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Subject: Twelfth Progress Report on the implementation of the EU Strategy to Combat
Illicit Accumulation and Trafficking of SALW and their Ammunition - (2011/II)

Delegations will find enclosed the twelfth Progress Report on the implementation of the EU Strategy to combat Illicit Accumulation and Trafficking of Small Arms and Light Weapons (SALW) and their Ammunition - (2011/II), as endorsed by the Foreign Affairs Council on 27 February 2012.

**Twelfth Progress Report on the implementation of the EU Strategy to
Combat Illicit Accumulation and Trafficking of SALW and their Ammunition - (2011/II)**

I. INTRODUCTION

The twelfth progress report on the implementation of the SALW Strategy covers EU activities during the second half of 2011. The report was prepared by the EEAS Department for non-proliferation and disarmament, in cooperation with other relevant EEAS and European Commission services. During the reporting period, the EU continued to promote the issue of Small Arms and Light Weapons (SALW) in all multilateral fora and in its political dialogue with third countries in the context of relevant international instruments, such as the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms. Over the last six months the EU continued the implementation of several projects related to the prevention of SALW illicit trade and excessive accumulation, and started the elaboration of new initiatives to be further developed over the next months.

II. IMPLEMENTATION OF THE ACTION PLAN CONTAINED IN THE EU SALW STRATEGY

II.1 Effective multilateralism to develop universal, regional and national mechanisms to counter the supply and destabilising spread of SALW and their ammunition

a) Implementation of the 2001 UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons

The EU continued to support the implementation of the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons (UN PoA). All EU Member States sponsored and supported the UN General Assembly Resolution on "The illicit trade of small arms and light weapons in all its aspects", establishing the framework for the upcoming Review Conference of the UN Programme of Action (27 August - 7 September 2012).

In October and December 2011, the EU took part in informal consultations in preparation of the Review Conference on the Implementation of the UN PoA. The Chair-Designate of the Preparatory Committee of the Review Conference (19 - 23 March 2012) presented her suggestions to guide the formulation of the agenda for the Review Conference and put forward eight themes as a possible substantive agenda for the Review Conference. The EU started to coordinate its position on these issues with a view to the next round of informal consultations in January 2012 and the Preparatory Committee

In July 2011, the EU adopted a new Council Decision in support of activities of the UN Office for Disarmament Affairs to implement the UN PoA and the project formally started in December 2011. The Council Decision aims at promoting the regional implementation of the UN PoA, the International Marking and Tracing Instrument (ITI), and the UN technical guidelines for ammunition stockpile management and includes, inter alia, the following activities:

- _ regional training-of-trainers courses on the ITI for countries in West Africa, and the setting-up of marking facilities and expertise in countries of the region lacking such equipment;
- _ support to the completion and implementation of UN technical guidelines for ammunition stockpile management, in particular in the Great Lakes region and Latin America;
- _ regional seminars on advancing the implementation of the UN PoA at regional level.

b) Arms Trade Treaty

The EU continued to attach high priority to the Arms Trade Treaty (ATT) process, participating actively in the fourth session of the Preparatory Committee on the ATT (11-15 July 2011, New York) that were characterized by a high level of engagement by most UN Member States and by substantial discussions on the implementation mechanism and final provisions of an ATT. All EU Member States voted in favour of the UN GA Decision on the Arms Trade Treaty, expanding the duration of the last session of the Preparatory Committee to five days on 13-17 February 2012, and mandating the Committee to conclude discussion on substantive issues and to decide on all relevant procedural matters.

The EU continued to coordinate its negotiating position with a view to the last session of the Preparatory Committee in February 2012 and of the UN Conference in July 2012. Consultations were held with third countries with a view to seeking broad support for an ATT.

