



**Arms  
Trade  
Treaty**  
Baseline Assessment Project

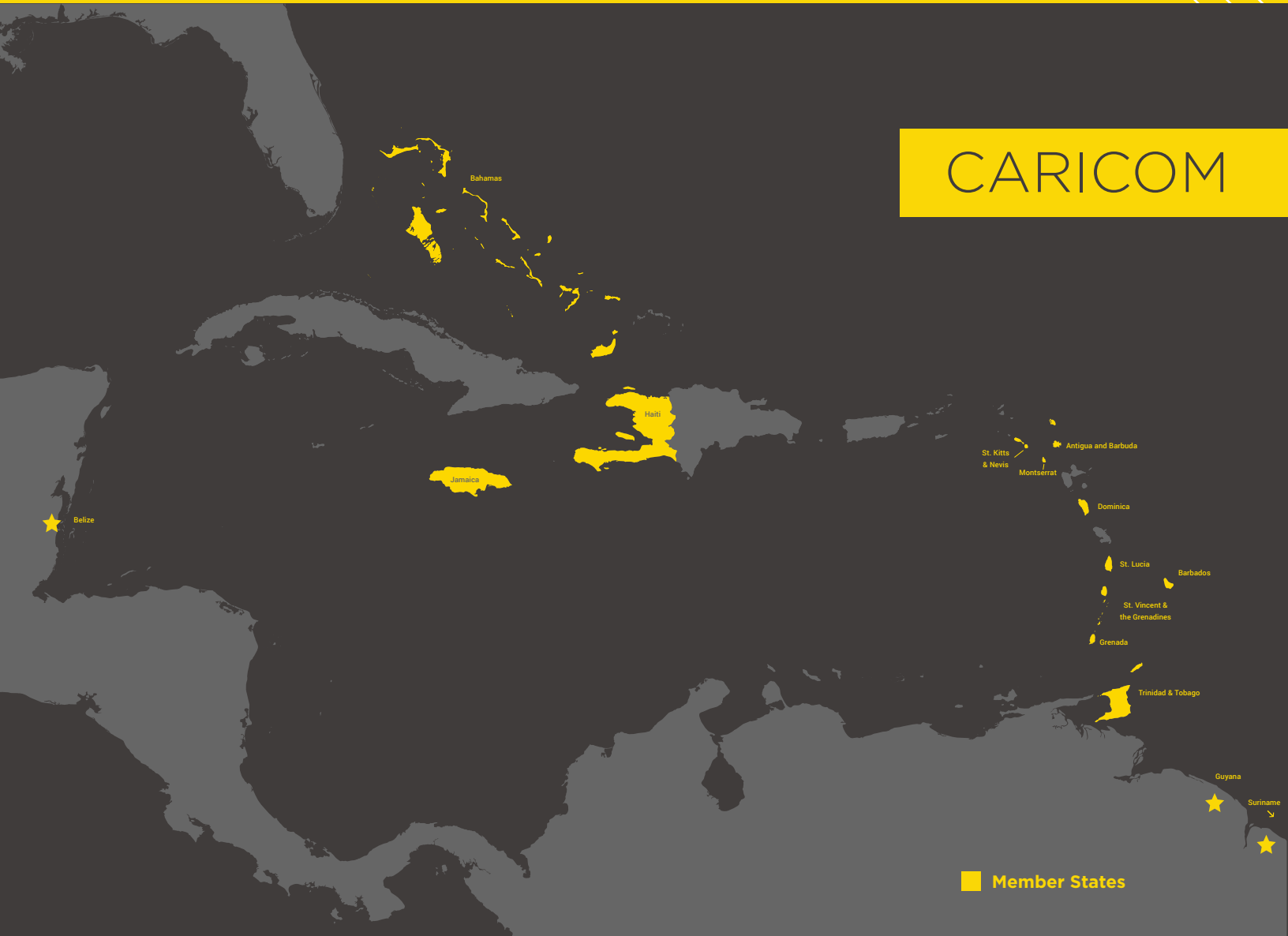
# The Arms Trade Treaty and the Caribbean Community

TOWARDS COMPREHENSIVE IMPLEMENTATION

AUGUST 2018



# CARICOM



# INTRODUCTION

In 2013, the Arms Trade Treaty (ATT) was adopted with an aim of promoting transparency and responsibility in the global arms trade. The treaty entered into force on 24 December 2014 and in the years since, States have focused on implementation and universalization. As of 30 June 2018, 96 States were party to the ATT, yet implementation of the treaty's provisions remains inconsistent across different States and regions.

The following report examines ATT implementation within the Caribbean Community (CARICOM). CARICOM is comprised of 20 countries, including 15 Member States and 5 Associated Members (see table 1).

