

# **ANNEX I**

ASEAN REGIONAL FORUM  
CONCEPT PAPER:  
THE DEVELOPMENT OF A RECORDING SYSTEM FOR  
CONFIDENCE BUILDING MEASURES (CBMs)

## Introduction

1 At the 8<sup>th</sup> ASEAN Regional Forum (ARF) Ministerial Meeting, Ministers took stock of the progress of the ARF since its inception in 1994. It was recognized that one of the key achievements of the ARF has been to develop a range of Confidence Building Measures (CBMs) which contribute to mutual understanding, trust and transparency between ARF participants. This will continue to be a core function of the ARF as it evolves.

2 There has been substantial growth in the number of CBMs proposed and implemented in the ARF. This paper suggests the ARF should look at ways to streamline the administrative and management processes associated with CBMs. The paper outlines the key issues associated with the development of a more comprehensive recording system for ARF CBMs and proposes some alternative concepts for consideration by ARF participants.

## Scope of a CBM recording system

3 For the purpose of this proposal CBMs are defined as activities and actions aimed at enhancing mutual trust and confidence between states. Ordinarily, ARF CBMs are those that are proposed and endorsed at the regular Inter-sessional Support Group (ISG) meetings. Although the list is not exhaustive, previous ARF CBMs have included meetings, seminars and workshops held for ARF participants, the establishment of permanent information collection arrangements, and other practical activities. There are also CBMs undertaken outside the ARF.

4 ARF participants considered issues around the scope of a CBM recording system at the ISG meeting in New Delhi in December 2001. They looked at whether:

- the system should record only those activities undertaken jointly by ARF participants; or
- the system should be expanded to include information on activities involving ARF participants such as those covered in the existing matrices.

### Information to be recorded on a standardised basis

9 It is proposed that ARF participants agree on standard information to be collected on each CBM. Some information could be collected prior to the CBM taking place. Other information would need to be collected after completion of the CBM activity. The information could include:

- the name and a short description of the CBM;
- the sponsor and contact details;
- the date and venue of the CBM;
- the objective of the CBM;
- the target audience of the CBM;
- suggested follow-up action after the CBM has been completed.

10 Registration forms would be one means of capturing this information in a standardised manner. Two draft forms are attached. It is envisaged that the forms would be submitted by CBM sponsors and forwarded to the recorder.

### Alternative recording methods

11 It is proposed that ARF CBMs should be recorded in a way which is easy to use and is accessible to ARF participants. There are a number of options for recording the information gathered in the registration forms. Four alternatives were considered by the ARF ISG in New Delhi: maintaining the existing method, updating the existing matrix, producing a comprehensive written list or developing a CBM register.

12 There was general consensus among participants that developing a CBM register would best meet the needs of the ARF. This option would involve the collection of registration forms with key information that could be used to produce reports as required. The data could also be presented graphically grouping CBMs under different headings to be agreed by ARF participants. The "basket one" and "basket two" method of classifying CBMs continues to be a useful one and it is proposed that this distinction remain in a new recording system.

### Who records the information?

13 This proposal should be undertaken within the existing ARF structure. It is not necessary to establish any new mechanism but there are some alternatives

## ARF CBMS REGISTRATION FORM

For Completion Prior to the CBM	
Name of CBM:	
Sponsor(s):	Contact(s): [ie, details of key person(s) responsible for the CBM]
Date Proposed:	
Date to be held:	
Venue:	
CBM Category (please tick appropriate box):	
<input type="checkbox"/> ARF Development <input type="checkbox"/> Strategic Security <input type="checkbox"/> Engagement/Forums <input type="checkbox"/> Defence/Military <input type="checkbox"/> Maritime <input type="checkbox"/> Practical/Disaster Relief/Transnational Crime	
Objective of CBM:	
Target Audience:	
Additional Comments: (Optional) [CBM host may wish to convey additional information about the CBM in this section.]	
For Completion Following the CBM	
Date CBM Actually Completed: [To be completed by the CBM recorder.]	
Feedback (Optional): [CBM host/participant may wish to complete this section]	
Further Action Required: (Optional) [Recommendations for further related CSMS or follow-up action identified during the course of the CBM.]	