Implementation of Council Decision 2010/336/CFSP, promoting the process leading towards an Arms Trade Treaty among third countries, continued also during the second half of 2011. The implementation of the Council Decision is entrusted to the UN Institute for Disarmament Research. Two side-events, presenting the preliminary results of the first four outreach events organized in the framework of the Council Decision, were held in the margins of the ATT Preparatory Committee in July 2011 and of the UN GA First Committee in October 2011. As part of the implementation of the Council Decision, a number of research papers on transparency, scope of an ATT, inclusion of ammunition, and technology transferred were commissioned to several research institutes.

c) Implementation of the UNTOC Protocol against the Illicit Manufacturing of and Trafficking in Firearms

After some delays the implementation of a new project through the Instrument for Stability (IfS) has started: The project is to prevent and counter trans-national illicit trade in firearms by promoting the ratification and implementation of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition, supplementing the United Nations Convention Against Transnational Organized Crime. The project also includes capacity building activities in support of law enforcement agencies and civil society organisations in Latin America, the Caribbean and West Africa. The project is implemented by the United Nations Office on Drugs and Crime (UNODC).

In the framework of the IfS, the EU is also providing financial assistance to INTERPOL for the development of a database to collect data on lost/stolen arms. The database is to set up a tool for tracing and tracking illegal arms and its flows via the Interpol I24/7 system.

The initial rollout focuses on the same regions as the UNODC project, aiming at improved regional and trans-regional information exchange as well as synergies in capacity building. The long-term objective is to connect all 188 INTERPOL Member States.

d) Export controls

Within the framework of Council Decision 2009/1012/CFSP on support for EU activities in order to promote the EU Common Position 2008/944/CFSP on export controls on conventional arms, a regional seminar was held in Kiev on 22-23 November 2011 to promote arms export controls among countries in Eastern Europe and Southern Caucasus (Armenia, Azerbaijan, Belarus, Georgia, Moldova, and Ukraine). As part of the study visits to the EU provided by the Council Decision for national export controls officials among EU candidate countries, study visits of export control officials from Montenegro and Former Yugoslav Republic of Macedonia were organized in Portugal in October 2011, and in Poland in November 2011 for export control officials from Croatia, Montenegro, and Former Yugoslav Republic of Macedonia.

e) Illicit trade in SALW by air

In the framework of Council Decision 2010/765/CFSP on EU action to counter the illicit trade of SALW by air, which aims at improving tools and techniques for international and national actors to effectively screen and target suspect aircrafts likely to be involved in the illicit trade of SALW, implementation of the project by the Stockholm International Peace Research Institute (SIPRI) continued. A software and databases have been completed and a threat picture has been developed of companies and aircraft involved in destabilizing SALW and military equipment transfers via air over the past 20 months. The first expert seminar will be held in Kiev in March 2012.

II.2. SALW in the framework of political dialogue with third countries and regional organisations, SALW clauses

a) SALW issues were included in the agenda of a number of the EU's regular **political dialogues with third countries** and cooperation with regional organizations. In particular, the issue of the widespread proliferation of SALW in Libya, including MANPADS, was discussed in a series of meetings at various levels both internally and with representatives from the United States and the EU is currently looking into various possibilities to support ongoing efforts in this respect.

b) In line with the **Council Conclusions on the inclusion of a SALW element in agreements between the EU and third countries** adopted in December 2008, SALW elements are currently being negotiated with Australia, Azerbaijan, Canada, Malaysia and Mercosur for inclusion in their respective agreements with the EU.

II.3 Specific EU project assistance to Third Countries and Regional Organisations

a) Western Balkans

- I) The EU continued to support demilitarization efforts in the field of SALW, in particular through the implementation of Council Decision 2010/179/CFSP in support of SEESAC activities in the **Western Balkans**, which was adopted in March 2010. Several activities related to the improvement of stockpile management as well as marking and tracing of SALW and surplus destruction took place in Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia (fYROM), Montenegro, and Serbia. In Montenegro, an ammunition storage site was renovated and handed-over to the Ministry of Defence. In Croatia, a security and surveillance system was installed at the central weapons and ammunition storage of the Ministry of Interior. In addition, SEESAC and the Ministry of Interior of the Republic of Croatia continued to implement a collection campaign for illegal weapons in the possession of citizens.

