

**Improving the Effectiveness of the  
Programme of Action on Small Arms**  
**Assessing Coordination Mechanisms**

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## ACKNOWLEDGEMENTS

The United Nations Institute for Disarmament Research (UNIDIR) is grateful to the government of Australia for its support that made this study possible. UNIDIR also thanks the UN Member States, the regional organizations, the civil society organizations and members of the United Nations Coordinating Action on Small Arms (CASA) that participated in the survey for this study.

The authors would like to thank Amiyana Farouque who provided research assistance, useful inputs and follow-up on questionnaires. Thanks also to Babacar Diouf and Elli Kytömäki for reviewing the report and providing substantive input to the study.

Thanks go to the staff at UNIDIR, who supported the production of this report.

Responsibility for all errors of interpretation or fact remains solely with the authors.



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## FOREWORD

The task of dealing with the broad and cross-cutting challenges of small arms requires cooperation, coordination, complementarity and synergy, at the global, regional, subregional and national levels.

The Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All its Aspects (PoA), adopted in 2001, encourages states “to establish, or designate as appropriate, national coordination agencies or bodies and institutional infrastructure responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects”. The PoA also encourages states to establish or designate, as appropriate, a national point of contact to act as liaison to states on matters relating to its implementation. In real terms, the PoA places a premium on cooperation with regional and international organizations.

Following 584 national reports by 158 states over the past 10 years on the implementation of the PoA, the main challenges to the implementation of the PoA were identified as the lack of technical and financial resources, cooperation, information-sharing, education, training and legislation. Although these challenges are considerable, they hardly address the critical missing link—an efficient coordination mechanism.

This UNIDIR is highly commended for its fresh insights and perspectives. Indeed, given the present-day challenges—the scarcity of financial resources, the fragility of the security environment and the impact of armed violence in all regions of the world—achieving greater efficiency of international instruments and optimizing coordination among implementing entities are imperative goals to pursue.

This study outlines the status of coordination at the national level, and highlights the role of regional organizations as well as the coordination mechanism within the United Nations. Although this is not a comprehensive survey, the report appropriately identifies trends and challenges and, more importantly, highlight practices promoting effective coordination.

This analysis will, undoubtedly, provide substantial elements for reflection to governments, regional organizations, the United Nations and civil society. It will also enrich the debate of the impending 2012 Review Conference of the PoA. Indeed, the Review Conference offers the opportunity for the international community to review the progress of implementation of the PoA and, in doing so, to identify problems and proffer solutions for the effective coordination and implementation of the PoA.

U. Joy Ogwu  
Ambassador and Permanent Representative of the  
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## INTRODUCTION

### BACKGROUND

In 2001, UN Member States adopted by consensus the politically binding Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All its Aspects (PoA).<sup>1</sup> The adoption of the PoA provided the opportunity for the international community to promote concerted and coordinated efforts to curb the illicit trade in small arms and light weapons (SALW).

The PoA, with about 41 paragraphs of specific agreed actions to be taken by Member States at the national, regional and international levels against the illicit trade in SALW, is quite comprehensive in scope and requires diverse stakeholders to partake in its implementation. Paragraphs 4 and 5 of section II refer to two types of actors, a National Coordination Body (NCB), and a National Point of Contact (NPC) or a National Focal Point (NFP):

4. To establish, or designate as appropriate, national coordination agencies or bodies and institutional infrastructure responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects. This should include aspects of the illicit manufacture, control, trafficking, circulation, brokering and trade, as well as tracing, finance, collection and destruction of small arms and light weapons.
5. To establish or designate, as appropriate, a national point of contact to act as liaison between States on matters relating to the implementation of the Programme of Action.

Between 2002 and 2010, 158 of the 192 UN Member States have reported at least once on implementation, describing the progress made and challenges in implementing the PoA. Information on the establishment of an NPC or NCB appears to be the most widely covered theme reported on in national reports. For instance, 81 out of the total of 103 states that submitted reports in 2003 address NCBs or NPCs in some form.<sup>2</sup> According to a 2008 study, 146 states and the Holy See had communicated the contact details of their NPCs to the United Nations Office for Disarmament Affairs (ODA).<sup>3</sup>

### OVERVIEW OF CHALLENGES TO IMPLEMENTING THE POA

Past research shows that implementation of the PoA is hampered by challenges at both the national and multilateral levels<sup>4</sup> because not all states have established the basic infrastructure needed to implement the provisions of section II, paragraphs 4 and 5. A 2008 study confirmed that there are some discrepancies in the reports provided by states to ODA regarding their NPCs. Some aspects of the information contained in the information transmitted to ODA do not match information contained in national reports.<sup>5</sup> States do not necessarily address the functionality of their NPCs or NCBs. They fail to provide detailed information on coordination activities and challenges. Nevertheless, these reports constitute the primary body of data for assessing PoA implementation efforts.

This makes it difficult to assess the effective implementation of the PoA, considering that establishing an NPC or NCB is central to the implementation effort. There can be no implementation without the institutional infrastructure responsible for its execution.

Other challenges to the coordination efforts of the NCB or NPC are consistently identified in national reports. Logistical constraints in some regions can include a shortage or absence of vehicles and communication systems among law enforcement agencies, of surveillance and detection equipment for the identification of cross-border SALW trafficking, of hardware and software required for effective stockpile management, and of technical equipment for marking of SALW as well as their destruction. States may also lack human resources and adequately skilled and trained staff required for specialized technical tasks, such as marking, tracing and record-keeping of SALW, and intelligence surveys by law enforcement. Further, there can be a lack of financial resources to design and fund national and subregional SALW projects required for implementation. This is supported by the fact that available assistance remains inadequate in light of resource requirements by states facing capacity constraints.<sup>6</sup> An additional challenge is that most states have yet to identify the most effective strategy to share information, best practices and policy recommendations as well as monitor the implementation of the PoA by all stakeholders.

These challenges reinforce the importance of coordination and collaboration efforts on information-sharing, training, reporting and overall capacity-building to implement the PoA.<sup>7</sup>

## SOME THEORETICAL CONSIDERATIONS ON COORDINATION

The question of coordination is an important issue in the management and implementation of field programming and policy development. Coordination has been defined as “the process of managing dependencies between activities”.<sup>8</sup> It should be noted that most organizations are based on a division of labour, and on the distribution of responsibilities of activities to be implemented among actors.<sup>9</sup> Interdependency obviously raises a question of shared responsibilities and how to achieve them. Consequently, poor management of these dependencies reduces the adaptability of participating organizations, which often leads to failure of implementing activities. Accordingly, managing the coordination effort itself is critical to the success of any coordination mechanism. This applies to crisis management, emergency relief or aid distribution<sup>10</sup> and could be expanded to the implementation of tools dealing with SALW issues.

Effective collaboration has four key elements:<sup>11</sup>

- the necessary confidence, both internally and externally;
- mutual benefits (sharing of risks and rewards);
- the exchange of information and transparent decision-making; and
- communication at all levels to ensure a common understanding of collaboration.

It has been argued that some of the benefits of strategic cooperation among various entities are: (a) decision-making that is closer to the reality of all participating agencies, (b) reducing risk and uncertainty, (c) the reducing of the internal structure (which can also refer to reducing bureaucracy), (d) a faster response to change (which can also refer to quick adaptability to new policy developments that need urgent attention), (e) the acquisition of new skills, and (f) optimization of results with an

economy of scale (which can mean cost-effective programmes and sharing responsibilities to reduce cost).<sup>12</sup>

## OBJECTIVES OF THE STUDY

This study seeks to explore the relevance of coordination in the effective implementation of the PoA. It will consider (a) how diverse actors with different mandates and prerogatives contribute to effective and efficient coordination to implement the PoA at the national level, (b) how national coordination mechanisms interact with international and regional bodies, (c) how coordination at the regional and international levels complements national coordination entities, and (d) how to improve coordination in implementing the PoA .

## STUDY METHODOLOGY

This study focuses on three regions: Latin America, Africa and Europe, with some examples from other countries and subregions. It is therefore not a comprehensive overview and does not present a global picture of the challenges related to effective coordination of PoA implementation. It is a first step in a process that could be continued by future surveys of other regions.

A total of 125 states, 15 regional organizations and 24 United Nations agencies were contacted to participate in the survey. We received responses from 66 states, 9 regional organizations, 5 civil society organizations and 5 United Nations entities.

### Respondents to the Study

#### STATES

##### **Sub-Saharan Africa (16)**

Burkina Faso, Burundi, Cape Verde, Chad, Côte d'Ivoire, Ghana, Guinea-Bissau, Madagascar, Mali, Mozambique, Niger, Nigeria, Senegal, Sierra Leone, Tanzania, Togo

##### **Asia and the Pacific (4)**

Australia, Fiji, Japan, Thailand

##### **Europe (28)**

Austria, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Denmark, Estonia, Finland, France, Germany, Hungary, Ireland, Italy, Latvia, Luxemburg, Malta, Moldova, the Netherlands, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, United Kingdom

##### **The Americas (Latin America, the Caribbean and Canada) (18)**

Argentina, Bolivia, Brazil, Canada, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Mexico, Nicaragua, Paraguay, Peru, Saint Vincent and the Grenadines, Trinidad and Tobago, Uruguay, Venezuela

**REGIONAL ORGANIZATIONS (9)<sup>13</sup>**

Arab League; Commission of the Economic Community of West African States; Economic Community of Central African States; Organization for Security and Co-operation in Europe; Regional Centre on Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States; South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons; Small Arms Control Programme of the Economic Community of West African States; Southern African Development Community; Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies

**CIVIL SOCIETY ORGANIZATIONS (5)**

Africa Peace Forum, International Physicians for the Prevention of Nuclear War, MALAO-Réseau sénégalais d'action sur les armes légères, Réseau d'action sur les armes légères en Afrique de l'ouest en Guinée Bissau, West Africa Action Network on Small Arms Nigeria

**UNITED NATIONS (5)**

Counter-Terrorism Committee Executive Directorate, International Small Arms Control Standards project, United Nations Development Programme, United Nations Office on Drugs and Crime, World Health Organization

In addition to a questionnaire sent to selected UN Member States and to regional and international organizations, this study is based on documents such as national reports of, and secondary resources such as previous research work on, implementation of the PoA and of other international and regional instruments in connection with SALW and, more generally, peace and security.

With regard to the international level, the United Nations Coordinating Action on Small Arms (CASA), the CASA project on International Small Arms Control Standards (ISACS), and the United Nations Office for Disarmament Affairs were invited to participate in the study.

A questionnaire targeting civil society organizations was also sent to certain members of the International Action Network on Small Arms (IANSA).

Participants answered one of four questionnaires (provided in English, Spanish and French).<sup>14</sup> The questionnaires were sent to NCBs and NFPs through diplomatic channels (the respective missions in Geneva or in New York). Some NFPs and NCBs were contacted directly as a follow-up to the questionnaire for additional information. The questionnaire was also sent out to regional organizations active in SALW, peace or security issues.

Responses to the questionnaire were supported with primary data generated through, for example, face to face interviews in Argentina, Brazil, Bolivia, Ecuador, Guatemala, Paraguay and Venezuela, participation in regional seminars such as UNIDIR–European Union seminars on the Arms Trade Treaty, and interviewing delegates of some Member States during international meetings such as the meeting of the Group of Experts on the PoA in May 2011 in New York.

It should be noted at the outset that one of the major challenges for this study was in compliance with the deadline. Indeed, responses came with an irregular cadence and the lack of response from some regions obliged the team to seek information through other channels, that is, through direct contact with some Member States.

Another challenge was in obtaining substantial responses to the questionnaires, obliging the team to use several methods identified above for the analysis. In spite of the setback in data collection on this subject, information obtained has proven useful to evaluate the state of play concerning coordination in implementation of the PoA, to identify obstacles and good practices, and to make recommendations to achieve better coordination to implement the PoA.

## ABOUT THIS REPORT

This report is divided into two parts.

Part one of the study presents factual data provided by states on implementing the PoA at the national, regional and international levels.

At the national level, the study focuses first on the institutional structure or NCBs. Specifically, it investigates the types of coordinating institutions, how they were instituted, the types of mandate that guides the operations of the NCB, and the composition of membership of the NCB. It also looks into how the coordinating mechanism engages with civil society and whether it considers and incorporates gender-sensitive policies within its institutional infrastructure and in its programme of work or national action plan. Further, the study seeks to provide an understanding of the internal coordinating and operating procedures of the NCBs, including its oversight authority to ensure compliance by all state institutions with the PoA as well as with relevant regional and multilateral agreements dealing with SALW. Additionally, it assesses states' action plans for operations and research conducted to facilitate a greater awareness on the SALW problem and the PoA.

The study further explores coordination and cooperation at the regional and international levels. In doing so, it reviews how reporting is being used effectively as a coordinating tool, and how the availability of resources is impacting the coordination mechanism. In addition, it highlights how some regional organizations in the Americas, Europe, sub-Saharan Africa and the Arab region play an important role as facilitators in coordinating efforts by the international community to implement the PoA and SALW-related activities.

At the international level, the study sheds light on how the United Nations has established the Coordinating Action on Small Arms, not just to coordinate efforts of the UN family on SALW, but also to improve coordination and strengthen operational capacity of Member States, non-governmental organizations, and inter-governmental and regional organizations on all SALW-related issues.

Part two surveys the state of implementation of the PoA at the national, regional and international levels, as well as the observed challenges and practices promoting effective coordination. It also focuses on the dynamics of coordination among the implementing agencies at the national, regional and international levels and the dynamics between these different levels. The report concludes with recommendations for all levels to reinforce interagency coordination in implementing the PoA.



**PART I**  
**STATE OF PLAY**



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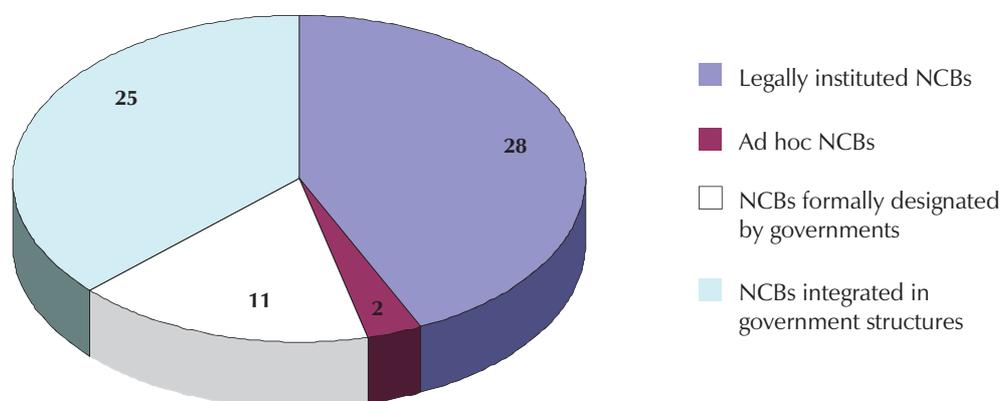
## NATIONAL LEVEL

### TYPES OF NATIONAL BODIES OR INSTITUTIONAL INFRASTRUCTURES RESPONSIBLE FOR COORDINATION EFFORTS

Section II, paragraphs 4 and 5, of the PoA encourage states to establish national coordination bodies or institutional infrastructures responsible for policy guidance, research and monitoring of efforts to curb the illicit trade in SALW; and also to establish a national point of contact to act as liaison between states on matters relating to the implementation of the PoA.<sup>15</sup> Central to effectively implementing the PoA is the establishment and maintenance of a functioning national coordinating body or a national point of contact.