**Table 1: CARICOM Membership**

Member States	Associated Countries
Antigua & Barbuda	Anguilla
Bahamas	Bermuda
Barbados	British Virgin Islands
Belize	Cayman Islands
Dominica	Turks and Caicos Islands
Grenada	
Guyana	
Haiti	
Jamaica	
Montserrat	
St. Kitts & Nevis	
St. Lucia	
St. Vincent & the Grenadines	
Suriname	
Trinidad & Tobago	

Historically, CARICOM's 15 Member States were very actively involved in the ATT process – taking on key leadership roles during the negotiations, collectively supporting Trinidad and Tobago's bid to host the ATT Secretariat, and encouraging strong national and regional controls. Although States in the region have often spoken with one voice at ATT meetings, they are diverse in their experiences and levels of implementation. This report will focus specifically on ATT implementation by CARICOM Member States.<sup>1</sup>

The CARICOM region has long experienced firsthand the negative impact of the unregulated trade in conventional weapons, particularly small arms and light weapons, on social and economic life. The illicit trade of arms and ammunition threatens peace and security in the region and individual countries themselves.<sup>2</sup> Violence connected to the trafficking of firearms is intimately related to the drug trade in the region, as many CARICOM States serve as transit points for both illicit drug and gun trafficking.<sup>3</sup>

<sup>1</sup> Montserrat is a CARICOM Member State but is not part of the United Nations and is not an ATT State Party. When the report refers to CARICOM it is not including data from Montserrat in the analysis.

<sup>2</sup> United Nations, General Assembly, Meetings Coverage, "Nothing 'Conventional' about Conventional Weapons, First Committee Told, as Hopes for New Treaty Temper Ambivalence towards Arms Restraint," October 30, 2013, <https://www.un.org/press/en/2013/gadis3490.doc.htm>

<sup>3</sup> The World Bank: Latin America and Caribbean Region, United Nations Office on Drugs and Crime, "High levels of crime and violence threaten Caribbean growth and prosperity," May 3, 2007, <https://www.unodc.org/unodc/en/press/releases/2007-05-03.html>

Twelve States in the CARICOM region are ATT States Parties: Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago. Eleven CARICOM States were among the first UN Member States to sign the ATT when it opened for signature in June 2013, and three more States became signatories shortly thereafter: Barbados signed the treaty in September 2013, Dominica became a signatory in October 2013, and Haiti signed the treaty in March 2014. Only two CARICOM Member States that are UN Member States, Haiti and Suriname, have not yet ratified the treaty (see table 2). There is a strong desire to see full CARICOM accession to the ATT. To that end, Haiti hopes to ratify the treaty soon despite challenges in passing new legislation, and Suriname continues to take measures to achieve the goals of the ATT.

**Table 2: CARICOM and the Arms Trade Treaty**

State	Signature	Ratification, Acceptance, Approval, Accession	EIF for State
Antigua & Barbuda	3 June 2013	12 Aug 2013	24 Dec 2014
Bahamas	3 June 2013	25 Sept 2014	24 Dec 2014
Barbados	25 Sept 2013	20 May 2015	18 Aug 2015
Belize	3 June 2013	19 March 2015	17 June 2015
Dominica	1 Oct 2013	21 May 2015	19 Aug 2015
Grenada	3 June 2013	21 Oct 2013	24 Dec 2014
Guyana	3 June 2013	04 July 2013	24 Dec 2014
Haiti	21 March 2014		
Jamaica	3 June 2013	03 June 2014	24 Dec 2014
Montserrat			
St. Kitts & Nevis	5 June 2013	15 Dec 2014	24 Dec 2014
St. Lucia	3 June 2013	25 Sept 2014	24 Dec 2014
St. Vincent & the Grenadines	3 June 2013	03 June 2014	24 Dec 2014
Suriname	3 June 2013		
Trinidad & Tobago	3 June 2013	25 Sept 2013	24 Dec 2014

