

## **General results**

The second regional seminar of the EU–UNIDIR project in Mexico City was very successful and fully met the goals set for this activity. Twenty-five states from the region sent participants to the seminar, mostly from Ministries of Foreign Affairs and Defence. The level of participation was high: the seminar was opened and closed by the Deputy Minister of Foreign Affairs of Mexico, and was attended by several senior-ranking officers from the host country as well as from the other countries in the region. Furthermore, representatives of the United Nations, the Organization of American States, as well as representatives of the Czech Presidency of the European Union and the EU Council General Secretariat, took part in the seminar. In addition to regional and expert participants, the opening and closing sessions of the seminar were attended by several diplomatic representations in Mexico City, as well as by numerous journalists.

The seminar attracted wide media attention in Mexico and in the region. The seminar's opening and closing sessions were open to all interested parties, including press representatives, and a press conference was held immediately following the seminar's closing. In addition to newspaper coverage, the seminar was also covered in news reports on national television on 18–19 June, and on radio. Audio files of the presentations were recorded and will be made available on UNIDIR's website.

During the two-day seminar, the presentations gave a comprehensive overview of the issues relevant to arms transfers, human security and the proposed ATT in the Americas and the Caribbean, together with regional initiatives. Discussions following the presentations, as well as during the working group sessions, brought up additional aspects, comments and questions, many of which are extremely relevant to the debate at the international level and should be further elaborated and deepened in other fora.

Participants received USB memory sticks with extensive background material relevant to an ATT, both in English and in Spanish. This additional material, together with information brochures, publications and other hard copy materials made available during the seminar, were very well received and will be useful for the next steps of the process.

Based on the comments received from participants through anonymous feedback forms, most representatives were well aware of the ATT process before attending the seminar, as participants are attending the OEWG. Still a large majority of participants noted that their knowledge on an ATT significantly improved as a result of the seminar. Feedback regarding the agenda, the presentations and regional specificities discussed was overwhelmingly positive, and most participants also found the food-for-thought questionnaire sent before the seminar to help in the preparations as very useful. Despite some participants' heavy previous involvement in the ATT process, it seems that the seminar helped almost everyone to establish new contacts with colleagues in other countries working on ATT-related issues, and a great majority believed that their participation in the seminar will improve the contribution of their state to the ATT process at national, regional and international levels.

In conclusion, this second regional seminar of the EU–UNIDIR project confirmed that armed violence and proliferation of illicit arms, especially in post-conflict situations, remain issues of priority concern for the region. Armed criminality and armed violence, often in conjunction with other criminal activities such as drug trafficking, have grave impacts across the region. At the same time, there is strong political will and commitment among the countries in the region to address these problems and improve controls over the trade of conventional arms. This is demonstrated by the large number of initiatives launched and functioning in the region; something that will undoubtedly provide great inspiration for the development and later implementation of an ATT.

During the seminar discussions, participants highlighted the need to ensure that countries maintain the right to self-defence, at the same time calling for an international, legally binding ATT to improve controls over arms trade. This call was especially strong in countries and parts of the region that remain heavily affected by armed violence and criminality, and that are in post-conflict phases. SALW were named the main weapons of concern in these instances.

The specific recommendations and ideas from the seminar underline the importance of regional approaches to the ATT process. In order for the process to remain inclusive, further debates at the regional and international levels are needed, with the participation of the widest possible set of stakeholders.

### **Next steps**

After the first two regional seminars, UNIDIR has continued the organization of the remaining four regional seminars, to be organized for states in the Middle East, Asia and the Pacific, and Europe within the next 12 months. All the regional seminars will follow the same general structure, while remaining flexible to regional specificities, interests and circumstances.

In order to better feed into the international debate, UNIDIR will participate in an event organized by the EU Presidency during the second meeting of the OEWG in New York, 19 July 2009, and will be attending the whole session. Furthermore, as specified in the project implementation plan, a side event will be held in the margins of the First Committee in October (the Sixty-fourth Session of the General Assembly). A final seminar to present the overall results of the project will be organized in February 2010.

Summary reports from all the regional seminars outlining discussions, ideas and recommendations put forward for an ATT will be made available online. A final report compiling the summary reports of the regional seminars will be produced and presented for comments at the concluding seminar, and made available online.



