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presents the

## **2015 Schloss Elmau G7 Summit Interim Compliance Report**

9 June 2015 to 20 February 2016

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30 March 2016

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*“We have meanwhile set up a process and there are also independent institutions monitoring which objectives of our G7 meetings we actually achieve. When it comes to these goals we have a compliance rate of about 80%, according to the University of Toronto. Germany, with its 87%, comes off pretty well. That means that next year too, under the Japanese G7 presidency, we are going to check where we stand in comparison to what we have discussed with each other now. So a lot of what we have resolved to do here together is something that we are going to have to work very hard at over the next few months. But I think that it has become apparent that we, as the G7, want to assume responsibility far beyond the prosperity in our own countries. That’s why today’s outreach meetings, that is the meetings with our guests, were also of great importance.”*

Chancellor Angela Merkel, Schloss Elmau, June 8, 2015

## Contents

Preface .....	3
Executive Summary .....	5
Table A: 2015 Priority Commitments Selected for Assessment.....	6
Table B: 2015 Interim G7 Schloss Elmau Compliance Scores.....	7
Table C: 2015 Interim G7 Schloss Elmau Compliance Scores by Country.....	8
Table D: 2015 Interim G7 Schloss Elmau Compliance Scores by Commitment .....	8
1. Macroeconomic Policy: Foster Growth .....	9
2. Infrastructure: Infrastructure Investment.....	17
3. Climate Change: Growth Agenda .....	24
4. Financial Regulation: Tax Agenda.....	33
5. Nonproliferation: Arms Trade .....	40
6. Regional Security: Ukraine.....	46
7. Regional Security: Maritime.....	54
8. Human Rights: Migrants .....	63
9. Terrorism: Terrorists' Assets.....	72
10. Health: Coordinated Rapid Deployment .....	81
11. Health: National Action Plans .....	91
12. Health: Vaccines .....	99
13. Climate Change: Low-Carbon Strategies.....	106
14. Climate Change: Copenhagen Accord .....	117
15. Climate Change: Vulnerable Countries.....	125
16. Energy: Liberalizing Systems .....	136
17. Food and Agriculture: Voluntary Guidelines on the Responsible Governance.....	151

## 5. Nonproliferation: Arms Trade

“[Based on our common values and principles we are committed to:] Strengthening the System of Multilateral Treaties/Arms Trade Treaty”

*G7 Schloss Elmau Summit Declaration*

### Assessment

	Lack of Compliance	Work in Progress	Full Compliance
Canada		0	
France			+1
Germany			+1
Italy	-1		
Japan			+1
United Kingdom		0	
United States	-1		
European Union			+1
Average		+0.25	

### Background

The inadequate control of arms transfers has led to the widespread availability of conventional weapons. These can be misused by state and non-state armed forces, and organized criminal groups. The accessibility of these weapons facilitates human rights violations against civilian groups worldwide.<sup>200</sup> Already-marginalized populations and those living in conflict zones are at the greatest risk. Attacks using lethal weapons acquired through uncontrolled transfers also disrupt development projects and challenge humanitarian interventions. The efforts of the G7 members, and other international organizations to promote economic and social development, maintain peace, deliver aid or help displaced persons is impeded by groups with easy access to weaponry.<sup>201</sup>

On 24 December 2014, the Arms Trade Treaty (ATT) was ratified to address the negative impact of the global arms trade. Specifically, the ATT aims to decrease violence against civilians in conflict areas, create safe environments for the United Nations to intervene for peacekeeping missions, prevent human rights violations, promote post-conflict peace building projects, and create safe environments in which other humanitarian organizations can operate.<sup>202</sup>

United Nations Secretary-General Ban Ki-moon praised the treaty, stating the ATT “will be a powerful new tool in our efforts to prevent grave human rights abuses or violations of international humanitarian law. And it will provide much-needed momentum for other global disarmament and non-proliferation efforts.”<sup>203</sup> At the 2015 summit, leaders stressed the importance of the ATT and committed to broadening support for the treaty. G7 leaders have acknowledged the ATT as an important tool in creating improving security and combating humanitarian crises.<sup>204</sup>

There are few treaties currently in force that attempt to regulate the sale of conventional weapons. Multilateral agreements include the Convention on Prohibitions or Restrictions on the Use of Certain Conventional