Of the total of 66 responses received from states for this study:<sup>16</sup>

- 28 states (12 in sub-Saharan Africa,<sup>17</sup> 4 in European,<sup>18</sup> 1 in Asia<sup>19</sup> and 11 in Latin America and the Caribbean<sup>20</sup>) have legally instituted NCBs;
- 25 states (including Australia, Canada, Venezuela and 22 EU member states) have no formal coordination bodies in the likeness of the NCBs operational in most parts of sub-Saharan Africa and other regions. Rather, relevant government agencies have taken on responsibilities under the PoA as part of their usual official assignments;
- 11 states (including 3 in sub-Saharan Africa,<sup>21</sup> 1 in Asia and the Pacific,<sup>22</sup> 2 in Europe<sup>23</sup> and 5 in Latin American and the Caribbean)<sup>24</sup> do not have legally established NCBs that have been formally instituted through either a presidential/ministerial decree or an act of Parliament, but do have formally instituted NCBs or focal points through a government directive responsible for implementing the PoA or other international and regional agreements related to SALW control; and
- 2 states (Fiji and Madagascar) report that the NCB at present is an ad hoc agency that has been nominated by the government to undertake the functions of the national coordination body.

**Chart 1. Types of NCBs**

### Sub-Saharan Africa

In the case of Western Africa, all 15 states in the subregion have established a national coordination body (usually referred to as a national commission) responsible for implementing all activities on SALW and related issues.<sup>25</sup> Twelve out of the 15 Economic Community of West African States (ECOWAS) member states have formally instituted these agencies through either a presidential decree or an act of parliament. Table 1 below shows that Gambia, Liberia and Nigeria have yet to legally establish a functioning body to coordinate all actions on SALW. However, Gambia and Liberia have either a focal person or a focal committee placed under the Ministry of Defence and Ministry of Foreign Affairs, respectively. Nigeria's coordinating body is not formally instituted but a presidential directive in 2001 established a functional committee, under the leadership of the Ministry of Defence. According to an ECOWAS Small Arms Control Programme (ECOSAP) report in 2010, the legal establishment of the national commissions of Liberia and Nigeria are at advanced stages in their parliaments, awaiting ratification of the bills.<sup>26</sup>

All states in the region have national focal points or national points of contact located in the Ministry of Foreign Affairs, and they are usually a member of the national commission.

**Table 1.** Legal Status of NCBs (or National Commissions) in the ECOWAS Region

	Country	Legal or administrative act
1.	Benin	Decree 2001—167/pres/pm/def of 25 April 2001, and amended by Decree 2006—174/PRES/PM/MAECCR/DEF/SECU of 2006.
2.	Burkina Faso	The national commission was established by Decree 2001-167 of 21 April 2001 which was amended by Decree 2006-174 of 20 April 2006.
3.	Cape Verde	Council of Ministers no. 33/2008 of 29 September 2008, establishing a national commission; Ordinance No. 5120, 1954, of the Criminal Code.
4.	Côte d'Ivoire	Created by Decree No. 2009-154 of 30 April 2009.
5.	Gambia <sup>27</sup>	

	Country	Legal or administrative act
6.	Ghana	National commission established by an act of parliament, Act 736 of 2007.
7.	Guinea	The national commission was established by Decree no. 0066/PRG of 18 August 2000.
8.	Guinea-Bissau	The national commission was established by Decree no. 5/2006 of 17 July 2006.
9.	Liberia <sup>28</sup>	
10.	Mali	Created by Presidential Decree no. 96-304 of 14 November 1996.
11.	Niger	Created by Presidential Decree no. 94-185/PRN of 28 November 1994, and amended by presidential decree on 8 November 1999.
12.	Nigeria <sup>29</sup>	
13.	Senegal	The national commission was established by Presidential Decree no. 009543/PM/SGG of October 2000.
14.	Sierra Leone	Enshrined in the constitution, Act No. 6 of 1991.
15.	Togo	The national commission was created by Presidential Decree 2001-098/PR of 19 March 2001.

Source: Information taken from questionnaire responses and from “Functionality Status of National Commissions of Small Arms and Light Weapons in ECOWAS Member States”, ECOSAP, 2010.

Similarly, some NCBs in Southern Africa have been instituted by a presidential or parliamentary decree. For instance, Mozambique’s NCB was established by a ministerial decree in 2005.<sup>30</sup> Tanzania reports that it is in the process of legally establishing an NCB.<sup>31</sup> Responses received from states in Eastern Africa, the Horn of Africa and Southern Africa indicate that most states in this region have not legally formalized their NCBs.<sup>32</sup> Nonetheless, almost every state in the region has established an NCB or focal point on SALW in accordance with either the Nairobi Protocol or the Southern African Development Community (SADC) Protocol and the PoA.<sup>33</sup> All these NCBs and focal points have formally been instituted by a government directive with the same responsibilities and commitments as the legally established NCBs in other regions. Angola and the Democratic Republic of the Congo<sup>34</sup> are among the states that have established national commissions to coordinate SALW activities and liaise with stakeholders. The commission’s structure in the Democratic Republic of the Congo, with its provincial task forces, is notable because it facilitates implementation of SALW activities nationwide.

### Latin American and the Caribbean

Of the 29 Latin American and Caribbean states, 15 have established coordination agencies or intergovernmental committees working on the implementation of policies on SALW. Most of the coordination agencies in the region have been formally established, by law or decree, like in the cases of Argentina, Chile, Colombia, Costa Rica, Guatemala, Haiti, Honduras, Mexico, Nicaragua, Peru, Paraguay, Trinidad and Tobago and Uruguay.<sup>35</sup> El Salvador and Saint Vincent and the Grenadines have yet to formally establish an NCB.<sup>36</sup> In the case of Venezuela, there is no formal coordination body; the Department of Arms and Explosives of the Armed Forces is in charge of all issues related to SALW. This department has taken on the responsibilities under the PoA as part of

its usual assignments. Ecuador's NCB is the latest created in the region, by a presidential decree in April 2011.

### **European states**

Most European Union states have established an institutional infrastructure or body in accordance with their commitments to the EU Council Joint Action on SALW<sup>37</sup> and the PoA. However, 22 of the 28 European states that responded to the questionnaire have no formal NCBs established specifically to deal with SALW. They have rather instituted a focal point, most frequently within the Ministries of Foreign Affairs. In a few instances, the national police or border security agencies act as the focal point, sometimes with no specific mandate but guided by ad hoc or existing institutional policies. The exceptions are Croatia, Moldova, Romania and Slovakia, which have a legally established NCB. In Bosnia and Herzegovina and Finland the NCB has not been legally established but has been formally instituted by a government directive. Finland for instance has a small arms desk within the Ministry of Foreign Affairs.

### **Other states**

Fiji is yet to formally establish an NCB but, in the interim, the Ministry of Defence, National Security and Immigration is currently undertaking (on an ad hoc basis) such functions. In Thailand the Office of the National Security Council serves as both the national coordinating agency and national focal point for all issues related to the implementation of the PoA. Thailand's NCB is established under a legal framework.<sup>38</sup>

Japan's NCB serves as both the national focal point and coordinating agency. The NCB is the Commission for the Promotion of Measures to Control Firearms, which is linked to the Cabinet Office.

Australia and Canada have no formal coordinating body or agency for SALW issues. In Australia, the national point of contact is the Arms Control and Counter-Proliferation Branch in the International Security Division of the Department of Foreign Affairs and Trade. At the national level, specific responsibilities for the implementation of the PoA fall to numerous government departments and agencies at both the federal and state levels as part of their usual activities. In Canada the Senior Policy Officer (Conventional Weapons) in the Non-Proliferation and Disarmament Division of the Department of Foreign Affairs and International Trade acts as point of contact.

### **MANDATE OF THE NCB**

Section II, paragraph 4, of the PoA states that the NCB is responsible for policy guidance, research and monitoring of efforts to curb the illicit trade in SALW in all its aspects. To achieve this objective the national implementation bodies need to be guided by a mandate. From the responses received from states for this study NCBs are operating under either:

- an official mandate dedicated to the implementation of the PoA;
- an ad hoc working plan; or
- internal regulations or procedures of a nominated government agency.

## **Sub-Saharan Africa**

With the exception of Madagascar, all the states from the region that responded to the questionnaire have some form of official mandate or endorsed guidelines for implementing the PoA. Madagascar has an ad hoc committee guided by an ad hoc process. Generally most of NCBs are mandated to lead and design public awareness programmes, educate the public on the negative impact of SALW proliferation and misuse, coordinate with relevant government agencies on the implementation of the PoA, supervise the collection and destruction of SALW, and mobilize resources to fight against the proliferation and illicit circulation of SALW. However some states have a wider mandate. For instance, since Nigeria's NCB is located within the Ministry of Defence, it has oversight of border security through technical training and assistance to border security operatives, stockpile management, and the establishment of an arms register/database. Burkina Faso and Côte d'Ivoire's NCBs are mandated to collect all information relating to the manufacture, trade and transfer of SALW.

Almost all NCBs in sub-Saharan Africa are mandated to coordinate activities not just related to the PoA but to other subregional commitments. In recent years, the mandates of most NCBs have been expanded to include implementation of the Anti-Personnel Mine Ban Convention, the Convention on Cluster Munitions, the Convention on Chemical Weapons and the Biological Weapons Convention, among others.

## **Latin American and the Caribbean**

With a few exceptions, all the NCBs that responded to the questionnaire for this study are mandated to coordinate activities not just related to the PoA but also to their subregional commitments.<sup>39</sup> Similar to the case in sub-Saharan Africa, NCBs have a wider mandate.

The mandate of Chile's NCB includes the authority to develop a comprehensive national action plan and public awareness campaigns, while that of Trinidad and Tobago includes policy guidance to the government on the nexus between counter-narcotics and illegal arms trafficking.

## **European states**

Twenty-two of the 28 European states that responded to the questionnaire do not have an official mandate dedicated to the implementation of the PoA. Instead the work plans of the national focal points on SALW are defined in consultation with the participating governmental stakeholders. Likewise, planning and implementation on PoA activities are decided on by the individual ministries dealing with the SALW issue in question. Since there are no formalized coordinating bodies, usually participating governmental stakeholders or relevant government agencies are guided by internal regulations or mandates.<sup>40</sup> In all cases, the national law on either firearms, arms control or crime prevention regulates activities on the implementation of the PoA. In Portugal, for instance, the Directorate-General for Armaments and Defence Infrastructure of the Ministry of National Defence has established ad hoc guidelines and procedures for the implementation of the PoA and other instruments. The focal points on SALW in the region also follow up on other regional and multilateral commitments on arms control.

Bosnia-Herzegovina, Croatia, Finland, Moldova and Slovakia have, some form of official mandate or guidelines for the implementation of the PoA. Besides the usual coordinating duties of all NCBs,

Slovakia's NCB is mandated to assess license applications concerning arms imports and exports. In Finland, the special desk for SALW within the Unit for Arms Control, Disarmament and Non-proliferation is guided by an informal process to conduct inter-agency coordination on all activities related to the implementation of the PoA.

### **Other states**

Although Fiji's NCB is an ad hoc committee, it has a wide mandate. Besides its usual coordinating duties, it has been mandated to monitor other disarmament conventions, including the Chemical Weapons Convention, the Biological Weapons Convention, the Convention on Cluster Munitions, the Convention on Certain Conventional Weapons, and the Anti-Personnel Mine Ban Convention.

In Thailand, the National Security Council, which is the focal point, has a specific subcommittee on SALW that coordinates with relevant government agencies on the implementation of the PoA. In view of that, it has the authority to convene all relevant government agencies to discuss issues related to implementation of the PoA.

Japan has a dedicated mandate to secure close cooperation among ministries and agencies concerned, and to promote and implement adequate and efficient overall measures to control firearms.

Australia and Canada also have no formal mandate dedicated to the implementation of the PoA. Work relating to the PoA is undertaken as part of the normal activities of all agencies associated with the implementation of the PoA. In Australia, each government agency works with the relevant state and territory bodies to implement the PoA and monitor progress, guided by its internal regulations and procedures. For instance, the Attorney-General's Department in Australia is responsible for providing the government with national and international perspectives on firearms policy and for coordinating the development of nationally consistent firearms policy within Australia's federal constitutional arrangements through the Ministerial Council for Police and Emergency Management. In Canada the focal point located within the Department of Foreign Affairs and International Trade acts as liaison with a number of other federal government departments and agencies on aspects of PoA implementation including cooperation, assistance and reporting, as well as on participation in PoA meetings. The focal point is also involved in determining the priorities for SALW programming, including research projects (other countries and regions) funded by the government.

### **NCB MEMBERSHIP**

The PoA does not specifically prescribe the composition of the NCB. However, key themes highlighted in the PoA underline priority issues for implementation. Section II, paragraph 4, which gives directions on the establishment of NCBs, also emphasizes the types of issues they should work on:

To establish, or designate as appropriate, national coordination agencies or bodies and institutional infrastructure responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects. This should include aspects of the illicit manufacture, control, trafficking, circulation, brokering and trade, as well as tracing, finance, collection and destruction of small arms and light weapons. [emphasis added]

Furthermore some paragraphs provide some guidelines for the membership of such a coordination body or institutional structure. Section II, paragraph 27, and section III, paragraph 7, emphasize cooperation with law enforcement officials including customs police, intelligence and arms control officials. They also underline the need to strengthen cooperation and partnerships at all levels among international intergovernmental and civil society. This implies that the enforcement of laws and regulations is vital to the implementation of the PoA. Hence, NCBs should consider having as part of their membership law enforcement agencies including customs, police, intelligence and arms control officials.

The study identified a number of government agencies as part of national coordination mechanisms. They include the following departments or agencies:

- defence (armed forces, air forces, navy);
- foreign affairs;
- interior, internal affairs, police, crime commission, public safety;
- local government;
- territorial administration;
- justice, state law, attorney-general's office;
- human rights commission;
- export and import control office;
- national/defence intelligence;
- national security council;
- regional integration;
- finance, economic affairs, commerce, trade and industry;
- national revenue authority;
- immigration, border and customs;
- drug law enforcement agency;
- information, posts and telecommunications;
- regional integration;
- education;
- social welfare, public works;
- women's affairs;
- health;
- youth;
- sports;
- transportation (land, air, sea);
- environment, agriculture, wildlife;
- water and forest; and
- natural resources.

This list was taken from responses by states to the questionnaires. Not all government agencies or departments as listed above were part of every NCB.

### **Sub-Saharan Africa**

NCBs in many states in the region have a multidisciplinary membership. The typical government agencies included are Ministries of Foreign Affairs, National Security, and Defence, and border control and law enforcement. Some states include Ministries of Development, Finance, Gender,

and Communications, among others. Often civil society is engaged on either an ad hoc or formal basis.

For example, Mali has two subcommissions within its NCB composed of representatives from relevant government agencies and civil society. The subcommittees are made up of 17 members of government agencies and five members representing civil society organizations. Côte d'Ivoire and Sierra Leone report that their NCBs are composed of a representative from the Office of the Prime Minister and of the President, respectively.

Mozambique presents an interesting membership of its NCB. The NCB has two levels: Ministerial and Technical. The Ministerial level, the main decision-making body, is political and is chaired by the Minister of Interior, with the Minister of Defence acting as Deputy Chairperson. The Technical level is an executive body chaired by the Permanent Secretary of the Ministry of Interior, comprising experts of different institutions.

Madagascar's NCB is an ad hoc committee under the Ministry of Defence. Madagascar reports that once the NCB is formalized the membership will be extended to include other relevant government agencies, civil society groups and the relevant select committee in parliament.

### **Latin American and the Caribbean**

Except in the cases of Chile, Honduras and Trinidad and Tobago, where only one or two governmental departments participate in the coordination mechanism, the rest of the NCBs of the region have multidisciplinary membership, including Ministries of Justice, Security, Internal and Public Affairs, Defence, Foreign Affairs, Education, Health, and Social Development, and customs and intelligence agencies.