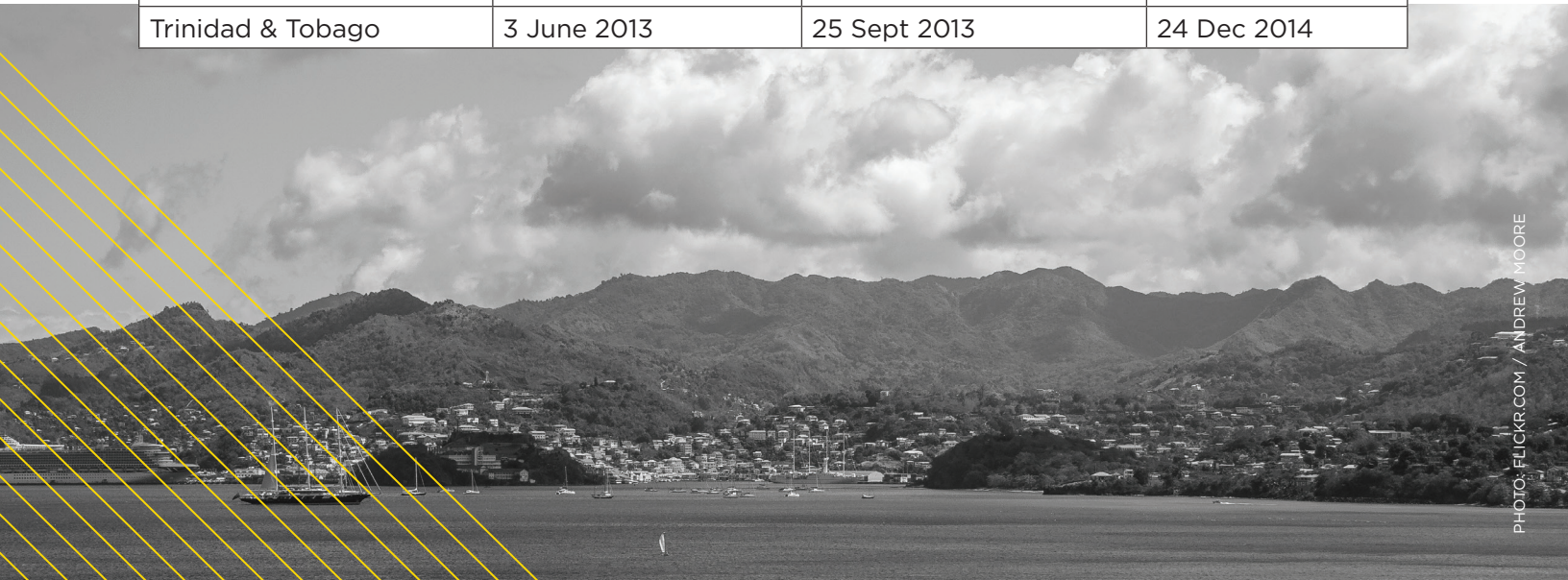


PHOTO: FLICKR.COM / ANDREW MOORE

Although the CARICOM region has a large number of States Parties, the region has been slow to implement the ATT's obligations. After conducting workshops with State representatives and eliciting responses on efforts to advance the ATT in the region, the ATT Baseline Assessment Project (ATT-BAP) found that the pace of ATT implementation is slow in the CARICOM region for two main reasons:

1. ATT implementation is not a priority issue for national governments, and
2. States experience notable capacity and resource challenges.

Additionally, when providing details on their implementation efforts, many CARICOM States noted a lack of transparency and guidance concerning requirements, deadlines, and expectations. Internal factors such as changes in government personnel and underdeveloped data collection processes also affected implementation of ATT obligations.<sup>4</sup>

ATT-BAP examined implementation of the ATT in the CARICOM region through data provided by States in two separate reports that States Parties are required to complete in compliance with Article 13 of the treaty (see box 1):

- ▶ An initial report on measures undertaken to implement the ATT, which must be completed and submitted at least once within the first year of the treaty's entry into force for a given State. The initial report must be updated as regulations and policies change.
- ▶ A report on arms exports and imports of the eight categories of conventional arms contained in Article 2.1 of the treaty, to be submitted annually to the ATT Secretariat by 31 May capturing transfer information from the previous calendar year.

### BOX 1: ARTICLE 13 REPORTING

1. Each State Party shall, within the first year after entry into force of this Treaty for that State Party, in accordance with Article 22, provide an initial report to the Secretariat of measures undertaken in order to implement this Treaty, including national laws, national control lists and other regulations and administrative measures. Each State Party shall report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate. Reports shall be made available, and distributed to States Parties by the Secretariat.
3. Each State Party shall submit annually to the Secretariat by 31 May a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2 (1). Reports shall be made available, and distributed to States Parties by the Secretariat. The report submitted to the Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the United Nations Register of Conventional Arms. Reports may exclude commercially sensitive or national security information.

<sup>4</sup> ATT Baseline Assessment Project, *Reporting in Review: Examining ATT Reporting Experiences*, August 2017, 12, [http://www.armstrade.info/wp-content/uploads/2017/04/Reporting-in-Review\\_Examining-ATT-Reporting-Experiences\\_ATT-BAP.pdf](http://www.armstrade.info/wp-content/uploads/2017/04/Reporting-in-Review_Examining-ATT-Reporting-Experiences_ATT-BAP.pdf).

A critical challenge in assessing and making progress towards ATT implementation, as well as identifying opportunities for international assistance and cooperation, in the CARICOM region is the lack of reporting by CARICOM States. This report analyzes the initial and annual reports that were received by the Secretariat by 30 June 2018. Jamaica and Trinidad and Tobago are the only CARICOM States that have completed at least one of the required ATT reports. Both countries submitted an initial report on their implementation of the ATT, and Jamaica submitted an annual report reflecting information on its arms exports and imports during the 2015 calendar year. In an effort to better understand and assess implementation and reporting challenges among CARICOM States, this report also contains information gleaned from interviews and worksheets completed by CARICOM Member States at workshops conducted in the region in 2017.

**Table 3: ATT Reporting for CARICOM States**

State	Initial Report Deadline	First Annual Report Deadline
Antigua & Barbuda	23 Dec 2015	31 May 2016
Bahamas	23 Dec 2015	31 May 2016
Barbados	17 Aug 2016	31 May 2017
Belize	16 June 2016	31 May 2017
Dominica	18 Aug 2016	31 May 2017
Grenada	23 Dec 2015	31 May 2016
Guyana	23 Dec 2015	31 May 2016
Haiti		
Jamaica	23 Dec 2015	31 May 2016
Montserrat		
St. Kitts & Nevis	14 March 2016	31 May 2016
St. Lucia	23 Dec 2015	31 May 2016
St. Vincent & the Grenadines	23 Dec 2015	31 May 2016
Suriname		
Trinidad & Tobago	23 Dec 2015	31 May 2016

■ *Not required to report to the ATT Secretariat*



## STATUS OF IMPLEMENTATION

### Initial Reports on Treaty Implementation

While only two of the twelve States Parties from the region (Jamaica and Trinidad) submitted initial reports on ATT implementation, many States in the region have experience completing reports that detail their national transfer control systems, including through their participation in the national reporting exercise for the UN Programme of Action on Small Arms and Light Weapons (UN PoA). In what may signal a positive trend, a number of CARICOM States submitted reports on UN PoA implementation in 2018 that have not traditionally provided insight on their national transfer control systems via public reporting, including one (St. Vincent and the Grenadines) that had never previously provided a UN PoA report.