## ATTACHMENT 1

### LIST OF PARTICIPANTS

#### Countries

Argentina	Maria MARTINEZ-GRAMUGLIA Counsellor, Mission of Argentina to the United Nations, New York
	Maria Pia DEVOTO Adviser
Belize	Elton BENNETT Logistics Officer Belize National Coast Guard
Bolivia	Guido GONZÁLEZ PAZ Desk Officer in charge of Disarmament Ministry of Foreign Affairs
Brazil	Fabio Meira de Oliveira DIAS Second Secretary, Division for Disarmament and Sensitive Technologies Ministry of External Relations
Canada	Kimberly-Lin JOSLIN Coordinator, SALW Ministry of Foreign Affairs
	Mi NGUYEN Canadian Embassy, Mexico City Ministry of Foreign Affairs
Chile	Raul ELGUETA GONZÁLEZ Counsellor, Directorate of International and Human Security Ministry of Foreign Affairs
Colombia	Betty ESCORCIA-BAQUERO Minister Plenipotentiary Mission of Colombia to the United Nations, New York
Costa Rica	Luis Alberto CORDERO Special Ambassador Ministry of Foreign Affairs
	Randolph COTO ECHEVERRÍA Coordinator, International Forum of Disarmament Ministry of Foreign Affairs

Cuba	Juan SOSA MARÍN Expert on Disarmament Ministry of Interior
Dominican Republic	Julio SANCHEZ SUERO Arms and Explosives Department Dominican Armed Forces
Ecuador	Lourdes PUMA Director General for Multilateral Affairs Ministry of Foreign Affairs, Trade and Integration
El Salvador	Lt. Cnel. Juan Carlos VALENCIA CARIAS Military Official Ministry of National Defence
Guatemala	Monica BOLAÑOS Counsellor, Permanent Mission of Guatemala to the United Nations, New York
	Carlos AVILA Deputy Director, International Humanitarian Law Department Ministry of Foreign Affairs
Honduras	German VELASQUEZ Director, Human Rights Department Armed Forces
Jamaica	Jodi Ann PAULWELL Senior Legal Officer Ministry of National Security
Mexico	Juan Manuel GÓMEZ ROBLEDÓ Undersecretary for Multilateral Affairs Ministry of Foreign Affairs
	Joel HERNANDEZ GARCIA Legal Adviser of the Ministry of Foreign Affairs
	Pablo MACEDO RIBA Director General for the United Nations Office Ministry of Foreign Affairs
	Julián JUARÉZ CADENAS Deputy Director General for International Security Ministry of Foreign Affairs

Col. Cirilo MONDRAGÓN RIVERO  
Chief of the Deputy Section of Public  
Security  
Ministry of Defense

Roberto DONDISCH  
Senior Adviser to the Deputy Minister for  
Multilateral Affairs  
Ministry of Foreign Affairs

Marlen GÓMEZ VILLASEÑOR  
Director for International Security  
Ministry of Foreign Affairs

Jessica CASCANTE  
Deputy Director for International Security  
Ministry of Foreign Affairs

Perla FLORES  
Disarmament Affairs  
Permanent Mission of Mexico to the United  
Nations

Avigai VARGAS TIRADO  
Center for Intelligence Against Crime  
Roberto CORONA GUZMÁN  
Deputy Director for Analysis of Multilateral  
Commercial Policy, Ministry of Economy

Janet SALAS MELÉNDEZ  
Customs Deputy Administrator

Nicaragua

Mario CASTELLÓN DUARTE  
Deputy Representative to the United Nations  
Ministry of Foreign Affairs

Panama

Leoncio HERNANDEZ  
Director on Duty  
Ministry of Foreign Affairs

Paraguay

Luis BENITEZ RODRIGUEZ  
Second Secretary, Permanent Mission of  
Paraguay to the United Nations, New York

Peru

Alexis AQUINO ALBENGRIN  
Counsellor, Permanent Mission of Paraguay  
to the United Nations, New York

Suriname	Danielle VEIRA Head of the Division of International Organizations Ministry of Defence
Trinidad and Tobago	Patrick GOMEZ Staff Officer II Finance Defence Forces
United States	William KULLMAN Executive Assistant to Assistant Director Bureau of Alcohol, Tobacco and Firearms  William MALZAHN Acting Director, Office of Conventional Arms Threat Reduction, Bureau of International Security Department of State
Uruguay	Federico PERAZZA Minister Counsellor, Permanent Mission of Uruguay to the United Nations, New York
Venezuela	Liseth ANCIDEY Third Secretary, First Committee Expert Permanent Mission of Venezuela to the United Nations, New York
<b>Other participants</b>	
Civil society	César MARIN MARTINEZ Control Arms Campaign Consultant  Marisol ALONZO IEPADES Sabrina MOWLAH-BAKSH Political Assistant, Penal DEBE Regional Corporation
ICRC	Nathalie WEIZMANN Legal Adviser Arms Unit, Legal Division
CASAC	Myriam VASQUEZ GONZALES Principal Technical Officer  Miguel BARREIRO LAREDO Programme Coordinator
OAS	Abraham STEIN Deputy Secretary for Multidimensional Security