In Brazil, the Ministry of Foreign Affairs, the Ministry of Justice and the National Secretariat for Public Security work in close collaboration with relevant government agencies (including the Federal Police, the Intelligence Agency, the Army's Directorate for Inspection of Controlled Goods, and Customs).

El Salvador, for instance, established a Technical Inter-institutional Group as its national coordination agency on security, defence and all SALW-related issues (including marking and tracing, and weapons destruction policies), with responsibilities including commitments to the PoA and to the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials (CIFTA), and agreements within the Central American Security Commission. The Ministry of Foreign Affairs coordinates this Group. Since the government understands that SALW issues are inter-institutional, the Group collaborates and coordinates joint actions with the Ministries of Health and of Education, the Parliament, the Attorney-General's Office and the Supreme Court of Justice, and keeps a close working relationship with many civil society organizations.

### **European states**

Most European states have their focal points located generally in the Ministry of Foreign Affairs,<sup>41</sup> and less often in the Ministries of Defence, Justice and Interior. In Denmark and Malta, the NCB is under the National Police, and the Police, Customs and Trade department respectively. In Moldova,

the body responsible for coordinating the implementation of the PoA is located within the Ministry of Economy. The Ministry of Defence in France coordinates the national policy on the control of production and transfers of arms. The Ministry ensures the consistency of SALW interventions with national security programmes through its different departments and branches. In Switzerland coordination on the PoA is taken on by the Federal Department of Foreign Affairs; the Federal Department of Defence, Civil Protection and Sports; the Federal Department of Economic Affairs; and the Federal Department of Justice and Police.

In Sweden there is no membership of the NCB. The Department for Disarmament and Non-Proliferation of the Ministry of Foreign Affairs deals with all matters on SALW.

Belgium responded as follows:

The National Focal Point for the PoA: Director of the Directorate for Disarmament, Non-Proliferation and Arms Control.

Participating agencies to the NCB: Federal Police, Ministry of Justice, Ministry of Defence, Arms Exports Licensing Authorities of the three regional governments, the State Security Service, the Military Security Service, Ministry of Economic Affairs, Customs Department of Ministry of Finance, and Proof House for firearms.

Interagency meetings are often open to civil society and the industry.

## Other states

Thailand reports that its NCB comprises the Customs Department and the Ministries in charge of security, as well as the Royal Thai Police. In Fiji, the NCB is made up of the Police, the Navy, the Military, and Customs, Immigration and other border security agencies, under the leadership of the National Security Agency.

The NCB of Japan is headed by the Commission for the Promotion of Measures to Control Firearms, which is attached to the Cabinet Office. The Ministry of Foreign Affairs is a member of NCB. The NCB cooperates with relevant government ministries and agencies. There is no system for civil society to participate in the NCB meetings. However, the NCB always seeks the input from the general public, including civil society.

In Canada, the Senior Policy Officer (Conventional Weapons) at the Department of Foreign Affairs and International Trade acts as the focal point on the PoA. The focal point acts as liaison with a number of other federal government departments/agencies on aspects of PoA implementation, including cooperation, assistance and reporting as well as on participation in PoA meetings. Similarly, in Australia responsibility for implementation falls to numerous departments and agencies both at the federal and state levels. Responsibility for implementing the PoA also falls to the Attorney-General's Department, the Defence Export Control Office, the Australian Customs and Border Protection Service, the Australian Crime Commission, the Australian Federal Police and other bodies such as the Australian Institute of Criminology.

## COOPERATION WITH CIVIL SOCIETY

The PoA, in section II, paragraph 20, suggests that states should, if possible, cooperate with civil society and non-governmental organizations to:

develop and implement, including in conflict and post-conflict situations, public awareness and confidence-building programmes on the problems and consequences of the illicit trade in small arms and light weapons in all its aspects, including, where appropriate, the public destruction of surplus weapons and the voluntary surrender of small arms and light weapons.

In section III, paragraph 18, civil society is “urged, as appropriate, to develop and support action-oriented research aimed at facilitating greater awareness and better understanding of the nature and scope of the problems associated with the illicit trade in SALW in all its aspects”.

The membership of the International Action Network on Small Arms (IANSA) in every region has played a key role in supporting NCBs in their efforts to coordinate and implement the PoA. Active participation and membership of civil society in most of the NCBs is ad hoc or non-existent in all regions. In most cases civil society participation is limited to seminars and conferences organized by the NCBs, although this has improved over the years.

### **Sub-Saharan Africa**

All NCBs in the region cooperate with civil society either on an ad hoc or formal basis. Civil society supports NCBs mostly in public awareness campaigns. In post-conflict regions, civil society organizations have been instrumental in public awareness campaigns and advocacy for the voluntary surrender of illicit SALW. For instance, in Tanzania, civil society supports the NCB in public awareness campaigns at the grass-roots level.

NCBs promote the capacity of civil society to support the national focal points and regional task forces in the implementation of national SALW commitments by conducting training workshops among relevant stakeholders. Civil society also cooperates with subregional organizations such as ECOSAP and the Regional Centre on Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States (RECSEA), and benefits from technical expertise they offer through workshops. The regional organizations also support media campaigns by civil society at the national level.

In Ghana, the NCB and civil society work jointly on programmes such as awareness raising and mobilization of local manufacturers of SALW. In Senegal, the Movement Against Small Arms and Light Weapons in West Africa (MALAO) and some representatives of the Senegalese Action Network on Small Arms are active and critical members of the NCB.<sup>42</sup> Likewise Côte d’Ivoire has five civil society organizations represented on its NCB. In Guinea-Bissau, Nigeria and Sierra Leone, civil society is represented by the national network of civil society organizations working on small arms. In Burkina Faso, civil society members of the NCB include the network Journalists for Security and Development in West Africa, the Burkinabe Movement for Human Rights and Peoples’ Rights and the Association of Owners of Hunting Areas and Hunters. In Cape Verde, the NCB closely works with civil society organizations and the media to promote education campaigns and awareness on the SALW problem. Some states, such as Senegal, include civil society representatives on governmental delegations attending meetings related to the PoA both at the regional and international levels.

As have many of these civil society organizations and networks, the Nigeria Action Network on Small Arms and Guinea-Bissau’s Action Network on Small Arms have benefited from training programmes organized by Oxfam GB, the United Nations Regional Centre for Peace and Disarmament in Africa (UNREC) and the Kofi Annan International Peacekeeping Training Centre in Ghana.

## Latin America and Caribbean states

Latin American and Caribbean states recognize civil society as a strong partner, particularly for awareness campaigns, research, information-exchange and joint programming. Despite the fact that only Guatemala and Costa Rica have included civil society organizations as formal members of their NCBs,<sup>43</sup> in many cases collaboration channels are established and described in mandates and regulations. Mexico, for instance, makes an effort to have meetings with civil society groups every 15 days and includes civil society as part of its official delegation to United Nations meetings. Moreover, only Chile includes industry among civil society actors with which they collaborate. In Bolivia governmental agencies are obliged, by the constitution, to be accountable to civil society. Peru has a strong national transparency policy. This promotes information-exchange, capacity-building, experience exchange, and cooperation and collaboration with civil society and other regional and international agencies and organizations.

## European states

European states recognize civil society as a partner, mainly on an advisory basis and for research on SALW-related projects. Civil society organizations are not official members of the NCB or national focal points; thus, they, participate in decisions related to SALW only as unofficial advisors. A limited number of European states engage representatives of civil society in their delegations to official international SALW meetings. Nevertheless, participation of civil society in conferences and international meetings organized by states on a consultative basis is growing. Annual reports of the European Union on the implementation of the Joint Action on SALW (2002/589/CFSP, 12 July 2002) address some of the joint initiatives with civil society.

In Sweden, officials from the Ministry of Foreign Affairs meet with representatives of civil society and parliament on SALW issues on a regular basis. Parliamentarians and representatives of civil society organizations have participated in Swedish delegations to meetings in the UN SALW process.<sup>44</sup> Sweden has supported a number of SALW projects implemented by non-governmental organizations (NGOs). In Belgium, on a regular basis the governmental interagency meetings on the PoA are followed back-to-back by a meeting with relevant non-governmental actors from industry, academia and civil society. Since 2001, Belgium has supported NGO projects on SALW in the amount of €2.5 million. In the Netherlands, the point of contact liaises with international organizations and civil society, as required. NGOs have also been included on the Dutch delegation in meetings related to SALW at the United Nations. The Netherlands focuses mostly on the exchange of information and experience beyond the regional level, with a priority on the Horn of Africa and the Great Lakes. It provides core funding to RECSA and supports several SALW activities in Uganda and Burundi. Slovakia has actively participated in events, seminars and meetings organized by international and regional organizations and NGOs, and has shared requested information with partners. In Bulgaria and Latvia, coordination and cooperation with civil society takes place as appropriate. Similarly, in Austria, civil society is engaged occasionally. In Poland, there is an informal mechanism to consult civil society. Since 2001, Romania has developed a national strategy for raising the awareness of civil society and has hosted regional policy seminars. In Portugal, there is good coordination and cooperation between government and civil society to implement the various control activities on possession of weapons. Consultations with civil society are regularly organized in France on issues related to SALW traffic.

## Other states

In Thailand, the government invites civil society to participate in annual seminars or conferences on SALW. Japan does not have a formal process for coordinating with civil society at the national level; however the NCB occasionally organizes meetings with civil society members concerning the PoA process. Fiji still does not have a formal process to include civil society in the implementation of the PoA.

Australia reports that it is committed to working with regional partners and civil society to address the challenge of SALW proliferation in Asia and the Pacific. The Department of Foreign Affairs and Trade holds regular meetings, including roundtables, with civil society in regard to SALW issues, such as implementation of the PoA. Australia often includes civil society representatives on its delegations to international meetings, including for the PoA and the Arms Trade Treaty.

Civil society organizations in Canada are involved in implementation through the delivery of programmes in support of the PoA, the development of national reports on PoA implementation, and participation in government delegations to PoA meetings. Canada has also funded a number of research projects by civil society groups in other countries aimed at facilitating greater awareness and better understanding of the nature and scope of problems associated with the illicit trade of SALW.

## COOPERATION WITH PARLIAMENTS/NATIONAL LEGISLATIVE BODIES

Since parliaments are responsible for policy development, most NCBs in sub-Saharan Africa have made a conscious effort to coordinate with parliamentary select committees on peace, security and defence. This is not the case in most European states where parliament is involved only at major decision-making stages. Especially in developing countries, parliaments are involved in NCBs at an early stage because most NCBs and their plans of action are endorsed or instituted by parliamentary decree. In West Africa, parliaments approve or endorse coordination efforts and strategic plans of action by the NCB.<sup>45</sup>

In Niger, the Parliamentary Network for Peace is a member of the NCB. Likewise representatives from the national parliament are part of the NCB in Burundi, which works in coordination and cooperation with parliamentarians. In Mozambique, the NCB works closely with the parliamentary select committees on international relations, and defence and public order. In Ghana, the NCB submits periodic reports to the parliamentary select committee on defence and interior. In Burkina Faso and Senegal, the NCB coordinates with the parliamentary committee on foreign affairs and defence, as well as a specialized parliamentary network on SALW in the context of information-sharing and raising awareness on security threats posed by the proliferation of SALW. In Burkina Faso, the national parliament is not part of the NCB. However the NCB has a relationship with the parliamentary committee on foreign affairs and defence and the Burkinabe Parliamentary Network on SALW. Madagascar's ad hoc NCB also coordinates with relevant committees within parliament.

In El Salvador the NCB collaborates and coordinates joint actions with relevant government agencies including Parliament. In Saint Vincent and the Grenadines, although there is no coordinating body per se, once information is received by the Special Services Unit of the Police, it is analysed and disseminated among different entities, including Parliament.

In Sweden, the NCB meets with representatives of parliament on SALW issues on a regular basis. Parliamentarians have participated in Swedish delegations to meetings in the UN SALW process. In Italy, interagency coordination and parliamentary oversight ensure the consistency of SALW activities with national security programmes. In Germany, relevant government agencies working on SALW also answer parliamentary questions on SALW control.

Japan reports that members of parliament can inquire about details of implementation of the PoA at the Diet session.

## GENDER-SENSITIVE POLICY

Since 1997 the Assistant Secretary-General and Special Adviser to the Secretary-General on Gender Issues and the Advancement of Women has been charged with supporting and overseeing the implementation of policies on gender mainstreaming.<sup>46</sup> In implementing the PoA, some states have recognized the need and significance of gender-sensitive policies to the effective implementation of the PoA. Paragraph 6 of the preamble of the PoA emphasizes that the international community is “gravely concerned about its devastating consequences on children, victims of armed conflict or are forced to become child soldiers, as well as the negative impact on women and the elderly, taking into account the special session of the United Nations General Assembly on children”.

In the responses to the questionnaire for this study, most states did not specifically report on incorporating gender-sensitive policies in their programme of work or national action plan. However, some NCBs report that they have female representatives as either the head of the NCB or part of the NCB membership and support staff.

### Sub-Saharan Africa

In Mali, two of the five civil society representatives on the NCB are female, and five members of the support staff are female. Burkina Faso has two women on the staff; during the national survey on SALW, a conscious effort was made to place special emphasis on the impact of SALW on women and children.

The national focal point in Tanzania has prioritized gender-sensitive policies. Its staff members have undertaken training on programming related to vulnerable and marginalized groups, specifically women, children and disabled. The IANSA Women’s Network, represented on Nigeria’s NCB, focuses on the connections between gender, women’s rights, SALW and armed violence. Senegal, in revising its law on firearms, included reference to Security Council resolution 1325, on women and peace and security. The Minister in charge of women’s affairs is a member of the NCB. Moreover, some African states, including Ghana, Guinea, Mali, Senegal and Sierra Leone, have included women on their delegations to international meetings on the PoA. Burundi has a gender-sensitive policy on SALW as well as women in leadership roles on the national commission. Togo and other states in the region report that they intend to prioritize gender-sensitive policies in the future.

### Latin American and the Caribbean

There is no specific gender policy applied within the framework of the commissions and agencies working on SALW issues, although each state highlighted national considerations on gender equality. For instance, most representatives of Colombia’s Coordination Agency are female, and in many

other cases the commission is chaired by a woman, such as in Colombia (the Coordinator), Peru and Mexico (the Technical Secretary). In other states, such as El Salvador and Saint Vincent and Grenadines, women take leadership roles on commission activities and decisions. In the case of Uruguay many gender considerations were brought into the committee discussions by the Ministry of Education. The Central American programme on SALW is the only regional body that has included a strong gender perspective in its programmatic work, regarding women as important actors to be included in the operative arena.<sup>47</sup>

### **European states**

In general, the overall gender policy of governments is applicable through the usual non-discrimination policy on gender, age and ethnicity. Nevertheless, in some states where the NCB is not an official body, the gender policy is not applicable. The head of the NCB in most states, including Bosnia and Herzegovina, Finland, Ireland, Latvia, Slovakia, Slovenia and Romania, is female. Denmark, for instance has drawn up an autonomous gender-sensitive policy as part of the general employment policy. In Malta, government agencies are bound by law to be gender sensitive. In Portugal, the overall gender equality policy of the government is applicable. Similarly, in Slovenia, the national gender policy issues are also reflected in the work of the national point of contact.