<sup>200</sup> The Arms Trade Treaty, United Nations Office for Disarmament Affairs. Access Date: 14 January 2016. <http://www.un.org/disarmament/ATT/>

<sup>201</sup> The Arms Trade Treaty, United Nations Office for Disarmament Affairs. Access Date: 14 January 2016. <http://www.un.org/disarmament/ATT/>

<sup>202</sup> The Arms Trade, United Nations Office for Disarmament Affairs. Access Date: 14 January 2016. <http://www.un.org/disarmament/convarms/ArmsTrade/>

<sup>203</sup> Ban Ki-moon, The Arms Trade, United Nations Office for Disarmament Affairs. Access Date 14 January 2016. <http://www.un.org/disarmament/convarms/ArmsTrade/>

<sup>204</sup> Leaders' Declaration: G7 Elmau Summit, 8 June 2015. Access Date: 14 January 2016. <http://www.g8.utoronto.ca/summit/2015elmau/2015-G7-declaration-en.html>

Weapons Which May be Deemed to be Excessively Injurious or to Have Indiscriminate Effects and the Treaty on Conventional Armed Forces in Europe.<sup>205</sup> G7 commitments to the ATT and strengthening the system of multilateral treaties aims to increase regional security and to uphold legitimate arms trades while discouraging illegal trafficking of arms and reducing humanitarian strife.<sup>206</sup>

**Commitment Features**

The commitment of G7 leaders to strengthening the ATT and multilateral trade agreements requires the creation of better, coordinated measures to prevent conventional weapons from freely flowing between countries and falling into the hands of those who intend to misuse them. G7 countries will not only need to broaden support for the ATT, but create more effective barriers to illegal trafficking of arms.

As signatories of the ATT, governments are required to assess the risk of transferred weapons or ammunitions increasing conflict or be used to violate international humanitarian law before these transfers take place.<sup>207</sup> To be fully compliant, a member state must put in place policies that allows it to better assess the negative outcomes of arms transfers on civilians, in addition to supporting the ATT in general.

**Scoring Guidelines**

-1	Member does not engage in risk assessments as outlined by the Arms Trade Treaty AND does not participate in activities to strengthen the system of multilateral treaties.
0	Member engages in risk assessments before trading or transferring arms as outlined by the Arms Trade Treaty OR participates in activities to strength the system of multilateral treaties.
+1	Member engages in risk assessments before trading or transferring arms as outlined by the Arms Trade Treaty AND participates in activities to strength the system of multilateral treaties.

*Lead Analyst: Amelia Cook*

**Canada: 0**

Canada has partially complied with its commitment to strengthen the system of multilateral treaties and the Arms Trade Treaty (ATT).

Canada remains the only member of NATO not to sign the ATT. However, the victory of the Liberal party in Canada’s general election of 19 October 2015 emplaced a government committed to signing the treaty.<sup>208</sup> Newly elected Canadian Prime Minister Justin Trudeau has stated that he will move Canada back towards its traditional role as an active player in multilateral institutions, including the United Nations.<sup>209</sup> Ensuring that Canada becomes a party to the ATT was an explicit pledge in the Liberal campaign platform, and a priority in new Foreign Affairs Minister Stéphane Dion’s mandate letter.<sup>210,211</sup>

However, Prime Minister Trudeau has yet to fulfill these promises. In February 2016, the government refused to cancel or reassess a CAD15 billion arms contract with Saudi Arabia (a stated ranked among the lowest in the world for human rights protection), and declined to make public an internal report into whether or to

<sup>205</sup> UNDOA Treaties Database, United Nations Office for Disarmament Affairs. Access Date: 15 January 2016.

<http://www.un.org/disarmament/HomePage/treaty/treaties.shtml>

<sup>206</sup> G7 Statement on Non-Proliferation Disarmament, April 15 2015. Access Date: 15 January 2016.

<http://www.g8.utoronto.ca/foreign/formin150415-nonprolif.html>

<sup>207</sup> Leaders’ Declaration: G7 Elmau Summit. 8 June 2015. Access Date: 14 January 2016.