## ASEAN REGIONAL FORUM CONFIDENCE BUILDING MEASURES

## EXAMPLE REGISTER

Total number of CBMs recorded: 23

Breakdown by category:	ARF Development:	5	
	Engagement/Forums:	0	
	Maritime:	0	
	Strategic Security:	1	+ 1 proposed
	Defence/Military:	12	+ 2 proposed
	Practical/Disaster Relief/Transnational Crime:	5	

Breakdown by year:	1994/95:	2
	1995/96:	0
	1996/97:	2
	1997/98:	0
	1998/99:	5
	1999/00:	4
	2000/01:	4
	2001/02:	6
<u>Proposed</u>	2002/03	3

NOTE: This register is not complete. It only contains information from the registration forms received so far.

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ARF CONFIDENCE BUILDING MEASURES

1995-1996

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development				
Engagement/Forums				
Maritime				
Strategic Security				
Defence/Military				
Practical/Disaster Relief/Transnational Crime				

(b)(1)

ARF CONFIDENCE BUILDING MEASURES

1997-1998

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development				
Engagement/Forums				
Maritime				
Strategic Security				
Defence/Military				
Practical/Disaster Relief/Transnational Crime				

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## ARF CONFIDENCE BUILDING MEASURES

1999-2000

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development				
ARF Professional Development Programme	April 2000	Brunei/United States	Brunei	Brunei
Engagement/Forums				
Maritime				
Strategic Security				
Defence/Military				
Seminar on Law of Armed Conflict	December 1999	ICRC/Australia	Australia	Australia
Defence Language School Seminar	March 2000	Australia	Australia	Australia
Practical/Disaster Relief/Transnational Crime				
Toward Common Approaches to Disaster Relief Training	January 2000	Australia/Thailand	Thailand	Thailand/Australia

## ARF CONFIDENCE BUILDING MEASURES

2001-2002

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development Preventive Diplomacy Workshop	September 2001	Brunei/United States	Brunei	Brunei
Engagement/Forums				
Maritime				
Strategic Security				
Defence/Military				
2 <sup>nd</sup> ARF Seminar Law of Armed Conflict	August 2001	ICRC/Thailand	Thailand	Thailand
5 <sup>th</sup> ARF Heads of Defence Colleges Meeting	August 2001	Japan	Japan	Japan
Peacekeeping Seminar - Best Practices and Lessons Learned	March 2002	Canada/India/Malaysia	India	Malaysia
Practical/Disaster Relief/Transnational Crime				
ARF Workshop on Financial Measures Against Terrorism	March 2002	United States/Malaysia	United States	Malaysia
ARF Workshop on Prevention of Terrorism	April 2002	Australia/Thailand	Thailand	Thailand

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**NEW ZEALAND EXAMPLE****ARF CBM'S REGISTRATION FORM**

<b>For Completion Prior to the CBM</b>	
Name of CBM: ARF Demining Seminar	
Sponsor(s): New Zealand	Contact(s): Mr Paul Sinclair, Head International Defence Relations, NZ Defence Force/Ministry of Defence, Wellington, New Zealand.
Date Proposed: proposed at the ARF ISM on peacekeeping in Kuala Lumpur, April 1996.	
Date held: 7-11 April 1997	
Venue: Linton Army Camp, Palmerston North, New Zealand	
CBM Category (please tick appropriate box):	
<input type="checkbox"/> ARF Development	<input type="checkbox"/> Strategic Security
<input type="checkbox"/> Engagement/Forums	<input checked="" type="checkbox"/> Defence/Military
<input checked="" type="checkbox"/> Maritime	<input checked="" type="checkbox"/> Practical/Disaster Relief/Transnational Crime
<b>Objective of CBM:</b>	
The seminar considered: measures currently being undertaken by the international community to address the world-wide landmine problem; the United Nations and demining; the political, organizational, technical and training aspects of demining; lessons learnt; and the way ahead. This was augmented by case studies and practical demonstrations of demining operations.	
Target Audience: Military and civilian participants attended from most ARF nations. Special representatives from the UN demining programme in Mozambique, the Cambodian Mine Action Centre, and the Lao National UXO Programme were also invited.	
Additional Comments: (Optional)	
<b>For Completion Following the CBM</b>	
Date CBM Actually Completed: 7-11 April 1997	