### **Other states**

Australia is particularly committed to supporting initiatives that prioritize gender-sensitive policies. In 2011, the Australian Agency for International Development supported the Women's Institute for Alternative Development in hosting a regional Arms Trade Treaty workshop for Caribbean states. Since June 2007, the Agency has funded the work of the Save the Children Alliance on reintegration of former children associated with armed forces and armed groups (CAAFAG) and helping other vulnerable children from being exploited by armed groups. Australian funding ensures the project incorporates the special needs of girls, following a gender review of the CAAFAG programme undertaken in 2008. This programme includes advocacy for their release, psychosocial counselling, education and medical support, income generation, special support to girl children, and some emergency assistance and support for community reintegration. It broadly supports peace-building in Nepal and encourages the constructive participation of children and youth affected by conflict in the peace process.

## **OVERSIGHT**

The nature of a mandate and its supporting strategic action plan determines the supervisory power of an NCB to ensure compliance. It is critical for NCBs or focal points to have oversight to ensure that all relevant government agencies comply with the state's responsibilities under relevant regional and multilateral instruments including the PoA, the Firearms Protocol and the International Tracing Instrument.

Most NCBs or focal points have the capacity to coordinate with other government agencies and provide policy guidance on PoA-related issues and monitor progress in implementing the PoA. However not all NCBs have the supervisory power to ensure that relevant regional and multilateral agreements are enforced.

## Sub-Saharan Africa

Most NCBs or focal points in Africa are located or attached to the office of the Presidency and Prime Minister, and this gives them some supervisory power to ensure that relevant government agencies are informed of regional and multilateral policy developments on SALW. Presently, nine NCBs<sup>48</sup> in the ECOWAS region are attached to either the President's or Prime Minister's office. In Senegal, the NCB is chaired by the Minister of Defence, which also guarantees enough supervisory power.

The case of Mozambique is interesting, as it appears to have sufficient supervisory power, capacity and political support to ensure compliance by all government agencies with responsibilities on matters related to SALW. The NCB has a ministerial council chaired by six government ministers. This council grants the NCB sufficient supervisory power.

Personnel working with Tanzania's NCB have been trained to oversee PoA-related activities such as marking firearms, conducting destruction exercises, stockpile management and public awareness.

## European states

As European states, in general, do not have officially established NCBs, government agencies that are in charge of implementation of the PoA can only have limited oversight to ensure that all relevant government agencies comply with the state's responsibilities in implementing multilateral instruments on SALW, each national institution being responsible for compliance in their respective areas.

In some states, a certain amount of oversight is provided to departments dealing with SALW. For instance, in Sweden, the Department for Disarmament and Non-Proliferation of the Ministry of Foreign Affairs, and the Ministry of Justice and the Ministry of Defence, have sufficient supervisory power, capacity and political support.<sup>49</sup>

Similarly in Bulgaria, Portugal and Slovakia, the national point of contact or NCB have sufficient supervisory power for multilateral instruments.

In Slovenia the NPC has no supervisory power. It deals mainly with foreign policy issues, providing inputs for various national reports. Relevant government agencies are tasked with the implementation of multilateral instruments.

Since there is no institutionalized NCB in Italy, supervisory oversight for multilateral instruments is carried out by the Ministry of Interior and the Ministry of Foreign Affairs.

## Other states

In Thailand the Office of the National Security Council can make recommendation on policy developments on SALW to key government agencies. Similarly, the NCBs of Fiji and Japan are well placed to coordinate national requirements on SALW.

Canada reports that the focal point ensures that relevant government agencies are aware of Canada's responsibilities under the PoA and the International Tracing Instrument, but does not have the supervisory authority to ensure that these agencies comply.<sup>50</sup> However the focal point has the

capacity to coordinate with other government agencies and share information on their programmes related to implementation of the PoA.

In Australia's federal system of government,<sup>51</sup> the six state and two territorial governments have direct legislative responsibility for the control of firearms (including the possession, ownership, use, production and domestic transfer of firearms, their parts, accessories and ammunition). The Ministerial Council for Police and Emergency Management meets on a biannual basis to discuss various matters, which may include domestic implementation of relevant multilateral instruments.

## COORDINATION AND OPERATING PROCEDURES FOR IMPLEMENTING THE POA

The PoA assigns many tasks to the national coordination agencies or bodies and the national point of contact. With such an expansive mandate and due to the variety of the membership, there is a necessity to create a collaborative culture within the network through international coordination mechanisms and operating procedures allowing the NCB to fulfil its mandate (see page 2). As stated before, this collaborative culture implies the exchange of information: a continuous flow of quality information and promotion of transparent decision-making, and communication established at all levels to ensure a common understanding of collaboration.

Of the responses received for the study, 39 states have formally instituted or nominated a national point of contact that acts as a liaison between states and international actors on the PoA.<sup>52</sup> Sixteen of these states are located in sub-Saharan Africa, five are EU member states, two are Asian, and 16 are in Latin America and the Caribbean. Even states like Fiji and Madagascar that operate their NCBs on an ad hoc basis have some sort of coordination process. (See the section on NCB membership, page 14).

Two states (Finland and Japan) have no formal coordination body, but have nominated a national focal point that cooperates with relevant government ministries and agencies to promote and implement all issues related to SALW control and acts as a liaison with relevant state and international actors. As indicated above, these points of contact take on responsibilities under the PoA as part of their usual official assignments.

### Sub-Saharan Africa

In West Africa, ECOSAP reports that the focal points of most NCBs are supported by permanent secretariats.<sup>53</sup> Others, like the NCB in Mali,<sup>54</sup> have limited staff with support from some military aids.

The NCB in Burkina Faso reports having the capacity to use e-forums to disseminate information among its members and the general public. Some NCBs also use workshops and seminars as platforms for constructive discussions, including with Parliament, on how to effectively implement SALW programmes. In Côte d'Ivoire sometimes the NCB is called upon to make presentations at the National Assembly. In Mali, coordination and cooperation take place within two subcommittees, the Subcommittee for Awareness and Operations, and the Subcommittee for Safety. In Sierra Leone new legislation or parliamentary bills on SALW are announced in the Sierra Leone Gazette or local news papers.

In Tanzania, the most effective forum for exchange of information on SALW is among the national law enforcement. Tanzania's inter-agency planning strategy is made via its inter-agency national, regional and district task forces,<sup>55</sup> which work closely together to implement programmes on SALW. The RECSA Guidelines for Practical Disarmament have become a useful tool for states in Eastern Africa.

Although the NCB of Burundi has an operational coordinating group and ensures the exchange of information among national agencies, the mechanisms with which to coordinate activities with other stakeholders are not clear. The structures and processes within the Ministry of Public Security for the exchange of information are currently under review. Notwithstanding, the National Commission serves as an inter-agency planning and coordination platform and an inclusive process has been adopted for the development of the national action plan on SALW. Further, the National Commission, working in partnership with civil society, monitors the implementation of the PoA.

Ghana's NCB has created a regional firearms registry for the police, developed in phases with the ultimate aim of having a national registry for both civilian firearms and the state's weapons stockpiles. The primary objective of this initiative is to promote information-exchange among law enforcement across the region on civilian possession of firearms. However, this initiative has been delayed due to a lack of funding. Ghana's NCB proactively engages with senior and high-level government officials through courtesy calls. Such meetings are used not only to educate executives in leadership positions about the relevance of the PoA, but also as an advocacy tool to enhance cooperation and the exchange of information and experience among the relevant government agencies on implementation of the PoA.

At the national level, the Nigerian NCB organized an inter-agency synergy retreat in Kaduna in 2008. The government hopes to hold such a retreat annually. At the regional level, Nigeria has organized a tripartite meeting with border security operatives along with Niger and Benin.

The NCB secretariats in sub-Saharan Africa ensure that the specific needs of each agency are taken into consideration. Experts are often selected from appropriate agencies to represent the NCBs at regional and international conferences. For instance, an expert from the Ghana Armed Forces represented the NCB at the first meeting of states of the Convention on Cluster Munitions held in the Lao People's Democratic Republic.

Besides coordination and cooperation at the national level, most of the NCBs in sub-Saharan Africa coordinate with relevant regional and international organizations including RECSA, ECOWAS, ECOSAP, the United Nations Children's Fund (UNICEF), the United Nations Development Programme (UNDP), United Nations Office on Drugs and Crime (UNODC) and the United Nations Regional Centre for Peace and Disarmament in Africa (UNREC).

### **Latin America and the Caribbean**

One key obstacle to the efficient functioning of the NCBs in Costa Rica, Guatemala and other states in the region is the lack of continuity of meeting. Most of the government officials participating in the coordination mechanism are overworked and too busy with their own portfolios. Consequently, a lack of reporting, information-sharing and regular meetings have impeded any joint strategic planning for the implementation of the PoA. For instance, in Argentina, the NCB has an excellent legal framework, but internal communication within the Committee is limited. Most of the government

agencies do not formally participate in the meetings of the Committee. Moreover, the Committee just has a few meetings per year. This poor coordination effort has hindered independent institutional efforts.

In Chile, government agencies have the opportunity to participate in meetings organized by the Ministry of Foreign Affairs. Yet, there are legal restrictions on sharing sensitive information on arms transfer and government stockpiles.

Colombia presents an excellent case of effective coordination on the PoA. The National Coordination Committee is the only one that has formally established specific communication mechanisms and information-exchange channels among its members and with other national and regional governmental agencies.

In Costa Rica and Guatemala, the NCBs communication channels include holding periodic meetings, and participating in seminars and workshops, among other informal mechanisms.

In Mexico, the inter-institutional group holds meetings every 15 days. Beyond the PoA, the responsibilities of this coordination group include commitments under other regional and international agreements on arms control.

Peru has a strong national transparency policy. The NCB strongly promotes information-exchange on capacity-building, best practices and experience at the regional and international level.

In Uruguay information-exchange and collaborative action with other national, regional and international actors and agencies is done mostly through participation in meetings and informal institutional communications. For example, the meetings of the Firearms Working Group of the Southern Common Market (MERCOSUR) and the regional efforts for coordinated planning and action are an important collaborative arena. Although Uruguay has strengthened capacity-building and experience exchange at the national, regional and international levels, their collaborative efforts are undermined by the lack of a formal information-exchange mechanism and conflict over autonomy among government agencies.

El Salvador established a Technical Inter-institutional Group whose role is to do the follow-up of the agreements adopted by the state regarding security and defence, SALW traffic (particular, control, marking and tracing, and destruction policies) and any other action provided for by the PoA, CIFTA and agreements within the Central American Security Commission. The Ministry of Foreign Affairs coordinates this Group on the implementation of the PoA. In the case of Brazil, the Division of Disarmament and Sensitive Technologies under the Ministry of Foreign Affairs has periodic meetings with the Public Security Secretariat, Federal Police, Defence, Customs, the Intelligence Service and the Army on the implementation of the PoA.

Trinidad and Tobago has set up an information-exchange mechanism among national entities dealing with SALW. This information mechanism has clear objectives and meetings are held regularly by key stakeholders on joint and independent strategies.

The information provided by Saint Vincent and the Grenadines for this study is significant as this is the first report (information-sharing) the state has provided on SALW and to the United Nations regarding the PoA.

### **Saint Vincent and the Grenadines Coordination Mechanism**

In Saint Vincent and the Grenadines, although there is no coordinating body per se, the Police Force, from the Ministry of National Security, fulfils that function since 2009, coordinating and planning activities related to SALW with other governmental departments, such as Narcotics, Customs and Excise, the Criminal Investigation and Immigration Department, and the Rapid Response Unit. Information-exchange is done through the Regional Security System Special Branch and the Regional Intelligence Fusion Center. All coordination is done through the Ministries of National Security and of Foreign Affairs. Once information is received by the Special Services Unit of the Police, it is analysed and disseminated among different entities, including the Parliament.

### **European states**

In European states, in general, the body acting as national focal point or national point of contact located within the Department for Disarmament and Non-Proliferation or Ministry of Foreign Affairs organizes inter-agency coordination and the mechanism to ensure the exchange of information among different national entities dealing with SALW at the regional and international levels, or collaborates with the entity that is in charge of regional and international cooperation on SALW-matters. This is done either through meetings, electronic communications or by means of written reports.

There are periodic contacts with civil society organizations and seminars with the NGO community. These meetings are not considered as formal bodies or committees.

For instance, Belgium's NCB undertakes interagency coordination on the illicit arms trade on an ad hoc basis. But there are at least two interagency coordination meetings per year. Besides input from the interagency coordination meetings, the Directorate gets also input on PoA matters from parliamentary resolutions and questions, formal and informal bilateral meetings with representatives of other governmental departments, national civil society organizations and industry. In Romania, the NCB meets weekly. Romania has organized several workshops on SALW control and participates in international initiatives, notably at the UN level. In Finland there are regularly meetings under the Ministry of Foreign Affairs, with representatives from the Ministry of Defence and Ministry of Interior. Representatives from other authorities (customs, border control, etc.) are invited by the Ministry of Foreign Affairs to participate as necessary. NGOs are invited regularly.

In the interest of ensuring a coherent policy on the SALW, Switzerland's Department of Foreign Affairs Political Affairs Division IV, Human Security, provides inter-departmental coordination. It holds meetings three to four times annually with all offices of the Federal Department of Foreign Affairs; the Federal Department of Defence, Civil Protection and Sports; the Federal Department of Economic Affairs; and the Federal Department of Justice and Police.

In Slovakia, the Section for Trade Control in Military Equipment of the Ministry of Economy is acting as NCB. The Ministries of Foreign Affairs, Defence and the Interior, and the Customs Authority and the Intelligence Services, have representatives on the NCB. There are regular weekly meetings. Similarly, Bulgaria has an Inter-ministerial Commission, which is a standing body. Information-exchange on issues related to the PoA is considered to be part of the regular work of the bodies engaged in the national export control system.

The Danish Police are responsible for the coordination of national and international cooperation and collaboration in weapons affairs. The Forensic Centre of the Danish National Police manages the joint Nordic Integrated Ballistics Identification System.<sup>56</sup>

In Poland, internal coordination is realized in the form of advisory sessions. The Ministry of National Defence, the Ministry of Interior and Administration, the Internal Security Agency, the Foreign Intelligence Agency, Public Finance, and the National Atomic Energy Agency act as advisory authorities in the process of granting licenses. Security Policy Department and Ministry of Interior representatives meet with their counterparts at different United Nations, European Union and Organization for Security and Co-operation in Europe (OSCE) fora.

In Moldova, the NCB is established as an advisory body to coordinate the implementation of international treaties to which Moldova is party in the field of arms control and disarmament, as well as the development of national reports in this area. The Commission cooperates with the central bodies of public administration, international organizations and agencies. If necessary, the Commission establishes working groups, including representatives of other ministries and institutions for examination and preparation of proposals on resolving practical problems that may arise during the control of export, import and transit of strategic goods. Commission meetings are convened as needed, but not less than once every six months.

In Estonia, the Police and Border Guard Board are responsible for general supervision of SALW. The Ministry of Home Affairs and agencies under it exchange information as needed. At the state level, information-exchange also takes place through the Strategic Goods Commission. Civil society is not directly included in PoA implementation on a daily basis.

In Ireland, the NCB located within the Ministry of Foreign Affairs coordinates with other elements of the government working on export/import control, the licensing of military exports, Defence Force stockpiles and SALW regulation at the national level. The NCB also coordinates closely with Ireland's development aid programme in relation to supporting projects combating SALW proliferation and the related effects.

In Malta, the National Police, which act as the focal point, communicates via e-mail, departmental fora and meetings with relevant government agencies and civil society as required. The Police and Customs authorities have signed a memorandum of understanding on the exchange of information.

There is no single institutionalized agency in Germany that is responsible for implementation of the PoA. Exchanges of information and coordination with other governmental bodies takes place in the framework of regular coordination meetings. Civil society organizations participate in coordination meetings when invited. Government representatives also answer parliamentary questions on SALW control. The needs of each ministry and subsequent information-sharing are attended to through consultations and meetings.