<http://www.g8.utoronto.ca/summit/2015elmau/2015-G7-declaration-en.html>

<sup>208</sup> Joining UN arms treaty will take more than Justin Trudeau’s signature, CBC, 29 October 2015. Date of Access: 20 February 2016. <http://www.cbc.ca/news/politics/justin-trudeau-arms-treaty-1.3295280>

<sup>209</sup> Trudeau promises to sign arms treaty, slams Harper’s foreign record, Toronto Star. 7 October 2015. Date of Access: 31 January 2016. <http://www.thestar.com/news/canada/2015/10/07/trudeau-promises-to-sign-arms-treaty-slams-harpers-foreign-record.html>

<sup>210</sup> Liberal Party Platform: Guns. Liberal Party Website. Date of Access: 31 January 2016. <https://www.liberal.ca/realchange/guns/>

<sup>211</sup> Trudeau’s Handling of the Saudi Arms Deal will Define His Legacy, Huffington Post Canada. 28 January 2016. Date of Access: 31 January 2016. [http://www.huffingtonpost.ca/cesar-jaramillo/justin-trudeau-saudi-arms-deal\\_b\\_9102670.html](http://www.huffingtonpost.ca/cesar-jaramillo/justin-trudeau-saudi-arms-deal_b_9102670.html)

what extent the deal would violate Canadian export rules.<sup>212,213</sup> According to *The Globe and Mail*, the Global Affairs Canada (formerly DFAIT) says Ottawa is “not ready” to sign the ATT yet.<sup>214</sup>

Canada has made progress in its commitment to strengthening the ATT, but has made no progress toward improving or reassessing risk with respect to the conduct of the arms trade. Canada has thus partially complied with this commitment and is awarded a score of 0.

*Analyst: Jerome Newton*

**France: +1**

France has fully complied with its commitment on strengthening the system of multilateral treaties and the Arms Trade Treaty (ATT). It has actively participated to broaden worldwide support of the ATT and implemented policies to assess risks due to the transfer of arms.

At the First Conference of State Parties for the ATT of 24–27 August 2015, France acted as Facilitator on Secretariat. The conference called for United Nations members to sign and ratify the ATT.<sup>215</sup> In addition, France was appointed as one of five representatives to be a member of the management committee that oversees the international implementation of the ATT.<sup>216</sup>

Thus, France has been rewarded a score of +1.

*Analyst: Peter Fettes*

**Germany: +1**

Germany is awarded a score of +1 for fully complying with the requirements set out by the Arms Trade Treaty (ATT) and actively working to strengthen multilateral non-proliferation treaties.

On 16 October 2015, Germany held a meeting in partnership with members of the African Union (AU) to discuss arms limitation as part of the “African Union–Germany Project on Enhanced Small Arms and Light Weapons (SALW) Control and Physical Security and Stockpile Management (PSSM) in the Greater Sahel.”<sup>217</sup> This meeting furthered a project launched in May 2015 to control the movement and prevent the loss of small arms in the Sahel region of Africa. The project also aims to improve cooperation between developed and developing states on the issue.<sup>218</sup>

Given Germany’s commitment to broadening arms control and risk assessment, in compliance with the ATT, Germany is awarded a score of +1.

*Analyst: Jerome Newton*

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<sup>212</sup> Freedom in the World 2015, Freedom House. Date of Access: 20 February, 2016. <https://freedomhouse.org/report/freedom-world/freedom-world-2015#.Vsi6bPlrKhc>

<sup>213</sup> Ottawa can’t reveal arms-export numbers, *The Globe and Mail*. 16 January 2016. Date of Access: 31 January 2016. <http://www.theglobeandmail.com/news/politics/ottawa-cant-reveal-arms-export-numbers/article28231546/>

<sup>214</sup> Ottawa can’t reveal arms-export numbers, *The Globe and Mail*. 16 January 2016. Date of Access: 31 January 2016. <http://www.theglobeandmail.com/news/politics/ottawa-cant-reveal-arms-export-numbers/article28231546/>

<sup>215</sup> Directive of the States Parties to the Secretariat of the Arms Trade Treaty, Arms Trade Treaty (Cancun), 25 August 2015. Date of Access: 23 January 2016. [https://s3.amazonaws.com/unoda-web/wp-content/uploads/2013/06/ATT\\_CSP1\\_CONF.3.Secretariat.pdf](https://s3.amazonaws.com/unoda-web/wp-content/uploads/2013/06/ATT_CSP1_CONF.3.Secretariat.pdf)

<sup>216</sup> First Conference of State Parties Draft Final Report, Arms Trade Treaty (Cancun), 27 August 2015. Date of Access: 23 January 2016. [http://www.thearmstradetreaty.org/images/ATT\\_CSP1\\_2015\\_\\_2.pdf](http://www.thearmstradetreaty.org/images/ATT_CSP1_2015__2.pdf)