NEW ZEALAND EXAMPLE

**NEW ZEALAND EXAMPLE****Feedback (Optional):**

1. Participants noted that forging an international consensus on this complex issue would remain elusive.
2. A number of participants took the opportunity to make statements on their national demining policies. The exchange of information was useful in promoting confidence and understanding among ARF members.
3. Participants agreed that there should be continued international efforts to assist those countries with significant mine infestation.
4. The participants noted that the Cambodian, Lao and Mozambique programmes were good examples of how local management and international technical expertise could be combined to create an effective demining programme.
5. The essential role of the United Nations in international demining was acknowledged.
6. There was general support for further exchanges of demining ideas and techniques.

**Further Action Required: (Optional)**

1. It was recommended that ARF participants be encouraged to continue to support international efforts to assist those countries with significant mine infestation.
2. It was recommended that ARF participants make a recommendation to the United Nations that responsibility for all aspects of UN demining operations reside within a single UN body under direct control of the UN Secretary General.

## ARF CONFIDENCE BUILDING MEASURES

2002-2003 [PROPOSED]

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development				
Engagement/Forums				
Maritime				
Strategic Security ARF Seminar on "Economic Security in the Asia-Pacific Region In the First Decade of the 21 <sup>st</sup> Century"	TBC	Vietnam	Vietnam	Vietnam
Defence/Military Workshop on Defence/Military Officials' Co-operation within the ARF	August 2002	Korea	Korea	Korea
6 <sup>th</sup> ARF Meeting of Heads of Defence Colleges	September 2002	Russia	Russia	Russia
Practical/Disaster Relief/Transnational Crime				

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## ARF CONFIDENCE BUILDING MEASURES

2000-2001

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development Seminar on Approaches to Confidence Building	October 2000	EU/Indonesia	Finland	European Union
Engagement/Forums				
Maritime				
Strategic Security Seminar on Conventional Weapons Transfers	February 2001	Canada/Japan/Cambodia	Cambodia	Canada/Japan
Defence/Military Civil-Military Co-operation in Peacekeeping	May 2001	Canada/Korea/Philippines	Korea	Canada/Korea
Practical/Disaster Relief/Transnational Crime Combined Humanitarian Assistance and Response Training	August 2000	Singapore/United States	Singapore	Singapore

## ARF CONFIDENCE BUILDING MEASURES

1998-1999

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development				
ARF Professional Development Programme	April 1999	Brunei/United States	United States	Brunei
Engagement/Forums				
Maritime				
Strategic Security				
Defence/Military				
Seminar on Production of Defence Policy Documents	September 1998	Australia	Australia	Australia
2 <sup>nd</sup> ARF Heads of Defence Colleges Meeting	September 1998	Korea	Korea	Korea
Changing Face of Peacekeeping	March 1999	Canada/Japan/Malaysia	Japan	Canada/Japan
Practical/Disaster Relief/Transnational Crime				
3 <sup>rd</sup> ARF ISM on Disaster Relief	April 1999	Russia	Russia	Russia

DRAFT

APRIL 2002

ARF CONFIDENCE BUILDING MEASURES

1996-1997

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development				
Engagement/Forums				
Maritime				
Strategic Security				
Defence/Military				
Peacekeeping: Train the Trainers Workshop	March 1997	Malaysia/Australia	Malaysia	Australia
ARF Demining Seminar	April 1997	New Zealand	New Zealand	New Zealand
Practical/Disaster Relief/Transnational Crime				

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## ARF CONFIDENCE BUILDING MEASURES

1994 - 1995

CBM NAME	DATE	SPONSOR(S)	LOCATION	FORM SUBMITTED BY
ARF Development				
ARF Seminar on Preventive Diplomacy	May 1995	Korea/Thailand/ United States	Korea	Korea
Engagement/Forums				
Maritime				
Strategic Security				
Defence/Military				
Challenges and Opportunities for ARF in Peacekeeping	March 1995	Canada/Brunei	Brunei	Brunei
Practical/Disaster Relief/Transnational Crime				

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## ARF REGISTRATION FORM FOR ONGOING CBMS

To be completed by ARF participants and registered with the nominated CBM recorder and Inter-sessional Support Group (ISG) Co-Chairs prior to the annual Senior Officials Meeting.