In terms of marking and tracing of SALW, activities resulted in the development and implementation of a nation-wide electronic weapons registration system in Montenegro, while such a system was upgraded in **FYROM**. Finally, a regional training course for storage operators lasting three weeks and covering all aspects of SALW and ammunition stockpile management was held in Sarajevo for some 60 participants.

- II) The EU also continued to support, through the Instrument for Stability (IfS), a UNDP small arms control programme in **Bosnia and Herzegovina** aimed at reducing the security risks posed by high levels and instability of obsolete ammunition and explosives and at providing institutional support to the national Small Arms Control programme. The action was extended for a further six months in June 2011, inter alia to enhance national capacity for the management and control of SALW while strengthening the cross-border transport of dangerous goods in line with EU requirements.

b) **OSCE region**

The EU continued the preparation of a new Council Decision in support of activities to reduce the risk of the illicit trade in and excessive accumulation of SALW in the OSCE region. The new Council Decision is supposed to aim, inter alia, at security upgrades of SALW stockpile storage sites in Belarus and Kyrgyzstan, the destruction of surplus SALW in these two countries to prevent their diversion to the illegal trade, and the introduction of a SALW inventory management application to improve stockpile, record-keeping and tracing of SALW in several OSCE States.

c) **Africa**

The EU pursued the implementation of projects to increase regional cooperation in the field of SALW in **Regional Economic Communities in Africa**, notably the Economic Community of West African States, the East African Community, and the Economic Community of Central African States.

- I) In the framework of the Instrument for Stability, the EU continued the implementation of a project to support the fight against the illicit accumulation of and trade in firearms and ammunition in Africa, through the **Regional Centre on Small Arms and Light Weapons (RECSA)**, located in Nairobi. This project aims at supporting the Africa-EU strategic partnership in the fight against the illicit trade and excessive accumulation of firearms and explosive materials. After extensive consultations parties agreed in mid-2011 on a number of consolidated regional priorities for the project. So far, it has gathered pace and is trying to meet mainly long-term needs in strengthening the legislative and institutional capacity of the countries concerned. An extension of the project is under preparation, allowing to provide continuity to the on-going work and to deepen the cross border aspects of contrasting illicit trafficking. The agreement is expected to be signed mid-2012.
- II) The EU is currently supporting the **Economic Community of West African States (ECOWAS)** through technical assistance to the Small Arms Control Programme (ECOSAP) on inter-agency collaboration in Ivory Coast, Mali, Guinea and Sierra Leone.
- III) The EU continued to support the **Economic Community of Central African States (ECCAS)** through technical expertise to develop peace and security capacity of ECCAS, including in the field of SALW.
- IV) Under the Conflict Prevention and Management Resolution (CPMR) Programme, the implementation of the SALW programme in support of the **East Africa Community** continued through the conduct of activities aiming at strengthening the regional capacity to prevent arms trafficking and proliferation in the East and Southern African region. The project supported the process for the approval of the EAC SALW Policy and the EAC Peace and Security Protocol, along with engagement with the AU and the UN in various processes such as the preparation and finalisation of the African Union Small Arms and Light Weapons (AU SALW) strategy preparation, which was discussed at an AU experts meeting on 26 September in Togo as well as by the APSA (African Peace and Security Architecture). The strategy is expected to be adopted in January 2012.

d) **Central America**

The EU pursued implementation of a project financed through the Instrument for Stability and managed by the **Central American Small and Light Weapons Control Programme (CASAC)** to support the fight against illicit trade in firearms and ammunition in Central America and neighbouring countries, including the Caribbean region. The contribution of the EU project to the CASAC initiative has had a positive impact on establishing the foundation of a regional structure and long-term strategy to fight the illicit trafficking of arms in Central America, both at national and regional level. The EU extended the support to the project until the end of 2011 and is currently preparing follow-up actions to this initiative (CASAC II), the process of institutionalization still needing further support.