**Table 4: Reporting on National Transfer Control Systems**

State Party	ATT Initial Report	UN PoA National Report (last year submitted)
Antigua & Barbuda	X	✓ (2018)
Bahamas	X	X
Barbados	X	✓ (2003)
Belize	X	✓ (2018)
Dominica	X	X
Grenada	X	✓ (2016)
Guyana	X	✓ (2010)
Jamaica	✓	✓ (2018)
St. Kitts & Nevis	X	X
St. Lucia	X	X
St. Vincent & the Grenadines	X	(2018)
Trinidad & Tobago	✓	✓ (2016)

Though few CARICOM States have submitted an initial report on ATT implementation, half of the CARICOM Member States have completed an ATT-BAP Survey (an article-by-article accounting of State practice concerning ATT implementation), which provides States with the opportunity to conduct a national assessment of their current arms transfer control systems and determine their capacities to implement the ATT. In 2014, CARICOM distributed a version of the ATT-BAP Survey modified for CARICOM States. Eight CARICOM States completed some version of the ATT-BAP Survey. Grenada, Suriname, and Trinidad and Tobago completed the original version of the ATT-BAP Survey, while Antigua and Barbuda, Belize, Jamaica, St. Kitts and Nevis, and St. Lucia completed the abridged, CARICOM-specific version of the survey. The completed surveys reveal common practices within the region pertaining to policies and procedures that guide national arms transfer controls and support ATT implementation. CARICOM States have requested that their responses remain private but approved of ATT-BAP using data from their responses to provide an aggregated description of CARICOM State practice below.

## **NATIONAL CONTROL LIST**

Four States Parties indicated that they maintain a national control list of conventional weapons that covers exports, imports, and transit and transshipment activities. Of those four States, two clarified that their control lists only include small arms, light weapons, and ammunition and munitions.

## **PROHIBITIONS**

One State Party indicated that it does prohibit transfers of conventional arms in circumstances specified in Articles 6.1, 6.2, and 6.3 of the ATT, though two States Parties indicated that they do not.

## **EXPORTS**

Three States Parties reported that their national control systems include an authorization or licensing system for arms exports. Four States Parties did not provide any information as to whether their national control systems include authorization or licensing systems for arms exports. Additionally, three States Parties indicated that their national risk assessment procedures for reviewing arms export determinations include all criteria described in Article 7.1(a) and (b) and Article 7.4 of the ATT, while four States Parties in the region indicated that their risk assessment procedures do not include all such criteria.

## **IMPORTS**

Six States Parties indicated that their national control systems include measures that allow for the regulation of imports of conventional arms. One State Party did not provide information on its import controls.

## **TRANSIT / TRANSSHIPMENT**

Five States Parties indicated that their national control systems include measures that regulate the transit/transshipment of conventional arms, whereas one State Party noted that its national control system does not include such measures. Two States Parties did not provide information on measures regulating transit/transshipment.

## **BROKERING**

Three States Parties indicated that their national control systems include measures that allow for the regulation of brokering of conventional arms, while two States Parties reported that their national control systems do not include such measures. One State Party indicated that it did not know if it had such measures in place, and one State Party did not provide information on its brokering controls.

## **DIVERSION**

Three States Parties reported that their national control systems contain measures to mitigate the risk of diversion, and three States Parties did not provide information on this topic.

## **ENFORCEMENT**

Only one State Party indicated it had measures in place to enforce national laws and regulations that implement the provisions of the ATT. One State Party noted that it was in the process of implementing new legislation to support ATT enforcement. No other States Parties in the CARICOM region provided insights on their national enforcement measures.

## **COOPERATION**

Three States Parties indicated that they are participating in cooperative measures meant to assist in implementing the ATT, yet no State Party provided information on the types of cooperative measures they are engaged in. One State Party reported that it facilitates regional and international cooperation in line with other multilateral and bilateral treaties and agreements.

## **ASSISTANCE**

The ATT-BAP Survey sought information on assistance needs to support implementation of the ATT. In 2017, ATT-BAP also conducted a questionnaire on assistance needs for CARICOM States, which was distributed at national and regional meetings in the region. The questionnaire identified assistance needs for several States in the CARICOM region, which are summarized in table 5.

**Table 5: ATT Assistance Needs in the CARICOM Region**

State	Type of Assistance								
	Legal	Legislative	Institution Building	Technical	Financial	Material	Stockpile Management	Disarmament, demobilization, or reintegration	Effective practices for implementation
Antigua & Barbuda		✓	✓	✓	✓	✓	✓	✓	✓
Bahamas	✓	✓	✓	✓	✓	✓	✓		✓
Barbados	✓	✓	✓	✓	✓	✓	✓	✓	✓
Dominica	✓	✓	✓	✓	✓	✓	✓	✓	
Grenada	✓	✓	✓	✓	✓	✓	✓		✓
Guyana	✓	✓	✓	✓	✓	✓	✓	✓	✓
Haiti		✓	✓		✓	✓	✓	✓	
Jamaica			✓	✓	✓	✓	✓		✓
St. Kitts & Nevis	✓	✓	✓	✓	✓	✓	✓		✓
St. Lucia	✓	✓	✓	✓	✓	✓	✓	✓	✓
St. Vincent & the Grenadines	✓	✓	✓	✓	✓	✓	✓	✓	✓
Trinidad & Tobago	✓	✓	✓	✓	✓	✓			✓

Source: ATT-BAP International Needs Questionnaire, 2017

In their responses to the assistance questionnaire and in discussions at the workshops, some CARICOM States provided additional details regarding their assistance needs. While not meant to be an official list, the types of assistance required sheds light on the needs of the region and the potential areas for collaboration and coordination with the donor community and amongst the region itself.