In France, regular meetings and exchanges among relevant government agencies on the PoA serve to define priority areas and allow for inter-ministerial planning in relation to SALW controls. The NCB regularly consults with civil society representatives on SALW issues.

In Italy, the competent structures in the Ministry of Foreign Affairs and the Ministry of Interior work in coordination and liaise with other institutions that have specific responsibilities (such as the Ministry of Defence). This is carried out on an ad hoc basis. Domestic information-sharing is also ensured through regular contact among stakeholders. This includes regular contacts with NGOs and industry, and annual SALW meetings among representatives of relevant ministries, law enforcement agencies and SALW manufacturer associations. The meetings provide a forum for discussion among participants on SALW controls and major developments. Inter-agency coordination and parliamentary oversight ensure the consistency of SALW activities with national security programmes.

### **Other states**

In Thailand, the National Security Council, which is the focal point, cooperates with Thailand–Maritime Enforcement Co-ordination Centre to monitor and prevent illicit arms smuggling and trafficking at sea and with law enforcement, such as INTERPOL, to facilitate the arrest of arms and weapon traders. The focal point also cooperates with civil society in gathering information on money laundering and weapons smuggling. In Fiji, the police, military, customs, navy and border agencies exchange information regularly on weapons-proliferation and crime-prevention matters.

In Japan Information-sharing among relevant government agencies is conducted through meetings or electronic communications.

In Australia and Canada, there are no formal mechanisms for internal coordination. However, they have a well-structured governance system that works on crime prevention and arms control programmes. Coordination among the relevant agencies happens through working groups and other formal mechanisms, as a matter of everyday business.

In Australia, the Ministerial Council for Police and Emergency Management meets on a biannual basis to discuss various matters which may include domestic implementation of relevant multilateral instruments. Officials of the state and territorial governments meet biannually to support the development of nationally consistent policy responses to firearms-related issues. The Department of Foreign Affairs and Trade holds regular meetings with other government agencies, including roundtables with civil society to ensure the consistency and coherence of SALW interventions with a range of policy, including national security programmes. The Australian Agency for International Development and the Department of Foreign Affairs hold regular interdepartmental committee meetings with relevant government bodies on issues related to armed violence reduction, and seek input from the Attorney-General’s Department. The Attorney-General’s Department liaises closely with state and territorial representatives to promote information-sharing and national consistency, where possible and appropriate.

In Canada, the point of contact also exchanges information and coordinates with civil society organizations dealing with SALW issues.

### **COORDINATING AND IMPLEMENTING NATIONAL ACTION PLANS ON SALW**

The PoA does not make any specific reference to developing a “national action plan” for the implementation of the PoA. However, every coordination mechanism requires an action plan that guides the NCB on its responsibilities and strategic plan of action.

Very few states have developed a national action plan for the implementation of the PoA. Of the 65 states that responded to the questionnaire for this study, only three European states have a formal national action plan.<sup>57</sup> In Latin America, only four states have developed a national action plan. Fourteen states in sub-Saharan Africa have either adopted or are in the process of adopting a national action plan with support from civil society and subregional bodies.

### **Sub-Saharan African**

In Burundi an inclusive process has been adopted for the development of the national action plan on SALW. In addition, national action plans were adopted in Eritrea and Rwanda and one is under development in the Democratic Republic of the Congo. Kenya, Tanzania and Uganda have also developed national action plans in partnership with civil society.

In 2001, Tanzania was one of the first states in Africa to establish a national action plan with support from a civil society organization (SaferAfrica). The NCB developed public education and awareness campaigns to build support for key aspects of the plan. A key objective of the plan is to promote the capacity of civil society to support the NFP and regional task forces in implementation of national SALW commitments, and to conduct training workshops among relevant stakeholders. Challenges to the implementation of the action plan include a lack of financial resources to facilitate SALW projects and inadequate training and capacity-building for SALW initiatives. In the interest of broadening the scope of the action plan to accommodate all stakeholders that play a part in implementation of national SALW commitments, Tanzania has developed another action plan for 2009–2014.<sup>58</sup>

In Western Africa all NCBs have either adopted or are in the process of adopting a national action plan with support from the ECOWAS Commission, ECOSAP, UNDP and their respective governments. Eleven states have conducted national SALW surveys that will inform national action plans.<sup>59</sup> Of these, only seven have successfully developed their national action plans.<sup>60</sup> For instance, Burkina Faso's five-year national action plan was developed with support from ECOSAP, UNDP and the government. Mali has developed a second national plan of action for 2010–2014. Côte d'Ivoire, Guinea, Niger and Nigeria are still in the process of discussing or developing such national strategies.

Cape Verde and Ghana, for instance, report that their national action plans have not yet been validated and implemented because of a lack of financial resources. Guinea-Bissau developed its national action plan in 2009, but it has been difficult to implement due to political instability, and a lack of funds and human resources.

States in Central Africa share the challenge of lacking resources for the implementation of the PoA. Areas requiring assistance are technical assistance and capacity-building as well as material and financial assistance. An important development that may lead to strengthened national capacities for SALW control is the adoption in 2010 by the Economic Community of Central African States (ECCAS) of the Central African Convention for the Control of Small Arms and Light Weapons, their Ammunition and all Parts and Components that can be used for their Manufacture, Repair, and Assembly—also known as the Kinshasa Convention on Small Arms Control.<sup>61</sup> Once in force, the Convention and its implementation may promote further action at the national level and increase donor attention to relevant efforts and needs in the subregion.

## European states

Most of the European states have not developed a national action plan for implementation of the PoA. Rather, coordination among the relevant ministries and other national stakeholders is carried out in meetings on arms control held regularly or as required. In European Union states, national implementation of the PoA is ensured through the implementation of national and subregional agreements.

Few Eastern European states have developed a national action plan. In 2009, in the scope of improving SALW control in Moldova, the Ministry of Internal Affairs drafted a National Strategy and Action Plan for the period up to 2014. Bosnia and Herzegovina drew up in 2005 a strategy and action plan for the control of SALW. The strategy will be reviewed and evaluated every five years while the action plan will be evaluated annually.

Croatia adopted a national strategy and action plan in 2009. In drafting the national strategy and action plan, particular attention was paid to the relevant conventions, strategic documents, regulations and guidelines of the United Nations and the OSCE. The general aim of the national strategy is to establish an effective system to control SALW in all areas, especially the suppression of illegal manufacturing and trading of weapons, the safer and more effective management and control of supplies of weapons, and reducing the amount of both legal and illegal weapons in the possession of citizens.

## Latin America and the Caribbean

With the exception of Chile and Colombia, a majority of the states in Latin America do not have national action plans in place. The national plan of Chile is focused on public awareness campaigns to promote the voluntary surrender of weapons for their destruction, and legislative initiatives that have introduced higher requirements for civilian gun possession, thus restricting arms proliferation. In Colombia, a national action plan was prepared and approved in 2009 by the Coordination Committee. It included strategic working plans on institutional strengthening, creating a culture of peace and enhancing international cooperation, receiving international resources to implement the necessary policies, and also sharing national experiences with other states and international/regional organizations.

It is worth mentioning that Bolivia has a national plan for development, which has as one of its primary objectives the prevention and eradication of illegal traffic in SALW.<sup>62</sup> Likewise Brazil's National Public Security Action Plan provides for policy guidance, research, and monitoring of efforts to prevent, combat and eradicate the illicit trade in SALW.<sup>63</sup> Peru and Trinidad and Tobago are presently working to develop national action plans.

## Other states

Japan does not have a strategic national action plan, but the NCB develops a yearly plan in coordination with relevant ministries and agencies. The plan helps the NCB to forecast relevant activities and assistance programmes each year.

## ACTION-ORIENTED RESEARCH

Research is one of the key responsibilities of the NCB as the PoA, section II, paragraph 4, underlines the fact that NCBs must also be responsible for research besides monitoring and policy guidance. Additionally, in section III, paragraph 18, regional, subregional and international organizations, research centres, health and medical institutions, the United Nations system, international financial institutions and civil society are urged to develop, and support states with, action-oriented research aimed at facilitating greater awareness and better understanding of the nature and scope of the problems associated with the illicit trade in SALW in all its aspects.

### Sub-Saharan Africa

In Western Africa national SALW surveys have been conducted with support from ECOWAS, UNDP, Oxfam and other implementing partners, stakeholders, consultants, and civil society. These surveys are considered as baseline studies that provide pertinent information to governments on what strategies to develop to curb the problem of SALW. For instance, research has been done to better understand illicit trafficking and local manufacture of firearms. National SALW surveys were conducted with the financial of Oxfam GB in Senegal (2006) and in Mali (2007–2008). Senegal produced a first national report on SALW-related issues, entitled “Guinar ak y nenam”. Burundi’s NCB has supervised the conduct of action-oriented research on SALW challenges at the national level. It also submits regular reports on PoA implementation, the data for which is collected through information-sharing among stakeholders.

With the technical and financial support of ECOSAP a series of baseline surveys and research on the SALW problem has been conducted in Burkina Faso, Cape Verde, Ghana, Mali, Niger, Nigeria and Senegal. National surveys are conducted through focus group discussions, field visits, interviews and participants observation.

### Latin America and the Caribbean

Similarly in Latin America and the Caribbean, research and surveys have been used by states to guide policy and develop strategic plans for inter-agency coordination at both the national and regional levels. In most Latin American states civil society is invited to participate in meetings and included in the process by assisting in research and awareness. Brazil’s national public security plan was informed by national surveys and research. The public security plan provides for policy guidance on all efforts to prevent, combat and eradicate the illicit trade in SALW.<sup>64</sup> In Mexico, research work is based on information-exchange and the gathering of evidence on tracing and illicit trafficking of SALW.

### European states

Among European states, Belgium has been supporting SALW projects on awareness raising, stockpile management, collection and surplus destruction, research analysis and dissemination (in the amount of about €20 million since 2001). In Sweden, the Department for Disarmament and Non-Proliferation has supported such research, carried out for instance by the Stockholm International Peace Research Institute. In Denmark, the Research and Documentation Division of the Ministry of Justice carries out research, statistics and documentation regarding the responsibilities of the Ministry of Justice, including the Danish police, which are responsible of SALW-related issues. In

France, several research projects have been commissioned by the Ministry of Defence, notably on arms trafficking by air, embargo violations, and arms transfers in sub-Saharan francophone Africa.

Switzerland remains committed to the promotion of action-oriented research in the field of SALW. It was at Switzerland's instigation that the Small Arms Survey, a research programme on SALW, was created. Switzerland continues to support the Small Arms Survey and other programmes on small arms, and the Geneva Declaration<sup>65</sup> by states, civil society and the United Nations.

### **Other states**

The governments of Australia and Canada have funded a number of research projects in other countries and regions aimed at facilitating greater awareness and better understanding of the nature and scope of problems associated with the illicit trade of SALW. In Australia, leading national law enforcement bodies, including the Australian Crime Commission, the Australian Federal Police and other bodies such as the Australian Institute of Criminology, undertake research to inform the development of policy on firearms and provide information on trends in illicit firearms trafficking.

### **REPORTING**

The PoA specifically makes reference twice to the “act of reporting”—first in section II, paragraph 19, on destruction of surplus weapons, and in section II, paragraph 33, on reporting of states to the Secretary-General of the United Nations on implementation of the PoA.

Besides the specific reference to reporting in the PoA, the provisions of the PoA tend to emphasize the need for information-sharing. Since reporting is central to information-sharing, any act of information-sharing is thereby an act of reporting. In the PoA, states are encouraged to share information on marking systems on SALW (section III, paragraph 12), and illicit trade routes and techniques of acquisition of illicit SALW (section II, paragraph 23). In addition, states are encouraged to provide relevant information on illicit SALW to INTERPOL's International Weapons and Explosives Tracking System database or any other relevant database that may be developed for this purpose (section III, paragraph 9).

A 2008 study noted that reporting activity peaked in the years of the Biennial Meetings (2003, 2005 and 2008).<sup>66</sup> However, reporting still remains low, because not all states have reported regularly.

With the exception of Saint Vincent and the Grenadines, all states that responded to the questionnaire confirmed that they have reported at least once on implementation of the PoA to the United Nations. Saint Vincent and Grenadines noted that its contribution to the this study was its first attempt at sharing information with an international body like the United Nations on its implementation of the PoA.

### **Sub-Saharan Africa**

In sub-Saharan Africa, for instance in Côte d'Ivoire, the national report on implementation of the PoA is transmitted from the Prime Minister's Office to the Ministry of Foreign Affairs, then to the permanent mission to the United Nations in New York, and finally to the UN Secretary-General's office through ODA. In Senegal the report is drafted with the participation of all stakeholders, including representatives of civil society.<sup>67</sup> In Central Africa, all states in the subregion have reported

on the implementation of the PoA at least once since 2003.<sup>68</sup> However, only Angola, the Democratic Republic of the Congo and the Republic of the Congo reported more than once. In Eastern Africa, all of the states in the Great Lakes Region and Horn of Africa, with the exception of Somalia, also reported on implementation of the PoA at least once since 2003.

### **Latin America and the Caribbean**

In Latin American information is submitted by states through a formal mechanism. States in the region identify reporting as a key tool for monitoring. The mechanism for collecting information to consolidate the national report is similar in every state: official communication is sent to each agency whether it is a member of the national coordination body or not. The report is prepared, and copies are distributed among all agencies that contributed in its preparation. Then, it is sent to the United Nations through the Ministries of Foreign Affairs.

### **Other states**

In Canada, the focal point at the Department of Foreign Affairs and International Trade acts as the liaison with a number of other federal government departments/agencies on PoA reporting. Civil society organizations are given the opportunity to comment on national reports and provide information on their activities in support of PoA implementation.

In Australia, the Department of Foreign Affairs and Trade coordinates with all relevant government departments regarding information required for reporting on implementation of the PoA. The Attorney-General's Department liaises with representatives in the states and territories to collect information which is required for reporting. The Australian Agency for International Development also requires full annual activity and financial reporting from all civil society and multilateral partners that receive funding from the agency for SALW activities.

### **Reporting and information-sharing outside the UN framework**

Besides reports submitted to the United Nations and regional bodies, NCBs submit reports to relevant bodies at the national level. For instance, Ghana states that it also submits periodic reports to the Ministry of the Interior, the Parliamentary Select Committee on Defence and Interior, and other collaborating agencies. Often such reports are generated through field and monitoring visits, performance reports, interviews and focus group discussions.

The PoA, section III, paragraph 9, encourages states to share information and support INTERPOL'S International Weapons and Explosives Tracking System database or any other relevant database that may be developed for this purpose. A number of states report that they are either using the INTERPOL Weapons Electronic Tracing System or are developing a data collection system that complements INTERPOL's system.<sup>69</sup> For instance, in 2003 Canada reported that it had developed a working prototype of the INTERPOL Weapons Electronic Tracing System; the system comprised "a bulletin board, an automated tracing form, a stolen firearms and explosives database, a counterfeit firearms database and e-mail capability for subject-matter experts".<sup>70</sup> Senegal reports to have a special information-exchange mechanism that involves the National Commission, the National Central Bureau liaising with INTERPOL, the "Organisation des Gendarmeries Africaines", the computerized system "GAINDE" of the Customs services, the World Customs Organization (International Convention on Mutual Administrative Assistance for the Prevention, Investigation and

Repression of Customs Offences), the customs liaison offices, the network of National Commissions, the West African Regional Police Chiefs Coordinating Organisation (WARPCO), ECOWAS and the intergovernmental action group against money laundering in West Africa.<sup>71</sup>

#### COOPERATION AND COORDINATION AT THE REGIONAL AND INTERNATIONAL LEVELS

The PoA, in section III, paragraph 1, recognizes that states need to cooperate and coordinate at both the regional and international levels to curb the illicit trade in SALW:

States undertake to cooperate and to ensure coordination, complementarity and synergy in efforts to deal with the illicit trade in small arms and light weapons in all its aspects at the global, regional, subregional and national levels and to encourage the establishment and strengthening of cooperation and partnerships at all levels among international and intergovernmental organizations and civil society, including non-governmental organizations and international financial institutions.<sup>72</sup>

This requires a coordination framework not only at the national level, but as well at the regional and international levels among diverse stakeholders.

In the regions covered by the study, prior to the adoption of the PoA, there were regional instruments dealing with illicit trafficking of SALW.

In sub-Saharan Africa and in Latin America, the initiatives insist on cooperation as well as exchange of information, experiences and capacities among participating actors, and require member states to create Coordinating Bodies or Focal Points to promote cooperation among agencies at the national and regional level.

#### Latin America and Caribbean States

There are many subregional initiatives on issues related to SALW: the Inter-American Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials (CIFTA);<sup>73</sup> the Andean Plan to Prevent, Fight and Eradicate Illicit Trafficking in Small Arms and Light Weapons in all its Aspects;<sup>74</sup> the MERCOSUR Declaration on Combating the Manufacturing of Illicit Trafficking in Arms, Ammunitions and Related Materials in the Southern Cone; the Central American Integration System (SICA);<sup>75</sup> and the Caribbean Community (CARICOM) Task Force on Crime and Security.<sup>76</sup>

CIFTA is the first legally binding instrument in the world on the issue of SALW (entry into force, 1998) that specifically called for the exchange of information, cooperation, the exchange of experience and training, technical assistance and mutual legal assistance among states parties.

#### Sub-Saharan Africa

In the region, the PoA is supported by the following legally binding agreements on SALW: the ECOWAS Convention, the Nairobi Protocol, the ECCAS Convention and the SADC Protocol.

## European states

At the European Union level, the Council has adopted a Joint Action,<sup>77</sup> which is a binding instrument. It foresees the establishment of confidence-building measures through regional registers on SALW and regular exchanges of information on their transfers and holdings (article 3e). It encourages greater horizontal coordination, improved exchange of information and proposals from geographical and thematic expert groups<sup>78</sup> to create initiatives and ways to better control SALW.

Reporting has also been a useful tool for states to share information at the international level. Responses to the questionnaire from states indicate that a number of UN CASA members are actively engaging and coordinating through national coordinating mechanisms in the field. From the responses, the active CASA members include ODA and its regional offices in Africa and Latin America, UNDP, UNICEF, UNIDIR, United Nations Conference on Human Settlements, UNODC and the World Health Organization.

The international community recognizes that one of the biggest challenges to the implementation of the PoA is assistance to states in capacity-building and facilitation of matching needs for international assistance with available resources.

The section below highlights how assistance facilitates coordination efforts in the implementation of the PoA.

## RESOURCES

States recognize that the biggest challenge to the implementation of the PoA is lack of financial and technical support. To this end, section III, paragraph 3, stipulates that:

states and appropriate international and regional organizations in a position to do so should, upon request of the relevant authorities, seriously consider rendering assistance, including technical and financial assistance where needed, such as small arms funds, to support the implementation of the measures to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects as contained in the Programme of Action.

This section highlights the budget lines of some NCBs as well as issues of human resources, capacity-building and field operations that support the functioning and coordination of the implementation of the PoA.

## FINANCIAL RESOURCES AND LOGISTICS

Adequate financial and logistical support is often a prerequisite for efficient implementation of any international instrument and furthermore good coordination. More importantly, it ensures that the secretariat and membership of the NCB is well equipped, trained and committed to support the mandate of the body. This guarantees sustainability and ownership of projects by the national government. Moreover NCBs require adequate logistical and financial support to ensure that they have the capacity to coordinate, direct policy development on SALW-related issues, monitor and liaise with various government departments, women's organizations, youth groups and victims association, relevant parliamentary committees and the international community on the implementation of SALW programmes.

## Developed countries

For developed countries like Australia, Canada, Switzerland and European Union states, work relating to the PoA is undertaken as part of the normal activities of all relevant government agencies and departments including the police, crime prevention commissions, Ministries of Justice and of Foreign Affairs, export and import control offices, and immigration and border services. For this reason, no special budget lines are allocated for implementation of the PoA. All administrative and budgetary necessities are provided by the relevant ministries, generally the Ministry of Foreign Affairs.

## Sub-Saharan Africa

Operational budgets for NCBs come from diverse sources including NGOs,<sup>79</sup> the United Nations (UNDP), subventions from the government and international donors.

ECOSAP reports that, with the exception of Cape Verde and Guinea-Bissau, all the national commissions in Western Africa have some budgetary allocation and dedicated bank accounts for their activities. Only three states, Ghana, Liberia and Sierra Leone, receive financial support from UNDP. However the funding flow from UNDP has not been consistent. Two states, Guinea and Senegal, receive a subvention from the Ministry of Defence. Nigeria's national commission receives its subvention from the Ministry of Foreign Affairs. Thus far, only five states, Benin, Burkina Faso, Mali, Niger and Togo, have confirmed that they have a steady annual budget for the operational activities of their national commissions. In Côte d'Ivoire, the formal budget allocated to the NCB is a shared contribution from the state, development partners and international donors.

For Niger and Nigeria, 23% and 30%, respectively, of the NCB's annual budget goes towards the functioning of secretariat; the rest goes towards operational costs. For Burkina Faso, 50% of the budget is devoted to daily functioning of the secretariat. The other 50% goes towards field operations.

Côte d'Ivoire allocates 40% of its budget to its coordination programmes.

In Mozambique the NCB allocates about US\$ 4,000 per annum for the functioning of secretariat (which includes office materials, computers, etc). Madagascar's NCB is an ad hoc focal point, so has no budget or office space and equipment allocated to its operations. The NCB dossier is part of the wider portfolio of the Ministry of Armed Forces. In Burundi, the National Commission has a designated official as chairperson and coordinator, 13 full-time personnel, a budget officially allocated to the functioning of the commission, its own office space (though insufficient equipment), and operates its own coordinating body. Tanzania's focal point also has no specialized budget allocated for its operations. Since the NCB is the Tanzanian Police Force, its budget line falls within the usual budget line of the police force.

States in Eastern Africa and the Horn of Africa have established essential capacities for effective implementation of the PoA. Of note, the national commissions that were created by ministerial order or presidential act are provided with a budget for their operation, and have their own office space.

## Latin America and the Caribbean

With the exception of Chile and Trinidad and Tobago, no NCB in Latin America and the Caribbean has a dedicated budget line. In Chile, the NCB has a dedicated budget line and a full-time staff that allows it to fulfil its obligations on SALW issues.<sup>80</sup> Similarly, Trinidad and Tobago's NCB has its own budget line for operations, a full-time staff and an office.

## Other states

In Thailand, the secretariat within the Office of National Security has a budget line allocated to a subcommittee on the "Prevention and Handling of Problems concerning Small Arms and Light Weapons". Fiji, on the other hand, has no budget line dedicated to the functioning of the NCB. However, they have a dedicated staff—three civilians that attend to all disarmament issues in addition to their other key functions.

## ASSISTANCE

The section that follows does not attempt to present a comprehensive analysis of assistance programmes towards the implementation of the PoA. A number of research project have done justice to this issue.<sup>81</sup> Using data received through the questionnaire, the section below seeks to review information in the light of supporting coordination mechanisms for the PoA.

## Sub-Saharan Africa

In Western Africa, in order to facilitate coordination efforts, ECOSAP and UNDP have supported a number of NCBs in the region with computers and vehicles. ECOSAP reports that this support to the NCBs has helped them collate relevant information on a timely and reliable basis. Further, it has enhanced the NCBs' community mobilization and outreach efforts.

For instance, the NCB of Burkina Faso works closely with UNDP and the United Nations Human Settlements Programme. Cape Verde also works closely with the national office of UNODC. The government of Togo has particularly benefited from training sessions organized by UNREC. In Senegal, UNICEF has worked on awareness raising and capacity-building programmes on SALW for youth and children in the south of the country.<sup>82</sup>

Sierra Leone is another example demonstrating the importance of support to the activities of the NCB, especially in a post-conflict situation:

For Sierra Leone, since the conclusion of the DDR disarmament process in 2002, partnership and collaboration between the government and UNDP on implementation of all SALW programmes have strengthened over the years. Through the assistance of UNDP, "Arms for Development" programmes have been designed to empower grassroots communities on disarmament and development. Under UNDP's support, cross-border initiatives have been developed between Sierra Leone and its neighbouring states of Guinea and Liberia to foster regional cooperation. The border strengthening program is coordinated by the NCB secretariat. The main implementing partners are the police, Ministry of Defence, Immigration department, Customs and Excise department, Ministry of Foreign Affairs, Ministry of Lands, Ministry of Country Planning and Environment and the national civil society network on small arms (SLANSA). In this endeavour, the civil society group has particularly championed public awareness campaigns. Sierra Leone's NCB has also conducted national consultative conferences on the implementation of the PoA in

all four regions of the country. The government's priority is to raise awareness and also adopt a participatory community approach to develop its national action plan.

NCBs in the ECOWAS region benefit from periodic training programmes organized by the Kofi Annan International Peacekeeping Training Centre in Accra. The Centre has partnered with the ECOWAS Small Arms Unit and ECOSAP to organize training programmes on SALW for NCBs and civil society organizations in West Africa. The training ranges from foundation courses on SALW to stockpile management, border management, marking and tracing instruments, the Arms Trade Treaty, institutional capacity management, etc.

In Mozambique, UNDP together with the government contribute to the SALW Control Project.

The Tanzanian NFP coordinates its activities with a number of regional and international institutions, such as the Institute for Security Studies, which provides assistance, namely capacity-building and equipment assistance. Other partners in this regard are UNREC and UNDP.

### **European states**

The European Union Strategy foresees support to regional instruments on SALW (e.g., the ECOWAS Convention, and the SADC and Nairobi Protocols). It will also give priority attention to other regions affected by the proliferation of SALW—Central and Eastern Europe, and Latin America and Caribbean. It will also support OSCE actions to combat the illicit trade in SALW and its best practices on SALW and ammunition.

The Netherlands focuses mostly on the exchange of information and experience beyond the regional level, with a priority for the Horn of Africa and the Great Lakes. It provides core funding to RECSA, supports several SALW-activities in Uganda and Burundi on a bilateral basis, and supports NGOs working in the field of SALW.

SALW activities abroad sponsored by Italy have included training carried out under the auspices of the European Union and the OSCE, as well as on a bilateral basis by civilian and military experts from Italy.

France has also financed and provided technical expertise for a range of SALW control projects in partner states requesting such assistance. France conducts and finances different research projects on SALW through the Delegation of Strategic Affairs of the Ministry of Defence. SALW control activities that France has supported in the past are the development of common control standards to prevent SALW trafficking by air in the framework of the Wassenaar Arrangement and their later introduction on the agenda of the OSCE.

The Swiss Army collaborates with the Multinational SALW and Ammunition Group with the intention of optimizing and coordinating international SALW work on the part of military experts. Additionally, Switzerland commits CHF 3 million annually to SALW programmes.

Initiatives that Germany has supported to enhance cooperation and the exchange of information and experience among the competent officials at the regional and global levels include support for efforts by the SADC, the East African Community and the League of Arab States, as well as by states

in Eastern Europe, to counter illicit SALW. Other initiatives focused on cooperation programmes on SALW control within ECOWAS and RECSA.

The United Kingdom also acts as a donor and has financed various SALW research and capacity-building projects abroad.

### **Other states**

In Australia, the Agency for International Development is currently finalizing its support for the current financial year for SALW activities that align with Australia's commitments to implementing the PoA in the region and anticipates an increased commitment compared to the previous year. Between 2009 and 2010, the Agency committed AUD 700,000 to NGOs as part of its Armed Violence Reduction programme.

Canada funds the International Small Arms Control Standards project.

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## REGIONAL LEVEL

### OVERVIEW

There are several intergovernmental organizations at the regional and subregional levels with a mandate to assist member states in their efforts to curb the illicit trade in SALW in all its aspects.<sup>83</sup> Their primary responsibility is to provide a framework that allows member states to seek cooperation and coordination of policies across the region, in order to promote effective implementation of the regional initiative. The regional bodies facilitate the exchange of information among member states and provide technical assistance and expertise to member states for their implementation of SALW commitments. Multilateral and regional initiatives on or associated with SALW control invariably support and complement the implementation of the PoA.

The overview below seeks to highlight pertinent issues in light of the responses received as part of this project. The following analysis of coordination mechanisms of regional and subregional organizations does not seek to be comprehensive in relation to the presented organizations and their work

The organizations presented here are ECCAS, ECOWAS, the League of Arab States, OSCE, RECSA, SADC, and the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC), and one regional project (ECOSAP).

Not further discussed here are organizations that include the Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technology. The Wassenaar Arrangement is active in the field of SALW control and have instruments in place that stipulate common standards on export controls for SALW. The Wassenaar Arrangement offers political space for respective member states to negotiate and adopt common policies and standards on SALW control. Policies and standards adopted primarily focus on preventing the undesirable effects and diversion of exported SALW. This covers both the export of military material as well as related services such as the brokering of conventional arms exports.<sup>84</sup>

### ORGANIZATION FOR SECURITY AND CO-OPERATION IN EUROPE<sup>85</sup>

The OSCE is an intergovernmental security organization dealing with politico-military, economic, environmental and human security. In 2000, member states adopted the OSCE Document on Small Arms and Light Weapons<sup>86</sup> to foster the implementation of SALW commitments, develop measures to improve SALW controls, and provide practical assistance to member states on SALW control aspects.

The regional coordination body within the OSCE is the Forum for Security Co-operation.

The OSCE offers a forum for political dialogue and the exchange of views among participating states on a continuous basis. In addition, workshops and seminars are organized in states facing

challenges in their implementation of SALW-related commitments to raise awareness, identify existing problems and offer technical/expert assistance. An announcing and reminding mechanism is in place to facilitate the timely submission of national reports under the Document.

The OSCE coordinates its activities with other multilateral, regional and subregional organizations that are active on SALW control as well as with NGOs and think-tanks. Interactions with relevant actors range from regular exchanges of information on planned and ongoing activities to participation in events organized by these actors as well as joint projects. The OSCE promotes outreach programmes in other regions, including those of the African Union and the League of Arab States, to raise awareness of its SALW experience and to share lessons learned. The first meeting with the UN Coordinating Action on Small Arms (CASA) took place in December 2010 and, being considered very useful, it was agreed to hold such meetings every six months. Joint projects with UN partner organizations include the development of a new mechanism for reporting under the PoA and the OSCE Document on SALW, and implementation projects on SALW control.

### **SOUTH EASTERN AND EASTERN EUROPE CLEARINGHOUSE FOR THE CONTROL OF SMALL ARMS AND LIGHT WEAPONS<sup>87</sup>**

SEESAC has a mandate from UNDP and the Regional Cooperation Council to strengthen national and regional capacities to control the proliferation of illicit SALW in South-Eastern and Eastern Europe. SEESAC provides operational support to stakeholders through activities that include capacity-building, coordination measures, information management and exchange activities, project support, resource mobilization, technical support and assistance, and training and research. The non-binding Stability Pact for South Eastern Europe Regional Implementation Plan serves as a regional instrument on SALW.<sup>88</sup>

Specifically, SEESAC operates under the guidance of the Regional Steering Group for SALW and the UN Resident Coordinator in Belgrade. The Regional Steering Group provides political and strategic guidance for SEESAC and is composed of individual representatives of governments of the region (namely the SALW National Focal Points appointed under the Plan), the Stability Pact and UNDP, and observers from multilateral organizations and from civil society.

SEESAC works with the coordination bodies at the national level and facilitates regional information-exchange processes and cooperation. It promotes the implementation of SALW commitments by liaising with stakeholders, providing technical input, supporting information-exchange, and coordinating efforts and fund-raising assistance for specific SALW projects. SEESAC also provides assistance to states in the subregion for data collection and the publication of arms export and import reports, and obtained the agreement to draft the first regional report on arms transfers. SEESAC regularly communicates with relevant international organizations, NGOs and bilateral donors. In particular, it works closely with UNDP and the UNDP Bureau for Crisis Prevention and Recovery in Geneva as well as the EU Office of the Special Coordinator of the Stability Pact in Brussels. SEESAC is participating in the CASA mechanism through UNDP.

## **SOUTHERN AFRICAN DEVELOPMENT COMMUNITY<sup>89</sup>**

The SADC coordinates on SALW and related issues through the Southern African Regional Police Chiefs Cooperation Organization (SARPCCO). This is supported by two regional instruments, the Protocol on the Control of Firearms, Ammunition and Other Related Materials, and the Protocol on Mutual Legal Assistance in Criminal Matters. The primary objective of SARPCCO is to facilitate cooperation among member states on cross-border crime associated with illicit firearms.

To ensure the implementation of the SADC protocols and the PoA, SARPCCO holds periodic meetings, workshops and trainings for relevant government agencies. SARPCCO has oversight of implementation measures by member states through their annual reports to the regional police chiefs meetings.

Besides coordination with the national focal points, SARPCCO also coordinates with stakeholders such as the SADC Parliamentary Forum, the SADC Council of NGOs and the Institute for Security Studies. Additionally SARPCCO cooperates with other regional economic communities in the region through information-sharing.

## **ECONOMIC COMMUNITY OF WEST AFRICAN STATES<sup>90</sup>**

ECOWAS adopted a legally binding instrument, the Convention on Small Arms and Light Weapons, their Ammunition and Other Related Materials, in June 2006. The entry into force of the Convention in 2009 supported ECOWAS' primary objective to execute peace and security initiatives in the subregion in an efficient and sustainable manner.

The Small Arms Unit within the ECOWAS Commission has the primary responsibility of coordinating, monitoring and mobilizing technical and financial resources for the implementation of the Convention.<sup>91</sup> To ensure that member states are able to fulfil their obligations under the Convention, the ECOWAS Small Arms Control Programme (ECOSAP) was launched, which is primarily a programme of capacity-building through national focal points on small arms (national commissions) and civil society.<sup>92</sup>

Coordination and exchanges of information are achieved in multiple ways: regular monitoring in the member states by Cluster Leads (in charge of specific countries); cluster review and planning meetings (member states of the same cluster come together to review their past activities, plan for the upcoming six months, as well as share information); and annual meetings where all the focal points for the 15 national coordinating bodies come together to share information and experiences and also to designate a representative for their respective clusters.

ECOWAS cooperates with other regional organizations through the African Union Steering Committee on Small Arms, with RECSA on information and experience exchange, and through reciprocal visits. ECCAS intends to use ECOSAP as a model for the implementation of the Kinshasa Convention on Small Arms Control.

ECOWAS also cooperates with INTERPOL, UNREC, the Small Arms Survey, the Institute for Security Studies (South Africa), the Africa Center for Strategic Studies at the US National Defense University,

and the Kofi Annan Centre on technical issues and research related to the implementation of SALW programmes.

ECOWAS actively shares information with the UNDP Bureau for Crisis Prevention and Recovery, and participates in meetings held by the Geneva Declaration on Armed Violence Secretariat, IANSA and UNIDIR.

In 2010, ECOWAS adopted a five-year action plan, among other initiatives. Through 2015, ECOWAS intends to assist states to better control arms transfers, initiate and maintain a dialogue with manufacturers and suppliers of SALW (including the Wassenaar Arrangement), create effective public awareness programmes, promote transparency in arms transfers through the development and management of databases, and develop meaningful partnerships with civil society (through the West African Action Network on Small Arms), INTERPOL, the United Nations and research institutes.

### **REGIONAL CENTRE ON SMALL ARMS AND LIGHT WEAPONS<sup>93</sup>**

RECSA operates in the Great Lakes Region and the Horn of Africa and coordinates the implementation among member states of the 2004 Nairobi Protocol on Small Arms and Light Weapons.<sup>94</sup> Specific activities include establishing national focal points on SALW, training them on the management and running of national focal points, developing regional policy guidelines on SALW management, developing and popularizing RECSA Best Practice Guidelines, undertaking research and advising on appropriate responses to SALW-related challenges, developing national action plans on SALW and initiating regional programmes such as arms marking, record-keeping, arms destruction, and legal harmonization. RECSA has in place a five-year action plan that promotes implementation of the Nairobi Protocol through strengthening of institutional frameworks and stockpile management capacities as well as the generation and dissemination of information.

RECSA is the regional secretariat for the Nairobi Protocol and works with the national focal points that are established in all member states. The national focal point coordinators act as the Secretariat Technical Advisory Committee and help in sharpening assistance projects with their knowledge of national situations. RECSA works under the policy guidance of a Council of Ministers from member states in charge of security or the interior.

RECSA enjoys open and good coordination with other stakeholders, including multilateral as well as regional and subregional organizations working on SALW control. An example is the International Conference on the Great Lakes Region, which delegated the implementation of a SALW project to RECSA. Under an EU-funded project, RECSA also promotes SALW work through the different regional economic communities and police chiefs organizations in Africa. Further, RECSA has a partners forum that meets twice a year and includes regional organizations as well as civil society organizations. An annual forum is organized and funded by RECSA for civil society organizations in the subregion with a view to facilitating information-sharing. There is no formal coordination mechanism between RECSA and CASA.

## ECONOMIC COMMUNITY OF CENTRAL AFRICAN STATES<sup>95</sup>

States within the ECCAS subregion adopted the Central African Convention for the Control of Small Arms and Light Weapons, their Ammunition and all Parts and Components that can be used for their Manufacture, Repair, and Assembly—also known as the Kinshasa Convention on Small Arms Control—in 2010.<sup>96</sup> The institutional structures within the ECCAS Secretariat to facilitate the implementation upon the entry into force of the Convention are currently being developed. Responsibilities will include facilitating a network of civil society organizations, mobilizing resources for the implementation of the Convention, providing financial and technical support, preparing an annual report, and ensuring follow-up and appraisal of the implementation of the Convention. The support for the establishment of national coordination bodies in all member states will be one of the first tasks for the ECCAS Secretariat once the Convention enters into force.

ECCAS cooperates with the African Union and European Union as well as civil society organizations in the subregion that work towards the implementation of the Convention. Formal contacts with other African stakeholders working on SALW control issues are currently being established. Within the UN system, ECCAS works with UNREC and the Standing Advisory Committee on Security Questions in Central Africa. It is not linked at present with CASA.

## THE LEAGUE OF ARAB STATES

In 2002, the League of Arab States adopted the Arab Model Law on Weapons, Ammunitions, Explosives and Hazardous Material. Thereafter, it designated a regional focal point for SALW in November 2004 within the Multilateral Relations Department with the objective of following up on issues related to combating the illicit trade in SALW in the Arab region through:

- organization of an annual meeting for Arab nation focal points;
- coordination of the national focal points;
- cooperation and exchange information with international organizations in the field of combating the illicit trade in SALW; and
- publication of materials and handbooks on SALW in Arabic.

There are two specialized councils under the umbrella of the League of Arab States that deal with SALW issues: The Council of Arab Ministers of Interior, and the Council of Arab Ministers of Justice.

The primary role of the League of Arab States is to coordinate the efforts and positions of its member states, disseminate information, and increase awareness of issues of interest to its member states and to the region through meetings, conferences and consultations. The Secretariat coordinates with the designated national focal points on SALW in the region as most member states do not have a national inter-agency coordinating body. The League is presently developing a webpage on SALW that would help disseminate information, increase awareness of SALW issues and facilitate information-sharing among member states.

At the regional and international levels, the League also coordinates with the African Union and the Great Lakes Region and the Horn of Africa on the Nairobi Protocol. It finds its relationship with the Great Lakes Region and the Horn of Africa beneficial because of its regional proximity to the Horn of Africa. More importantly, some of its member states are also signatories to the Nairobi Protocol. The League of Arab States also cooperates with the OSCE through the sharing of information and best practices, the translation of documents, jointly organizing meetings, and participation in events and meetings. The League supports CASA in the effort to develop international standards on SALW. To this effect, it encourages its member states to participate in the broad-based consultation on the development of International Small Arms Control Standards.

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## INTERNATIONAL LEVEL

### UNITED NATIONS COORDINATING ACTION ON SMALL ARMS

In the 1990s, the devastating impact of SALW used in deadly intra-state armed conflicts pushed the United Nations to initiate the first international coordinated approach to the problem.<sup>97</sup> The United Nations recognized that the cross-cutting nature of the SALW problem required a coherent and coordinated response between the humanitarian, developmental and security sectors of the UN system. To this end, Secretary-General Kofi Annan created the United Nations Coordinating Action on Small Arms (CASA) mechanism in 1998, to foster a coherent multidisciplinary approach within the UN system regarding the issue.<sup>98</sup> The relevance of such a coordination mechanism was affirmed by the Secretary-General Ban Ki-moon in his 2008 report to the Security Council on small arms, in which he stated that “reviving the Coordinating Action on Small Arms [is] one of [his] priorities in the field of disarmament”.<sup>99</sup> Currently, CASA consists of 21 UN departments, offices, agencies, programmes and funds.<sup>100</sup> The unique membership of the mechanism enables CASA to tackle the multifaceted and multidisciplinary aspects of SALW control.

The development of the PoA three years after the establishment of the CASA mechanism reaffirms the urgency for international efforts towards cooperation aimed at combating the illicit trade in SALW simultaneously from both a supply and demand perspective. The PoA reinforces the principal objective of the CASA mechanism. The PoA emphasizes cooperation with the UN system to ensure the effective implementation of the PoA.<sup>101</sup> Section III of the PoA encourages states to strengthen cooperation and partnerships at all levels among international and intergovernmental organizations and civil society, including non-governmental organizations and international financial institutions.

In support of the effective implementation of the PoA, the CASA coordinating secretariat, the UN Office for Disarmament Affairs, has taken on proactive and ambitious measures to ensure that the formulation of SALW policies is better coordinated between headquarters and field offices. CASA launched the Programme of Action—Implementation Support System (PoA-ISS). This web-based comprehensive information management tool is expected to be a catalyst for a coherent action on SALW, not just to coordinate policies and programmes among relevant UN agencies but also to improve coordination and strengthen operational capacity of Member States, NGOs and intergovernmental and regional organizations. CASA has taken on a renewed emphasis on optimizing the function of the CASA mechanism as a tool for policy coordination within the UN system regarding the issue of SALW. The objective is to develop the operational capacity of CASA in the implementation of the PoA, with a specific focus on assistance to Member States in capacity-building and facilitation of matching needs for international assistance with available resources, including effective management of information provided through the PoA-ISS.

The PoA-ISS provides a forum for all relevant stakeholders to share information and documentation on best practices, training modules, project activities by CASA members, country profiles on implementation of the PoA, international instruments on SALW and related issues, as well as an e-library.<sup>102</sup> Further, a Small Arms Advisory Network developed as part of the Support System has been created to connect a diverse group of stakeholders including national points of contacts on

SALW, UN personnel based in country and field offices, as well as staff of other international and regional organizations. The Small Arms Advisory Network is the first online community to instantly exchange information, advice, expertise and experiences directly related to the implementation of the PoA.<sup>103</sup>

In July 2008, CASA launched another ambitious initiative to develop the International Small Arms Control Standards (ISACS) along the lines of the standards the United Nations has already developed in the areas of mine action (the International Mine Action Standards) and disarmament, demobilization and reintegration (DDR) of ex-combatants (the Integrated DDR Standards). The purpose of ISACS is to enhance the effectiveness of policymaking and programming across the UN system by providing clear and comprehensive guidance to practitioners and policymakers on a wide range of SALW control issues.

In 2009, CASA also finalized a strategic framework that identified several objectives including contributing to the existing SALW instruments such as the Firearms Protocol, the PoA and the International Tracing Instrument, ensuring coordinated inputs to the Arms Trade Treaty, developing ISACS, coordinating approaches towards armed violence prevention and enhancing the work of the Security Council and the Peacebuilding Commission on SALW issues.

CASA members at the headquarters level meet bi-weekly to share information. CASA members also coordinate among themselves and with governments and civil society through expert reference group meetings and round-table discussions.

## RESPONDENTS TO THE SURVEY

Organisations that contributed to our study include the Counter Terrorism Committee Executive Directorate, the United Nations Development Programme, the United Nations Office on Drugs and Crime and the World Health Organization, as well as the International Small Arms Control Standards project.

The Counter Terrorism Committee Executive Directorate (CTED) was established under Security Council resolution 1535 (2004) to assist in the work of the Counter-Terrorism Committee and coordinate the monitoring process of the implementation of resolution 1373 (2001).

The United Nations Development Programme (UNDP) has over 130 national offices and regional offices in Africa, Arab states, Asia and the Pacific, Europe and the Commonwealth of Independent States, and Latin America and the Caribbean. With respect to SALW, UNDP works on armed violence programmes in 11 African countries, 5 Eastern European countries, 7 Latin American countries, Afghanistan and Papua New Guinea. UNDP works in partnership with 16 UN agencies to control and curtail the supply of arms in conflict zones through civilian arms collection, surplus destruction and stockpile management, as well as enhancements to transfer and export controls.<sup>104</sup> It also has developed guidelines for states “on the establishment and functioning of National SALW Commissions. These guidelines have been compiled from the experiences and good practices of states, regional organizations, civil society organizations and UNDP Small Arms Control programmes in a wide range of countries”.<sup>105</sup>

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The United Nations Office on Drugs and Crime (UNODC) has a network of 56 field and programme offices, covering more than 150 countries in the world. While it does not have a direct role in the implementation of the PoA, UNODC covers many related topics in crime prevention and the illicit trafficking of arms. UNODC:

assists Member States in the implementation of provisions that are also totally or partially covered by the PoA, such as for marking, record keeping, deactivation and disposal of firearms, security and preventive measures, information exchange and cooperation, transfer controls, brokers and brokering inter alia, as well as in broader areas such as legislative development, criminalization, border control, intelligence and information sharing, international cooperation, etc. contained in both the Convention and its third Protocol.

UNODC also works with UN agencies on an ad hoc basis on firearms-related issues with the aim “to build on existing efforts and to develop synergies among complementary mandates and areas of expertise, such as with UNODA, CTED, UNDP amongst others. These agencies maintain in general an open communication channel and a good cooperation, both at field and headquarters level”.

The World Health Organization (WHO) while focused on issues pertaining to health plays a role in the implementation of the PoA by providing global, regional and national estimates of deaths and disability due to armed violence, providing normative and technical guidance for and support to states in their efforts to improve vital registration statistics pertaining to armed violence, and promoting awareness on evidence-based approaches to the prevention of armed violence.<sup>106</sup> WHO leads the Violence Prevention Alliance in collaboration with UNODC, UNDP and UNICEF.<sup>107</sup>

The International Small Arms Control Standards (ISACS) project is overseen by a CASA working group that is co-chaired by UNDP and UNODA. ISACS’s Expert Reference Group operates with nearly 30 civil society organizations, 7 private sector entities and 12 national governments.<sup>108</sup> A number of field offices are also coordinating and cooperating with each other at the national and regional levels to prevent duplication of efforts.



**PART II**  
**FINDINGS AND RECOMMENDATIONS**



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## STATE OF PLAY AT THE NATIONAL LEVEL

### TYPES OF BODIES OR INSTITUTIONAL INFRASTRUCTURES RESPONSIBLE FOR COORDINATION

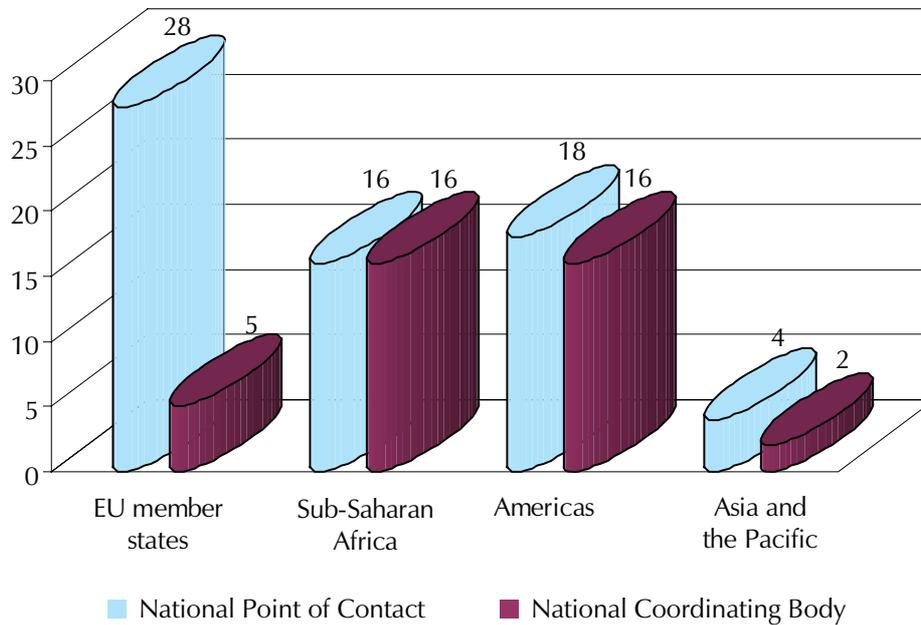
Central to effectively implementing the PoA (as stated in section II, paragraph 4) is the establishment and maintenance of a functioning national coordinating mechanism that is responsible for policy guidance, research and monitoring of efforts to curb the illicit trade in SALW in all its aspects. Through the PoA, states agreed to establish a national coordination body (NCB) or a national point of contact (NPC).

The PoA at the international level is supported by a number of subregional agreements. In Africa and in Latin America and the Caribbean, all instruments require member states to create consultative committees, NCBs or focal points to implement the commitments under the regional agreements and more specifically to promote cooperation among agencies at the national and regional levels. In Europe, the EU Joint Action does not require the establishment of a national coordination agency. Nevertheless, the commitment of European Union member states to the PoA is demonstrated in their formal and informal coordinating mechanism at both the national and regional levels.<sup>109</sup>

Consequently, all 158 UN Member States that have reported on their PoA implementation efforts since 2002<sup>110</sup> have some sort of NCB responsible for policy development, coordination and monitoring of efforts to address all SALW-related issues at the national and international levels. These national agencies or bodies also serve as the institution that acts as the point of contact on all SALW-related issues for national and international agencies (following the PoA, section II, paragraph 5).

With respect to that, every state that responded to the questionnaire reported to have established an NPC or NCB, or both. The chart below shows that all states at least have an NPC that acts as a liaison between states on matters relating to the implementation of the PoA. However only five of the 28 European states that responded to the questionnaire have some form of formally instituted national commission. On the contrary, in sub-Saharan Africa, all states have both an NPC and an NCB. Of the 18 states that reported from the Americas (Latin America and the Caribbean, plus Canada), only Venezuela and Canada do not have a formal NCB. Similarly, in Asia and the Pacific, Fiji and Australia do not have a formal NCB.

It is worth noting that the sampling presented in the chart does not represent the global picture, in that only the respondents to the questionnaire are represented.

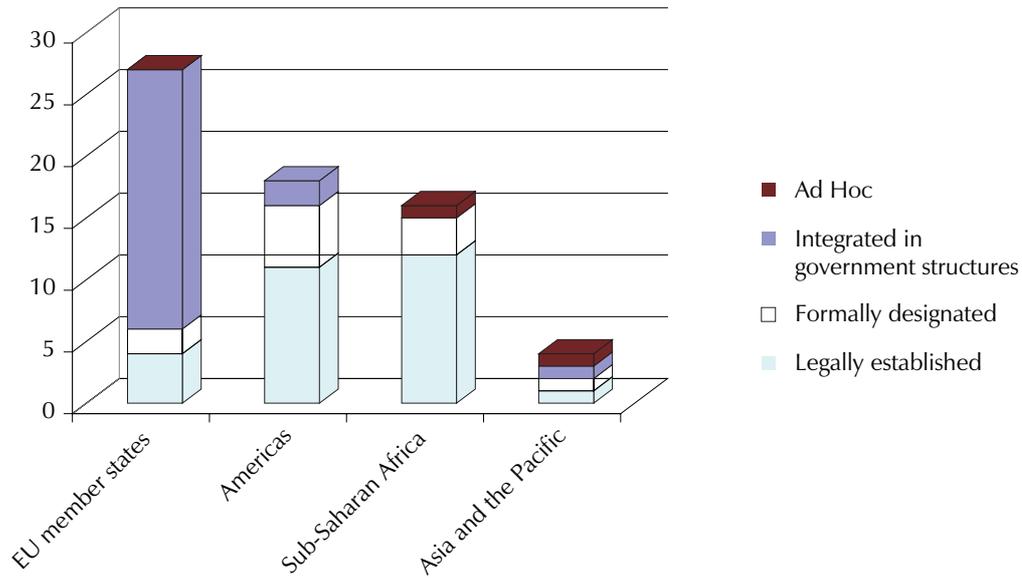
**Chart 2.** NPCs and NCBs among survey respondents

## TYPOLOGY

An observation drawn from the 66 state responses to the questionnaire is that there are four types of NCBs, that take the form of either informal arrangements or mandated structures:

- **Ad hoc NCB**—Where no NCB has been formally established a government agency may be nominated to undertake (on an ad hoc basis) the functions of the NCB. They are often guided either by a government directive, an ad hoc working plan or the mandate of the agency designated for the purpose.
- **Informal NCB integrated in government structures**—A government agency (or agencies) is nominated to take on the responsibilities of an NCB under the PoA as part of their normal assignments. They usually do not have an official mandate guiding their activities. Often, the internal regulations or procedures of the agency serve as a guide to implementation of the PoA.
- **Formally designated NCB**—NCBs or focal points formally instituted by a government directive. They often have an official or specific mandate or code of conduct dedicated to the implementation of the PoA or other international and regional agreements. In some regions, particularly in sub-Saharan Africa and Latin America, such mandates are further supported by a national plan of action. The mandates or work plans usually identify and define the roles and responsibilities of the focal point as well as those of the coordinating body's members.
- **Legally established NCB**—NCBs that have been formally instituted through either a presidential/ministerial decree or an act of Parliament, with a specific mandate or code of conduct. Often the work of the NCB is supported by a national plan of action.

The chart below shows the geographic distribution of the four types of NCBs according of the 66 state responses received.

**Chart 3.** Distribution of NCB types

Conclusions drawn from the data on the types of the institutional frameworks for coordinating SALW control indicate that the nature of the NCBs and NPCs differs between states depending on their governance structure at the national level, and on the nature of their SALW problem at the national and regional levels.

Developing countries, particularly in post-conflict regions, have formal coordinating bodies or agencies responsible for coordinating SALW programmes. Most states in sub-Saharan Africa, Latin America and the Caribbean, and Southern Asia have formalized coordinating agencies responsible for implementing the PoA. Some of these states, particularly in Western Africa, Southern Africa and Latin America, have taken further steps to ensure the sustainability by legally establishing their NCBs. More importantly, the legal status of the NCB ensures that the national government is legally bound to commit to and support the activities and policies of the national commission. This guarantees sustainability and ownership of projects by the national government.

On the other hand, states such as Australia, Canada, Japan, Venezuela and most European Union member states do not have formal coordinating bodies for SALW issues at the national level. Relevant government institutions have taken on responsibilities under the PoA as part of their usual assignments.

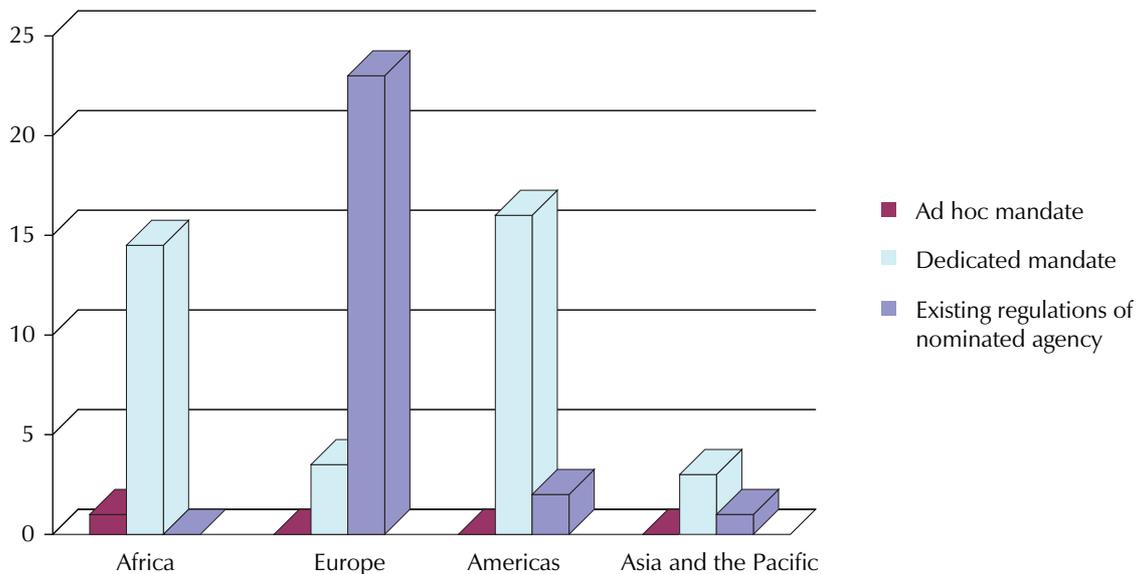
## MANDATE FOR EFFECTIVE COORDINATION OF THE POA

It is valuable for a coordinating body to have a mandate with clear objectives that include evaluation and monitoring of policies, promotion of new programmes, research, public awareness activities, institutional strengthening, international cooperation and assistance, among others. The general conclusion drawn from the analysis is that more than half (38 states) of the states that participated in this study have established some sort of mandate to guide their activities on the implementation of the PoA and other related issues.

Chart 4 illustrates that:

- Of the 16 states from sub-Saharan Africa, 15 have some type of mandate, Madagascar being the only state that reported to operate on ad hoc basis.
- Of the 28 states from Europe, 23 have their NCBs or national focal points guided by internal regulations and procedures of the nominated agency. Five states, Bosnia-Herzegovina, Finland, Moldova, Romania and Slovakia, have a dedicated mandate or guiding principles.
- Of the 18 states from the Americas (Latin America and the Caribbean, including Canada), 16 have some sort of mandate. In Canada and Venezuela, the NCB or national focal point is guided by internal regulations and procedures.
- Of the four states from Asia and the Pacific, three have some sort of mandate. Only Australia specifically indicates that a number of agencies are associated with the implementation of the PoA; each organization's responsibility is guided by its internal regulations and procedures.

**Chart 4.** Distribution of NCBs according to mandate



In conclusion, most of the NCBs with dedicated mandates for implementing the PoA are located in Latin America and the Caribbean, and sub-Saharan Africa.

The scope and parameters of the NCB vary from state to state but, generally, most mandates focus on the following:<sup>111</sup>

- to coordinate and integrate all national efforts on SALW control;
  - to contribute to the design and implementation of national policy against the proliferation of SALW;
  - to facilitate the exchange information on SALW control;
  - to initiate and lead educational programming and awareness-raising activities;
  - to provide policy advice to relevant government agencies on international processes;
  - to mobilize resources and allocate appropriate funds required for implementation activities;
- and

- to coordinate and interact with civil society and international agencies on the implementation of the PoA.

Depending on the nature of the SALW problem in a country, and available resources and structure of government, there can be either a limited or an expansive mandate. There are benefits and drawbacks of each. States with a stable governance structure may sustain a limited mandate, code of conduct or work plan because the government agencies participating in the coordination effort can supplement it with their own directives. Alternatively, states in transitional or under-resourced governance systems may need an expansive mandate to ensure sustainability. Yet, while an expansive mandate suggests comprehensiveness and all-inclusiveness, it may also be overwhelming and expensive. Based on the responses to the questionnaire, states (especially those in sub-Saharan Africa) that have expansive mandates or guidelines instituted by law or a government directive reported “exhaustion”. Some states reported that the PoA was too broad to implement with an NCB that had limited resources.

It is worth noting that the mandate of some NCBs goes beyond commitments of the PoA. Most NCBs have the additional responsibility to monitor and implement other international and regional agreements on SAWL-related issues. Typically, in all regions where subregional instruments on such issues were established before the PoA, the NCBs or focal points have the responsibility to act as the national implementation agency for all the regional and international instruments on arms control. In recent years, the mandate of most NCBs in sub-Saharan Africa has been expanded to include monitoring the implementation of all actions under arms control, including the Anti-Personnel Mine Ban Convention, the Convention on Cluster Munitions, the Convention on Chemical Weapons and the Biological Weapons Convention, among others.

However, having a mandate is not sufficient to guarantee effective coordination. The make-up of a mandate provides the code of conduct for the NCB and determines the supervisory power that an NCB or focal point may have to ensure compliance with relevant regional and multilateral agreements. Thus, there is a correlation between the scope and parameters of a mandate, the NCB membership, and its effectiveness. To this end, some states have gone further to expand their membership and develop national strategic and action plans to support the effective implementation of their respective mandate.

## NCB MEMBERSHIP

In addition to the mandate, it is important for the NCB or focal point to recognize the significance of the selection or identification of relevant stakeholders for effective participation.

It was noted that, depending on the nature, complexity, diversity and cross-cutting nature of the SALW problem in a country or region, and specific needs or priorities, and structure of government, the membership of an NCB may vary. Most states are strengthening their coordination efforts through the strategic selection of the NCB membership. In most post-conflict regions, members are usually representatives of armed forces, police and intelligence services. Some Western African states go to the extent of having representatives of the President or Prime Minister’s office.

The membership or stakeholders of a coordination mechanism may be an indication of how a state perceives its SALW problem. The membership of an NCB also reveals the challenges and

priorities of a state. Indeed, in every state the Ministry of Foreign Affairs is part of the coordination mechanism. It is necessary to coordinate with the Ministry of Foreign Affairs because NCBs have an obligation to cooperate with the international community in their effort to curb the illicit trade in SALW. In addition, most coordination mechanisms are associated with the Ministry of Interior. This reinforces states' commitment to control internal illicit trafficking and to support internal stability.

In Western states, often the focal points liaise, coordinate, collaborate or cooperate with relevant government agencies. Their interest in export/import controls and international transfers is reflected in the membership or stakeholders of their coordination mechanism. For most Western states, the Ministry of Foreign Affairs, Ministry of Defence, Ministry of Foreign Trade, and Customs and Border Service are central to every coordination mechanism.

Latin American states also focus on national defence and export controls, but they prioritize internal and regional stability. The membership of their NCBs includes Ministries of Justice, