



Minute taker: Noel Kelly
Time: 1:30-3:00PM

SIPRI Armament and Disarmament Cluster Meeting
Solna, 12 August 2019

Participants:

Sibylle Bauer, Aude Fleurant, Shannon Kile, Mark Bromley, Pieter Wezeman, Siemon Wezeman, Petr Topychkanov, Nan Tian, Kolja Brockmann, Giovanna Maletta, Diego Lopes, Alexandra Kuimova, Moa Peldán Carlsson, Tarja Cronberg, Vitaly Fedchenko, Alexandra Manolache, Lena Kappelin, John Batho, Elin Elmgren, Paul Gerharz,

Agenda for next A&D cluster meeting:

- Report back from the Programme/Project Heads on recent/upcoming activities/meetings (please include in the report any updates on UD funded work)
- Concept notes/Grants updates (Read and check info in Excel sheet circulated on [9 August](#))
- 2019 Stockholm Security Conference - update
- Cluster Strategy - Report back from SMT/Sibylle
- Publications update (John)
- AOB

Two new staff were welcomed to the A&D Cluster. Moa Peldán Carlsson has been recruited as an RA to work with EMST and Paul Gerharz is an intern with DUAT.

Emerging military and security technologies (EMST)

- Currently working towards completing the Carnegie project with the final reports being delivered to Editorial on Monday 19 August.
- On the joint project with ICRC called '*Limits on Autonomy in Weapon Systems: Identifying Concrete Elements of Human Control*' full funding has been approved with the Netherlands, Sweden, Switzerland contributing. Vincent and Moa will be in Geneva from 18-22 August for the Meeting on UN GGE on LAWS. They are going to use this occasion to discuss the project draft paper with partners for the joint ICRC project.
- Fundraising activities will be resumed in the next 2-3 weeks.

Nuclear disarmament, arms control and non-proliferation

- On 17 June, SIPRI launched new data on the world's nuclear forces.
- On 18 June, SIPRI hosted an in-house meeting with IISS (London). Among the participants was SIPRI Senior Associate Bob Kelley. This was a technically focussed meeting looking at the case experiences with denuclearization of Iraq and South Africa and how these could be applied to North Korea at some point in the future.
- On 11/12 July, SIPRI organized in Stockholm the latest in the long-running series of Iran dialogue meetings. There was general agreement among the participants that the meeting was the most important and productive to date in light of the escalating tensions between Iran and the USA.
- In terms of research work, Shannon will forward further information to be added into the A&D Concept notes/Grants updates Excel sheet circulated by the Cluster Coordinator. Moreover, the Nuclear team have applied for project funding from the German MFA for a new project titled '*Assessing Nuclear Deterrence Risks and Challenges: China–India–Pakistan*'. If the funding is approved, Petr will be the principal in-house researcher with Lora Saalman coming in as a consultant and Shannon also involved.

- SIPRI will convene an expert meeting called ‘*Unlocking Nuclear Disarmament Diplomacy*’ on 2-3 September to explore concrete and actionable proposals to advance disarmament. The budget has been approved and funded by the Swedish MFA. There are plans for a follow up meeting at a higher level to be hosted here in SIPRI during November.
- The Hiroshima project work is continuing with a further publication planned and further activities in 2020.
- The Treaty on the Elimination of Intermediate-Range and Shorter-Range Missiles (INF Treaty) expired this year but in this context SIPRI made a visible footprint being involved in broad discussions. On 21 June, SIPRI, in partnership with the Heinrich Böll Foundation and the European Leadership Network, held a seminar on managing the collapse of the INF Treaty. The event took place at the Heinrich Böll Foundation headquarters in Berlin.