## ANTIGUA AND BARBUDA

- ▶ **Legislative assistance:** for brokering and manufacturing
- ▶ **Assistance for institution building:** training in weapons identification
- ▶ **Technical assistance:** training with IT management systems
- ▶ **Financial assistance:** computers/software, training and maintenance for computers/software
- ▶ **Material assistance:** scanners for containers, pallets and baggage, firearm marking machines, surveillance equipment
- ▶ **Stockpile management assistance:** new stockpiling facility, surveillance equipment
- ▶ **Disarmament, demobilization, or reintegration assistance:** hydraulic shears, weapons destruction equipment, legislation on reintegration
- ▶ **Assistance with effective practices for implementation:** best practices, including software for connecting stakeholders and external agencies

## BAHAMAS

- ▶ **Legal assistance:** national legislation review, harmonization of legislation
- ▶ **Legislative assistance:** review and draft legislation to encompass the ATT
- ▶ **Assistance with institution building:** establish a national point of contact, interagency coordination, and a national action plan
- ▶ **Technical assistance:** implementation process and stockpile management, border security
- ▶ **Financial assistance:** marking for weapons imports, stockpile security management
- ▶ **Material assistance:** scanners for various international airports and seaports
- ▶ **Assistance with effective practices for implementation:** capacity building for stakeholders
- ▶ **Other:** assistance in reporting aspects to other entities such as the ATT, UN Register, UNSCR 1540, and assistance in setting up a national control system

## BARBADOS

- ▶ **Legal assistance:** access to consultants versed in the ATT
- ▶ **Legislative assistance:** on brokering and transit and transshipment, and for a control list for SALW
- ▶ **Assistance with institution building:** recommendations on improving internal cooperation and coordinating committee for establishing national control agency and national point of contact
- ▶ **Technical assistance:** training for Customs in the identification and investigation of SALW and parts and components
- ▶ **Financial assistance:** training/capacity building related to ATT, for acquiring equipment, available software, and for consultations
- ▶ **Material assistance:** equipment and software, laser marking machines, water tank for ballistic testing, x-ray scanners for ports of entry
- ▶ **Stockpile management assistance:** conducting inspections and reviewing record keeping practices, to include recommendations for standard operating procedures (SOPs)
- ▶ **Disarmament, demobilization, or reintegration assistance:** limited amnesty program development
- ▶ **Assistance with effective practices for implementation:** recommendations on best practices and SOPs for continuance and achieving both short-term and long-term goals

## DOMINICA

- ▶ **Legal assistance:** needed from a local standpoint, Ministry of Legal Affairs
- ▶ **Legislative assistance:** model legislation, amendment to the Firearm Act to include sanctions, limited provisions on export
- ▶ **Assistance with institution building:** training police and customs in tracing, ballistics, marking forensics, investigative techniques, and knowledge and identification of weapons
- ▶ **Technical assistance:** training in weapons identification, ballistics, and marking and tracing
- ▶ **Financial assistance:** in-country workshops as well as for searching equipment, records, and data collection
- ▶ **Material assistance:** surveillance, record-keeping, vessels for sea patrol, and computers
- ▶ **Stockpile management assistance:** to have arms and weapons stored separately, limit access to stockpile, and maintain both electronic and manual data
- ▶ **Disarmament, demobilization, or reintegration assistance:** limited amnesty program development

## GRENADA

- ▶ **Legal assistance:** update legislation on conventional arms and SALW, become consistent in reporting
- ▶ **Legislative assistance:** for conventional arms, SALW, and customs and border control
- ▶ **Assistance with institution building:** border control and national point of contact
- ▶ **Technical assistance:** x-ray machine at point of entry, ballistic support, data collection
- ▶ **Financial assistance:** x-ray machine, data collection, training, crime management, national point of contact, workshops, and meetings
- ▶ **Material assistance:** software to enable sharing of best practices and data among CARICOM Member States
- ▶ **Stockpile management assistance:** storage facility to separate arms and ammunition, training on stockpile management
- ▶ **Assistance with effective best practices for implementation:** human resources such as a task force, information sharing, timely reports to the ATT

## GUYANA

- ▶ **Legislative assistance:** creating amendments on penalties
- ▶ **Assistance with institution building:** task force to serve as neutral coordinating body
- ▶ **Technical assistance:** training on public relations
- ▶ **Financial assistance:** facilitate institution building, technical assistance, material assistance, stockpile management assistance, and others
- ▶ **Material assistance:** equipment to establish neutral coordinating body
- ▶ **Stockpile management assistance:** training and workshops for relevant personnel
- ▶ **Disarmament, demobilization, or reintegration assistance:** training and workshops for relevant personnel
- ▶ **Assistance with effective practices for implementation:** training and workshops for relevant personnel