<sup>217</sup> AU-Germany high-level meeting on small arms control in the greater Sahel, Bonn International Centre for Conversion, 16 October 2015. Date of Access: 20 February 2016. <https://www.bicc.de/press/press-releases/press/news/au-germany-high-level-meeting-on-small-arms-control-in-the-greater-sahel-461/>

<sup>218</sup> AU-Germany high-level meeting on small arms control in the greater Sahel, Bonn International Centre for Conversion, 16 October 2015. Date of Access: 20 February 2016. <https://www.bicc.de/press/press-releases/press/news/au-germany-high-level-meeting-on-small-arms-control-in-the-greater-sahel-461/>

**Italy: -1**

Italy has not complied with its commitment to strengthen multilateral trade agreements and implement the terms of the Arms Trade Treaty.

On 13 October 2015, Italy's Permanent Representative to the UN Conference on Disarmament, Vinicio Mati, reaffirmed Italy's commitment to all progress made with respect to small arms control, voiced Italy's support for the expansion of the Nonproliferation Treaty, and welcomed the goals of the Biological and Toxin Weapons Convention.<sup>219</sup>

Although Italy has announced support for the multilateral system of treaties controlling the movement of small and other arms, it has made no new substantive efforts to strengthen it. Italy has not engaged openly in the conduct of new risk analyses, consistent with guidelines laid out in the ATT. For these reasons, Italy receives a score of -1.

*Analyst: Amelia Cook*

**Japan: +1**

Japan has fully complied with its commitment to strengthen multilateral trade agreements and implement the terms of the Arms Trade Treaty (ATT).

On 26 October 2015, Japan's ambassador to the Conference on Disarmament at the First Committee of the 70th Session of the General Assembly issued a statement outlining Japan's support for the ATT, and practical steps to ensure its implementation and execution. First, Japan outlined the importance of creating feasible reporting mechanisms for the ATT Secretariat to promote transparency and keep the execution of the treaty on track.<sup>220</sup> Furthermore, Japan committed to universalizing the ATT throughout the Asia-Pacific region through international cooperation and aiding states' capacity to effectively implement treaty obligations. Finally, Japan called on all member states to "extend their support to the annual resolution on small arms and light weapons drafted by Colombia, Japan, and South Africa, so that it will be adopted again by consensus."<sup>221</sup>

Japan has also committed to funding mine programs to clear unexploded bombs, and improving risk assessment programs.<sup>222</sup>

Due to Japan's continued commitment to facilitate the effective international implementation of the ATT, Japan receives a score of +1.

*Analyst: Amelia Cook*

**United Kingdom: 0**

The United Kingdom has partially complied with its commitment to strengthen the system of multilateral treaties and conduct risk assessments consistent with the ATT.

Following Saudi Arabia's controversial execution of 47 anti-government protestors in January 2016 and revelations about Saudi attacks on civilian targets in Yemen, numerous civil rights groups and international

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<sup>219</sup> Statement by the Permanent Representative of Italy to the Conference on Disarmament, Ambassador Vinicio Mati, at the General Debate of the First Committee - 70th UN General Assembly, Ministero degli Affari Esteri e della Cooperazione Internazionale, 13 October 2015. Date of Access: 20 February 2016.

[http://www.italyun.esteri.it/rappresentanza\\_onu/en/comunicazione/archivio-news/2015/10/2015-10-13-mati-ga.html](http://www.italyun.esteri.it/rappresentanza_onu/en/comunicazione/archivio-news/2015/10/2015-10-13-mati-ga.html)

<sup>220</sup> Statement at the First Committee of the 70<sup>th</sup> Session of the General Assembly of the United Nations (Tokyo) 26 October 2015. Date Accessed: 1 February 2016. <http://www.mofa.go.jp/policy/un/disarmament/index.html>

<sup>221</sup> Statement at the First Committee of the 70<sup>th</sup> Session of the General Assembly of the United Nations (Tokyo) 26 October 2015. Date Accessed: 1 February 2016. <http://www.mofa.go.jp/policy/un/disarmament/index.html>