DUAT

- On 25/26 June, the EXBS grant workshop on ‘*Investigating and prosecuting violations of dual-use and arms export controls*’ was held successfully. A draft version of a background paper was circulated following the event and the team is receiving comments back. The ambition is to publish a final paper in October. The second workshop planned for September on ‘Inter-regime dialogue and coordination’ has been cancelled, as EXBS explained it was no longer in line with State Department priorities. The DUAT team are still expecting to use the research conducted to publish a related paper.
- Work for the second phase of the EU-funded DIVERT Project on firearms trafficking in the EU and led by the Flemish Peace Institute (for which DUAT previously produced ten mapping case studies) is starting. The next phase will involve a more in-depth study on firearms trafficking in one of the states covered by SIPRI’s mapping studies and in this case, Sweden. Giovanna and Mark will be working on this and the report is due in November.
- On UD grant work, Marina, Alfredo and Mark had their paper [*Measuring illicit arms and financial flows: Improving the assessment of Sustainable Development Goal 16*](#) published at the beginning of July.
- Further on-going UD grant work carried out by DUAT includes a study on reporting instruments. Mark is working with Jose Alvarado –

from the Peace and Development Cluster – on this and a draft paper is due to Joey at the end of October.

- On 28 June, a topical backgrounder written by Giovanna was published [*Legal challenges to EU member states' arms exports to Saudi Arabia: Current status and potential implications*](#). The aim of this backgrounder is to analyse the two legal challenges presented by NGOs in UK and Italy against these two countries' arms exports to Saudi Arabia. The piece assesses the potential significance of these actions on the implementation of both international and EU standards regulating arms trade.
- Building on the Bio Plus X project report, a blog piece written by Kolja was published on the SIPRI website in July, [*Advances in 3D printing technology: Increasing biological weapon proliferation risks?*](#) This blog piece looks specifically at export controls and additive manufacturing with regard to possible applications in the biological weapons area. From 31 July to 2 August, Kolja and Sibylle attended the 2019 Meeting of States Parties to the Biological and Toxin Weapons Convention (BTWC). On 2 August Kolja presented the report 'Bio Plus X: Arms Control and the Convergence of Biology and Emerging Technologies' at a side event organised by the German MFA. Sibylle moderated the side event. See [*ClusterWiki*](#) for more detail.
- A contract has been signed with Fondation pour la Recherche Stratégique (FRS) for Kolja to produce a paper for their project about the Hague Code of Conduct (HCoC) on Ballistic Missiles. The paper will look at the complementarity of HCoC as a transparency measure with export controls under the Missile Technology Control Regime (MTCR) and the United Nations Security Council (UNSCR) Resolution 1540. This work is scheduled to be completed in February 2020.
- Giovanna and José are currently working on a blog piece on the implementation of Gender-Based Violence (GBV) risk assessment in arms transfers' decision-making. The piece will be published ahead of the ATT 5th Conference of States Parties (26-30 August 2019).
- On 23 July, a project proposal was submitted to the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) for a project on '*Mapping ATT- and POA-relevant assistance activities in Central Asia, Oceania and South Asia, and producing a User's Guide to the SIPRI database on ATT-relevant assistance activities*'. This information is in the A&D Concept Notes and Grants Applications Excel document that has been circulated. The status of the Carnegie

application submitted in May on '*The erosion of restraint: State-industry relations, arms export controls, and the perpetuation and conduct of armed conflict*' was discussed (we learnt on 13 August this bid was rejected).

EUNPDC

- At the end of June, the first EUNPDC interim narrative and financial report was submitted to the European Commission and the EEAS. It covered the first year of implementation of the project. Although the team is waiting for more formal comments and possible queries, the initial feedback has been very positive.

- In terms of publications, during the summer Giovanna was in contact with new potential authors. Below is a list of upcoming publications (this list was also circulated by e-mail to the A&D Cluster on 13 August).

- *Meaningful Human Control over Swarms*, Maaike Verbruggen from Vrije Universiteit Brussel (VUB): first draft expected by [30 August](#);

- *Not so-distant players: the role the EU and the member states can play in the denuclearization of North Korea* , Antoine Bondaz (FRS): first draft expected by [16 September](#);

- *The crisis of nuclear arms control and its impact on European security*, Łukasz Kulesa from The Polish Institute of International Affairs (PISM): first draft expected by [21 October](#) 2019.

There are reviewers already for these papers (some among SIPRI staff) but if others would also be interested in reading the papers and give additional comments, please let Giovanna know so she can send you the drafts as they come.