## HAITI

- ▶ **Legislative assistance:** to implement international legal instruments, raise awareness on the ATT and the UN PoA
- ▶ **Assistance with institution building:** seminars and training workshops for officials and points of contact in Haiti and abroad
- ▶ **Financial assistance:** to fund future projects
- ▶ **Material assistance:** machines and devices for marking weapons
- ▶ **Stockpile management assistance:** for forms, procedures, and processes to be developed
- ▶ **Disarmament, demobilization, or reintegration assistance:** very relevant to Haiti
- ▶ **Other:** concerning customs to reinforce monitoring systems for weapons entering the country such as for maritime patrol

## ST. KITTS AND NEVIS

- ▶ **Legislative assistance:** to strengthen existing legislation involving penalties and procedures, to draft CARICOM model into a national model
- ▶ **Assistance with institution building:** for coordinating center for agencies
- ▶ **Technical assistance:** upgrading database and IT/website
- ▶ **Financial assistance:** scanner for air and sea ports, and shear cutters
- ▶ **Material assistance:** as above for financial assistance
- ▶ **Stockpile management assistance:** to improve capacity in stockpile management, and adopt best practices
- ▶ **Assistance with effective practices for implementation:** assistance is needed to adopt best practices

## ST. LUCIA

- ▶ **Legal assistance:** understanding ATT provisions and reporting mechanisms, identifying other instruments relevant to the ATT
- ▶ **Legislative assistance:** review relevant legislation, recommendations for amendments, model legislation, consultants
- ▶ **Assistance for institution building:** workshops, training programs, recommendations to improve political buy-in from heads of government, border control
- ▶ **Technical assistance:** procedures and processes for reporting, training of key stakeholders on their roles and responsibilities, provision of material to courts
- ▶ **Financial assistance:** sourcing and funding consultants for country workshops, producing informational material, leaflets, education material
- ▶ **Material assistance:** sharing of best practices, guidelines, and templates, obtaining previous reports, on control measures, forms, available software
- ▶ **Stockpile management assistance:** ensuring proper and systematic management, digitization, accuracy of forms (software)
- ▶ **Assistance with effective practices for implementation:** training of the judiciary, training of all key players, markings, expectations and recommendations for improvement
- ▶ **Other:** training in case management, arms management, forensics, reconstruction, x-ray machines, analyzing data (quantitative and qualitative), studying trends to enable implementation of proactive measures

## ST. VINCENT AND THE GRENADINES

- ▶ **Legal assistance:** drafting to come in line with the ATT
- ▶ **Legislative assistance:** legislation on marking for civilian weapons
- ▶ **Assistance with institution building:** workshops and seminars for agencies involved in the ATT
- ▶ **Technical assistance:** ballistics training, firearm crime scene management, POC for reporting
- ▶ **Financial assistance:** training of firearms experts, organizing and running a committee
- ▶ **Material assistance:** construction of an armory, x-ray machine for port of entry at customs
- ▶ **Stockpile management assistance:** for armory management and recordkeeping software
- ▶ **Disarmament, demobilization, or reintegration assistance:** amnesty program development
- ▶ **Assistance with effective practices for implementation:** consultations for best practices

## ANNUAL REPORTS ON ARMS EXPORTS AND IMPORTS

Only one State Party from the CARICOM region has thus far submitted an ATT annual report (Jamaica in 2015). However, all CARICOM ATT States Parties have previously submitted information on annual arms exports and imports to the UN Register of Conventional Arms (see table 6).

**Table 6: Reporting on Annual Arms Transfers**

State Party	ATT Annual Report (year submitted)	UN Register Report (last year submitted)
Antigua & Barbuda		✓ (2009)
Bahamas		✓ (2011)
Barbados		✓ (2003)
Belize		✓ (2010)
Dominica		✓ (2001)
Grenada		✓ (2014)
Guyana		✓ (2010)
Jamaica	✓ (2015)	✓ (2012)
St. Kitts & Nevis		✓ (2005)
St. Lucia		✓ (2006)
St. Vincent & the Grenadines		✓ (2008)
Trinidad & Tobago		✓ (2013)

Although we cannot identify general trends about CARICOM's arms exports and imports, we can identify some useful information from Jamaica's report that could serve as an example to the rest of the region that completing the ATT annual report is possible and allows governments to share relevant information.

In its 2015 ATT annual report, Jamaica provided information on its actual exports of small arms, including on the number of items exported, the final importing State, as well as comments on transfer.<sup>5</sup> Jamaica indicated the end use for these items, noting that the items were intended for competitive shooting and personal protection. Jamaica also reported on actual imports of small arms, similarly providing information on number of items imported, the exporting States, and comments on transfer, again noting that some weapons would be used for competitive shooting purposes.

Detailed information regarding specific approaches to arms exports and imports can be identified in Jamaica's national report. Jamaica indicated that it defined exports as "physical transfer of items across a national border." Jamaica also indicated that it exported approximately 148 small arms in 2015. The types of small arms that Jamaica exported in 2015 include: revolvers and self-loading pistols, rifles and carbines, and shotguns (captured in "other" category). The weapons were exported to Guyana, Puerto Rico, and the United States. Jamaica also imported 12,129 weapons in 2015. These weapons were imported from Guyana, Puerto Rico, Uruguay, and the United States. The types of small arms imported in 2015 included: revolvers and self-loading pistols, rifles and carbines, and shotguns.