<sup>222</sup> Statement at the First Committee of the 70<sup>th</sup> Session of the General Assembly of the United Nations (Tokyo) 26 October 2015. Date Accessed: 1 February 2016. <http://www.mofa.go.jp/policy/un/disarmament/index.html>

organizations campaigns for states with arms deals to Saudi Arabia to reassess those agreements.<sup>223</sup> The British government has stated that it will take “extremely seriously” a January 2016 UN report suggesting that Saudi forces committed crimes against humanity in Yemen.<sup>224</sup>

Under the UK’s Consolidated EU and national arms export licensing criteria, the United Kingdom reviews its arms sales agreements on a continual basis, and has therefore conducted risk assessments with respect to deals with Saudi Arabia and other countries this year.<sup>225</sup>

The UK has made no substantive efforts to strengthen the system of multilateral arms treaties this year.

Therefore, the UK is awarded a score of 0.

*Analyst: Amelia Cook*

### **United States: -1**

The United States has not complied with its commitment to strengthen the system of multilateral treaties or the ATT.

Following the refusal of the United States Senate to ratify the ATT in March 2013, the US has made no substantive effort to strengthen the treaty, nor to expand or create other treaties addressing the control of small arms.<sup>226</sup>

For this reason, the United States is awarded a score of -1.

*Analyst: Genevieve Zingg*

### **European Union: +1**

The European Union has fully complied with its commitment to strengthen the system of multilateral treaties and the Arms Trade Treaty (ATT).

An evaluation of the Firearm Directive for the EU was concluded last year and the Commission is submitting proposals for legislative and non-legislative actions to the European Parliament and the Council to improve the current system for controlling and regulating purchase and movement of conventional weapons.<sup>227</sup> On 18 November 2015, at the Press Conference on the Preparation of the 20 November Justice and Home Affairs Council and the Firearms Package, Commissioner Elzbieta Beinkowska stated, “the rules to acquire and trade firearms should be stricter” and announced a new package to better improve regulation. This package consists of implementing stricter and harmonized standards across the EU to create better rules for transferring weapons across borders.<sup>228</sup>

Finally, the EU has undertaken an “Everything-But-Arms” arrangement with Uganda to aid its development by allowing duty free access to the EU.<sup>229</sup>

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<sup>223</sup> UK arms are fuelling Saudi Arabia’s War, The Guardian, 29 January 2016. Date of Access: 20 February 2016.

<http://www.theguardian.com/world/2016/jan/29/uk-arms-are-fuelling-saudi-arabias-war>

<sup>224</sup> Britain says will take U.N. Yemen report ‘extremely seriously,’ Reuters, 28 January 2016. Date of Access: 20 February 2016.

<http://uk.reuters.com/article/uk-yemen-war-saudi-britain-idUKKCN0V61E4>

<sup>225</sup> Assessment of export license applications: criteria and policy, GOV.UK (London) 12 December 2012. Date of Access: 23 March 2016. <https://www.gov.uk/guidance/assessment-of-export-licence-applications-criteria-and-policy>.

<sup>226</sup> Senate votes 53-46 to stop US from joining UN Arms Trade Treaty, The Hill, 23 March 2013. Date of Access: 20 February 2016.

<http://thehill.com/blogs/floor-action/senate/290001-senate-votes-to-stop-us-from-joining-un-arms-treaty>

<sup>227</sup> EU Commission Fact Sheet, European Commission Press Release (Brussels) 11 January 2015. Date of Access: 10 February 2016. [http://europa.eu/rapid/press-release\\_MEMO-15-3140\\_en.htm](http://europa.eu/rapid/press-release_MEMO-15-3140_en.htm)

<sup>228</sup> European Commission Speech, European Commission Press Release (Brussels) 18 November 2015. Date of Access: 10 February 2016. [http://europa.eu/rapid/press-release\\_SPEECH-15-6126\\_en.htm](http://europa.eu/rapid/press-release_SPEECH-15-6126_en.htm)

<sup>229</sup> The EU’s work in Rwanda, Kenya, and Uganda. European Commission Press Release (Brussels) 16 September 2015. Date of Access: 10 February 2016. [http://europa.eu/rapid/press-release\\_MEMO-15-5655\\_en.htm](http://europa.eu/rapid/press-release_MEMO-15-5655_en.htm)

Given the EU's commitment to implementing the ATT and strengthening multilateral agreements to prevent illegal arms transfers, the European Union receives a score of +1.

*Analyst: Amelia Cook*