- The Help Desk facility within the Consortium provides ad-hoc expertise (in the form of written or oral briefings) in response to questions on the full range of non-proliferation and disarmament issues, covering both conventional and non-conventional arms. They also inform and facilitate the shaping of EU policy action in relation to specific and urgent topics. These topics are identified through discussions with EEAS in light of the international agenda, forthcoming EU events and EU policy documents. These briefings are not based on original research but a review of existing literature.

These are some of the general topics on which the EEAS may ask briefings for in the future: Comprehensive Nuclear-Test-Ban Treaty

(CTBT), Fissile Material Cut-off Treaty (FMCT), and the four points of the UN Secretary-General's Agenda on Disarmament which will be supported by the EU (Action 4, 7, 9 and 22). Funding is attached for the production of the Help Desk Papers (3,000 Euros per paper for the author, plus salary coverage for editing).

On 8 August, Sibylle met with the *Working Party on Non-Proliferation* (CONOP) Chair on Help Desk papers. This follows on from a CONOP meeting that Sibylle attended in July, where she briefed the EU member states about the status of the EUNPDC project and made a pitch for the EEAS and EU Member States being more proactive in requesting these Help Desk Papers (total of 18 over the whole contract). The challenge with the Help Desk request is there is only a short amount of time to turn it around (2-3 weeks from request to sending edited paper to EEAS). Sibylle has requested researchers be pro-active, and think about the topics, look at the calendar and events coming up. Look at the priority actions of UNSG Disarmament Agenda, and then let Sibylle know if you have specific suggestions. The budget line hitherto has been underused so SIPRI researchers should pro-actively suggest topics they are interested in.

- On membership of the Network - it was reported we would soon have Network members from all EU member states. Finally, on a side note, as we have new colleagues in the A&D Cluster who may not be really aware of what the EUNPDC project is about, please contact Giovanna if you have any questions.

AMEX

- In June 2019, a UD project paper, *Reporting to the United Nations Register of Conventional Arms for 2017* authored by Siemon was published. Siemon's other UD project on *Arms Flow to South East Asia* paper has been through the Editorial process and now back with Siemon to finish. It is hoped to be published shortly. Further UD work is the *Military Spending and Official Development Assistance* Fact sheet. The Fact sheet has been internally and externally reviewed and is back with the Editors and should be ready for publishing during September. AMEX research work for the UD Off-budget/extra-budget milex project that will result in a policy paper is ongoing with a final target publishing date of 25 November 2019. Nan received an external review for the SIPRI UD Insights paper on *Assessing Arms Sales of Chinese Companies* and responded. Follow some further internal checking from Aude and Siemon this paper will then go back to Editorial.
- In September AMEX starts a new project with Pieter in the lead on a project called '*Monitoring global trends in conventional arms*

procurement: proposal for a scoping study'. This project has been funded by Finnish MFA and is a pilot study about expanding AMEX data to include arms procurement data. An internal report will be produced and SIPRI Insights paper will be published in September 2020.

- Aude reported there is no answer yet from Conseil supérieur de la formation et de la recherche (CFSRS) for the funding application on 'Internationalization in the arms industry' <"L'internationalisation des firmes de l'armement: principes, mécanismes et effets sur la recomposition du lien État-Industrie de la défense (INTERINDUSDEF)"> This information is in A&D concept notes and grants applications Excel document that has been circulated.
- The advertisement for a new AMEX Senior Researcher and Programme Director to replace Aude who will be leaving SIPRI during Spring 2020 is currently out. Since there will be a period of transition for the AMEX team they will shortly meet with Dan and Sibylle to discuss.

European Security

- Vitaly reported on a visit to SIPRI by Mikaela Kumlin Granit, the Swedish Ambassador to Vienna, in connection with Sweden becoming Chair of the IAEA Board of Governors for 2019–2020. As part of the meeting SIPRI offered to do side events and Vitaly is following up.
- SIPRI currently has a MoU with IAEA and this will be up for renewal next year and looks positive, as Vitaly has already been asked to initiate within SIPRI the formal process to write a letter requesting renewal.