### Jamaica 2015 Annual Report – Exports

Category of arms <sup>4</sup> [I-VIII]	Authorised or actual exports <sup>5</sup>		Extent of exports <sup>6</sup> (choose one or both)		Final importing State <sup>9</sup>	State of origin (if not exporter) <sup>10</sup>	Remarks <sup>11</sup>	
	Auth.	Act.	Number of items <sup>7</sup>	Value <sup>8</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>B. VIII. Small Arms and Light Weapons<sup>14,15</sup></b>								
<b>Small Arms (aggregated)<sup>16</sup></b>								
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input checked="" type="checkbox"/>	117		USA, Puerto Rico		Competitive Shooting, Personal Protection
2.	Rifles and carbines	<input type="checkbox"/>	<input checked="" type="checkbox"/>	2		Guyana, Puerto Rico		Competitive Shooting
3.	Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>					
4.	Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>					
5.	Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>					
6.	Others	<input type="checkbox"/>	<input checked="" type="checkbox"/>	29 (Shotgun )		USA		Competitive Shooting, Personal Protection

### Jamaica 2015 Annual Report – Imports

Category of arms <sup>4</sup> [I-VIII]	Authorised or actual imports <sup>5</sup>		Extent of imports <sup>6</sup> (choose one or both)		Exporting State <sup>9</sup>	State of origin (if not exporter) <sup>10</sup>	Remarks <sup>11</sup>	
	Auth.	Act.	Number of items <sup>7</sup>	Value <sup>8</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>B. VIII. Small Arms and Light Weapons<sup>14,15</sup></b>								
<b>Small Arms (aggregated)<sup>16</sup></b>								
1.	Revolvers and self-loading pistols	<input type="checkbox"/>	<input checked="" type="checkbox"/>	10,299		USA, Puerto Rico		Trade/Sale
2.	Rifles and carbines	<input type="checkbox"/>	<input checked="" type="checkbox"/>	510		USA, Puerto Rico, Guyana		Competitive Shooting
3.	Sub-machine guns	<input type="checkbox"/>	<input type="checkbox"/>					
4.	Assault rifles	<input type="checkbox"/>	<input type="checkbox"/>					
5.	Light machine guns	<input type="checkbox"/>	<input type="checkbox"/>					
6.	Others	<input type="checkbox"/>	<input checked="" type="checkbox"/>	1,320 (Shotguns)		USA, Uruguay		Trade/Sale, Competitive Shooting

<sup>5</sup> Government of Jamaica, *Annual Report on Exports and Imports of Conventional Arms, In Accordance with Article 13(3) of the Arms Trade Treaty*, 2015, [http://thearmstradetreaty.org/images/ATT\\_documents/Jamaica\\_ATT\\_CSPI\\_2015\\_WP\\_4\\_Rev\\_2\\_Annual\\_Report\\_Template.pdf](http://thearmstradetreaty.org/images/ATT_documents/Jamaica_ATT_CSPI_2015_WP_4_Rev_2_Annual_Report_Template.pdf)

Although no other CARICOM State has submitted its annual report, we can still ascertain transfer information for CARICOM Member States from the reports from other States Parties. For example, in their annual reports covering arms exports and imports in 2017, Belgium reported export authorizations of SALW to Barbados valued at €17,813 and to Jamaica valued at €500; Germany reported export authorizations of 400 sub-machine guns to Trinidad and Tobago; and New Zealand reported an export authorization of 1 rifle/carbine to Barbados.

In previous years, countries have also reported sales to CARICOM Member States. In its annual report covering transfers in 2016, Austria reported export authorizations of:

- ▶ 140 SALW to Belize valued at over €19,000
- ▶ 124 SALW to Dominica valued at approximately €6,000
- ▶ 160 SALW to Grenada valued at over €15,000
- ▶ 1,735 SALW to Guyana valued at approximately €200,000
- ▶ 120 SALW to Haiti valued at approximately €1,300
- ▶ 701 SALW to St. Lucia valued at approximately €89,000
- ▶ 501 SALW to St. Vincent and the Grenadines valued at approximately €26,000
- ▶ 807 SALW to Trinidad and Tobago valued at approximately €40,000

Similarly, for 2015 transfers, Austria reported on export authorizations of:

- ▶ 350 SALW to Barbados valued at approximately €2,500
- ▶ 75 SALW to Belize valued at approximately €13,000
- ▶ 203 SALW to Dominica valued at approximately €8,500
- ▶ 200 SALW to Guyana valued at approximately €31,000
- ▶ 668 SALW to St. Lucia valued at approximately €38,600
- ▶ 450 SALW to Trinidad and Tobago valued at approximately €75,000

The Czech Republic reported actual exports of 10 revolvers and self-loading pistols and 15 sub-machine guns to Guyana in 2016. In 2015, the Czech Republic also reported that it provided actual export of 1 assault rifle to Trinidad and Tobago.

Similarly, in its annual report for transfers in 2015, Sweden reported actual exports of ammunition and fuse setting devices to Trinidad and Tobago valued at more than €4 million. And, the United Kingdom reported exports of 400 sub-machine guns and 1 mortar of caliber less than 75mm to Trinidad and Tobago in calendar year 2015.



## **CHALLENGES TO IMPLEMENTATION AND REPORTING**

ATT-BAP participated in workshops with representatives from 10 CARICOM States in order to better understand the various challenges the region faces in implementing the ATT. One primary issue facing States is the lack of awareness of ATT reporting requirements. Many workshop participants indicated that they did not know they were required to submit reports to the ATT Secretariat, and many did not know how to complete their initial or annual reports. Workshop participants also noted that they were unclear as to when the reports were due.

Internal factors served as an additional source of concern. Certain States experienced a change of government or a shift in personnel, which disturbed the flow of information to facilitate reporting and treaty implementation more broadly. As a result, many incoming officials did not receive important information concerning the ATT and its requirements. States' efforts to report were also hindered by poor coordination between various government agencies and ministries, and the lack of national points of contact further compounded these challenges.

## **CHALLENGES TO INITIAL REPORT REPORTING**

States in the CARICOM region identified several challenges specific to completing their initial reports on ATT implementation. Among the most commonly cited issues were a lack of coordination and information sharing between government ministries or agencies, as well as a lack of capacity, data, resources, and time. Many States encountered competing deadlines and priorities, and some CARICOM States noted that they did not have enough data to submit a report due to underdeveloped data collection processes. Furthermore, many workshop participants indicated that they did not know where to acquire the information needed for their reports or did not know how to circulate relevant information to officials. CARICOM States have involved many agencies in implementing their national arms transfer controls, such as Ministries of Foreign Affairs, Defense, and Trade, as well as customs, law enforcement, and attorney generals, yet many States have not established an interagency approach to facilitate ATT implementation and support the reporting process.

## **CHALLENGES TO ANNUAL REPORT REPORTING**

CARICOM States identified several challenges that serve as obstacles for completing their annual reports on arms exports and imports. Key among these challenges include limited capacity and coordination among different government agencies, as well as a lack of resources and available information. States highlighted a lack of internal communication between international representatives and domestic officials that could otherwise facilitate report completion, as well as uncertainty of where to acquire relevant information. States also encountered challenges due to poor record-keeping and not receiving information in a timely fashion. Several CARICOM States are also burdened by limited human resources to attend to a variety of policy priorities, including other reporting requirements for multiple regulatory regimes. In part due to such capacity constraints, some States do not consider ATT reporting a priority.

## CONCLUSION

The CARICOM region remains extremely important for comprehensive implementation and universalization of the ATT. The region has deep-rooted experience with confronting challenges raised by arms trafficking and was a leader in developing the ATT and calling for its adoption and implementation. Yet, practical challenges within the region have gotten in the way of effective ATT implementation at that national level.

CARICOM States have identified those challenges as well as means to help alleviate the burdens to ATT reporting and implementation. In workshops and interviews, several States noted that the creation of national systems to facilitate inter-agency cooperation could help streamline the process of reporting. States also suggested instituting committees that could gather relevant data and information to assist in completing the required ATT reports on implementation and annual arms transfers or creating internal networks that could help coordinate relevant information regionally. These internal networks could use software to connect stakeholders and information between law enforcement and government officials.

Additionally, CARICOM States noted that it would be useful to acquire relevant implementation tools, establish a clear timeline with due dates for reporting, maintain a contact list with information on external and internal officials, and receive greater support from stakeholders.

Greater investment in the systems and structures within the national governments in the CARICOM region could go a long way to strengthen participation in the ATT. CARICOM States know what they need to help support their bureaucracies and generate the political will necessary to support the ATT. Governments, in a position to do so, should invest in the CARICOM States and ensure that the Caribbean remains a region that works towards and supports ATT universalization. Such an investment in the region is crucial to support comprehensive ATT implementation at the global level and to mitigate the adverse consequences that arise from both illicit and irresponsible arms transfers.



The Arms Trade Treaty-Baseline Assessment Project (ATT-BAP) aims to assist States in understanding the obligations of the ATT and to promote effective implementation. ATT-BAP supports efforts to assist States in implementing the treaty and to ensure that reporting on the ATT is comprehensive and robust. ATT-BAP has developed tools to help provide a baseline for assessing State progress in implementing the ATT and to enable measurement of the Treaty's impact and long-term effectiveness. These tools are also utilized for identifying State capacity and resource needs, including the identification of critical gaps and available resources to implement the ATT. The tools include a Ratification Checklist, the ATT-BAP Baseline Assessment Survey, the ATT-BAP Portal and country profile database, guidance for completing initial and annual reports, and a national transfer controls database. Since its inception, ATT-BAP has been generously funded by the Governments of Australia, Ireland, the Netherlands, Norway, Switzerland, and the United Kingdom, as well as UNSCAR (the United Nations Trust Facility Supporting Cooperation on Arms Regulations). In addition, the project has engaged in partnerships with the UN Office for Disarmament Affairs and its regional centers, regional organizations (including CARICOM and the European Union), and civil society organizations including the Center for Armed Violence Reduction (CAVR) and Control Arms. The content of this report was supported by work done in collaboration with CARICOM-IMPACS and Laura Spano, in her role with CAVR.

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For more information, visit the Arms Trade Treaty-Baseline Assessment Project Portal at [www.armstrade.info](http://www.armstrade.info) or contact us at [ATT@stimson.org](mailto:ATT@stimson.org)

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