ODA	Pamela MAPONGA Senior Political Affairs Officer
SIPRI	Mark BROMLEY Researcher
UN-LiREC	Carolyne-Mélanie RÉGIMBAL Deputy Director
Industry	Andrew WOOD Director, Strategic Export Controls, Rolls Royce
Swedish Expert	Ulf LINDELL Deputy Director Dept. For Disarmament and Non-Proliferation Affairs, Stockholm
EU Council Secretariat	Fabio DELLA PIAZZA Secretariat of the Council of the European Union
EU Presidency	Katerina SEQUENSOVÁ Czech Presidency of the European Union
	Malcom RUSSELL Friend of the EU Presidency Deputy Head, Arms Trade Unit Counter Proliferation Department FCO
EC Delegation Mexico	Isaac VALERO Delegation of the European Commission in Mexico
<b>UNIDIR Participants</b>	
UNIDIR	Christiane AGBOTON-JOHNSON Deputy Director
UNIDIR	Elli KYTÖMÄKI Project Manager
UNIDIR	Catherine DÉLICE Assistant Project Officer



## ATTACHMENT 2

### AGENDA

#### Wednesday, 17 June 2009

During the day: arrival of participants

19:00–20:00 Registration at Hotel Sheraton

#### **DAY 1**

#### Thursday, 18 June 2009

08:30–09:00 **Registration**

09:00–10:45 **Opening Session**

Chair: Christiane Agboton-Johnson, United Nations Institute for Disarmament Research

Keynote addresses:

Amb. Juan Manuel Gómez Robledo  
Undersecretary for Multilateral Affairs and Human Rights  
Ministry of Foreign Affairs, Mexico

Fabio della Piazza, Office of the Personal Representative of the High  
Representative on Non-proliferation of Weapons of Mass Destruction, Secretariat  
of the Council of the European Union

Presentations:

*Developments and Processes within the United Nations*  
Pamela Maponga, UN Office for Disarmament Affairs, New York

*Civil Society's Contribution to the ATT process in the region*  
César Marin, International Action Network on Small Arms, Bolivarian Republic  
of Venezuela

10:45–11:00 Coffee break

11:00–13:00 **SESSION I: General overview of arms transfers and the proposed ATT**

Chair: Katerina Sequensová, Czech Presidency of the European Union

*Overview of Arms Transfers – globally and in the region*

Mark Bromley, Researcher, Stockholm International Peace Research Institute

*Arms transfers and their impact on security in Americas and the Caribbean*

Carolyne-Mélanie Régimbal, Deputy Director, United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean

*Parameters, scope and implications of an arms trade treaty*

Elli Kytömäki, United Nations Institute for Disarmament Research

Discussion.

13:00–14:30 Lunch at seminar venue

14:30–16:15 **SESSION II: Regional perspectives on an ATT**

Chair: Amb. Joel Hernandez, Legal Adviser, Ministry of Foreign Affairs, Mexico

*Organization of American States and a possible ATT*

Abraham Stein, Director on multidimensional policies and programmes, OAS Secretariat

*Central American Integration System – SALW programme and the regional Code of Conduct*

Myriam Vasquez, UNDP/SICA – CASAC Programme

Discussion.

16:15–16:30 Coffee break

16:30–18:00 **SESSION III: Practical implications of an ATT**

Chair: Fabio della Piazza, Office of the Personal Representative of the High Representative on Non-proliferation of Weapons of Mass Destruction, Secretariat of the Council of the European Union

*Example of operationalizing arms transfer criteria – EU Common Position*

Ulf Lindell, Ministry of Foreign Affairs. Sweden

*Industry perspective to an ATT*

Andrew Wood, Director, Strategic Export Controls, Rolls Royce plc

18:15–19:30 **Reception hosted by the Ministry of Foreign Affairs of Mexico**



## DAY 2

### Friday, 19 June 2009

09:30–11:00 **SESSION IV: Human Security and a Possible ATT**

Chair: Amb. Pablo Macedo Riba, Director General for the United Nations Office,  
Ministry of Foreign Affairs, Mexico

*Human Security and a possible ATT: Regional Perspective from the Americas and  
the Caribbean*

Elsa Marisol Alonzo de Valenzuela, IEPADES, Guatemala

*ATT and International Humanitarian Law*

Nathalie Weizmann, International Committee of the Red Cross

Discussion.

11:00–11:15 Coffee break

11:15–13:30 **SESSION V: Simultaneous working group sessions: further exploration of an  
ATT – regional perspectives**

13:30–15:30 Lunch at conference venue

15:30–17:00 **SESSION VI: Roundtable – Next Steps:  
Gathering ideas, recommendations and suggestions**

Chair: Fabio della Piazza, Office of the Personal Representative of the High  
Representative on Non-proliferation of Weapons of Mass Destruction, Secretariat  
of the Council of the European Union

Presentation of results from the working groups: priorities, challenges and the way  
forward.

Discussion.

17:00–17:30 **Closing Session**

Chair: Amb. Juan Manuel Gómez Robledo  
Undersecretary for Multilateral Affairs and Human Rights  
Ministry of Foreign Affairs, Mexico

*Summary of the seminar discussions*  
Elli Kytömäki, United Nations Institute for Disarmament Research

Closing remarks:

Christiane Agboton-Johnson, United Nations Institute for Disarmament  
Research

Katerina Sequensová, Czech Presidency of the European Union

17:30–18:00 **Press Conference**