Name of country/organisation:	Date:
Point of contact:	
<b>Provision of Information</b>	
Please tick appropriate boxes:	
Q Production of ARF Annual Security Outlook	
Q Production of Defence White Paper or equivalent	
Date of most recent paper: _____	
Q Participation in UN Conventional Arms Register	
Q Circulation of UN Conventional Arms Register Submission	
<b>Participation in Global Arms Control and Disarmament Regimes</b>	
Please tick appropriate boxes:	
Q NPT signed Date: _____	Q NPT ratified/acceded Date: _____
Q CTBT signed Date: _____	Q CTBT ratified Date: _____
Q CWC signed Date: _____	<input type="checkbox"/> CWC ratified Date: _____
Q CCW signed Date: _____	Q CCW ratified/acceded Date: _____
Q CCW Amended Protocol: Landmines Date: _____	
Q BWC signed Date: _____	Q BWC ratified/acceded Date: _____

NPT: Treaty on the Non-Proliferation of Nuclear Weapons

CCW: Convention on Certain Conventional Weapons (Inhumane Weapons Treaty)

CTBT: Comprehensive Test-Ban-Treaty

BWC: Biological Weapons Convention

CWC: Chemical Weapons Convention

for ARF participants to choose from. Maintaining the recording system of CBMs could be the responsibility of :

- the ARF Chair, on a rotating basis;
- the iSG Co-Chairs, on a rotating basis;
- a volunteer ARF participant, on a rotating basis;
- an ARF participant on a permanent basis; or
- the ASEAN Secretariat.

14 There was general consensus at the iSG meeting in Hanoi in April 2002 that responsibility for the recording mechanism should be rotated around either the ARF Chair or the ISG Co-Chairs.

15 ARF participants proposing CBMs would have the responsibility of providing information on them to the recorder who would collate the information and make it available to all ARF participants. It is envisaged that information would be distributed to members before ISG, SOM and Ministerial meetings. ARF participants might also make this information available on the ARF section of the ASEAN website and on their own websites as appropriate, depending on any security considerations.

#### Next steps

16 When the recording mechanism is agreed, ARF participants would be asked to submit information on CBMs to the agreed recorder. Further consideration could be given to the use of the mechanism in analysing the ARF CBM agenda.

#### Conclusion

17 Much progress has been made in the CBM agenda in a relatively short space of time. With the number of CBMs growing, it is important that a system be established that captures the activities to ensure progress is tracked and to assist members in identifying potential areas where new CBMs might be beneficial. The establishment of an easy-to-use, accessible recording system would enhance the benefit which the region derives from the range of CBMs which the ARF has already established.

5 At the ISG meeting in Hanoi in April 2002, there was general consensus that the recording mechanisms be limited to the CBMs captured in the attached form which records information on ARF CBMs. At a later stage, the recording mechanism could be expanded to include information captured in a second form "ARF Registration Form for Ongoing CBMs" which records some of the information from the matrices. At some stage in the future, participants could agree to expand the system to include a broader range of CBMs.

### **Purpose**

6 More comprehensive and accurate recording of ARF CBMs would provide a "road map" against which to track progress in the CBM agenda. Specifically, a register could :

- give an accurate picture or "snapshot" of CBM work being undertaken by the ARF at any given point in time;
- enhance the ARF's capacity to monitor the implementation of CBMs;
- assist ARF participants to identify better the potential areas for new CBM activity (highlighting for participants those areas that have had considerable attention already);
- help to raise awareness of CBM progress by increasing accessibility to information about them;
- provide a mechanism that makes it easier for information on the CBM agenda to be collated and managed on an on-going basis.

### **Current CBM recording methods**

7 CBMs are currently recorded in a variety of ways. In the past a CBMs matrix was developed to inform ARF participants on the implementation of a wide variety of CBMs through a series of graph and matrix representations. Adoption of new CBMs and progress with agreed CBMs is also recorded in the reports of ARF Co-Chairs of the ISG on CBMs. CBMs are listed as "basket one" and "basket two" items.

8 The current system could be improved. A more accurate and up-to-date system would allow more meaningful discussion of the CBM agenda to take place in the ISG and other ARF meetings.