Concept notes/Grants updates

- The Excel sheet containing known concept notes and current grants applications was circulated to Cluster prior to the meeting. Most of the information about on-going funding applications was dealt with during Programme reports. No news yet from the Norwegian MFA regarding the application for a project titled '*Strengthening Global Regimes to Promote Nuclear and Chemical Security*' from the Nuclear Disarmament, Arms Control and Non-proliferation Programme.

Report from DoS

- Since our last meeting on 4 June, Sibylle reported on meetings attended. On 13 June, Sibylle briefed The North Atlantic Council

(NAC). They had an away day and were invited to Chair's residence and did a whole day on new technologies where Sibylle shared a panel with Rose Gottemoeller (NATO Assistant SG and former member of SIPRI's Governing Board).

- On 30 July, Sibylle was in Berlin on behalf of DUAT for an event on post-shipment controls. The Germans are doing an evaluation on this new instrument. Relevant also to the nuclear question because in the German system, the same person who did the post-shipment controls for SALW also did the JCPOA checks in Iran. An interesting question, how can the body of existing knowledge be used more broadly for safeguards or verification mechanisms?
- On 31 July, while in Geneva, Sibylle had a meeting with UNIDIR. They are very keen to cooperate more with SIPRI. Under the new management structure of Renata Dawn (Director) and John Borrie the Research Chief they encourage everybody who is passing through Geneva to discuss joint projects. We think along similar lines and are great partners so we should build this relationship.
- The German Government is keen to take technology work forward following on from the March conference that SIPRI participated in. They want to make this issue a priority during their EU Presidency during the second half of 2020. There will be events coming up and one should keep this in mind and they've also decided to set up a series of expert meetings to brainstorm on technology governance. The first meeting is on 30 August and Sibylle and Kolja will be attending. It will be in German but future meetings might be in English.
- On 23-24 September, there may be an event at SIPRI on non-proliferation and disarmament education. This is a work in progress but there has been discussion already within the EUNPDC on how we can engage with other regions. The lack of arms control and disarmament education in universities both in Europe and beyond, and the lack of expertise of the next generation are issues of concern. Sibylle has spoken with others including with the EEAS on how to move this forward. The idea is to host an initial meeting at SIPRI and bring in academics from different regions that are committed to offering courses on these issues. If you have ideas about persons who can be involved then let Sibylle know.
- On 23/24 October, Sibylle has been invited by Heather Williams to King's College London for a Disarmament/Deterrence Workshop.

- On 7/8 November – Sibylle has been invited to attend the Moscow non-Proliferation Conference. Shannon might be going and Sibylle may go too but TBC. If going she will also represent the EUNPDC.
- Sibylle was invited to speak at an export control meeting in Beijing by the *China Arms Control and Disarmament Association* (CACDA) on 14/15 Nov. Sibylle will share the information with DUAT and discuss who might go.

Stockholm Security Conference 2019

- As mentioned before, the actual Conference is for one whole day only on 3 Oct. However, this will be preceded on 2 Oct. by a dinner co-hosted by SIPRI and MSC with only about 50 people invited. The Speaker of Parliament Andreas Norlén will give the opening remarks. Crown Princess Victoria of Sweden plans to attend the SSC. If you want further information about the agenda just contact Katja. Please send suggestions for people that may be interested in attending to Katja.

Cluster Strategy

- Before the summer, the Governing Board has signed off the Institute strategy but they have requested that a strategy annex of two pages from each Cluster be added. A draft of the A&D Cluster strategy was shared and discussed at this meeting and the DoS has arranged to meet with Programme Directors/Project Heads to discuss and finalise. Further feedback following this meeting can be forwarded to Sibylle. The Institute strategy is a five-year strategy and our Cluster strategy will follow suit. The final text version will be added to our Intranet in due course.

AOB

- 4 October (TBC) – Following a discussion on the topic of hosting a meeting with external guests on a SIPRI strategy for our work on emerging technology, it was decided that as a first step, an internal prep meeting should be held. Vincent will take the lead.
- All Cluster staff is requested to start updating the Clusterwiki calendar with events information that one has confirmed to attend for the rest of this year. If you need help on how to edit the calendar please contact the Programme Coordinator.

Next A&D cluster meeting is on 11 September at 9:30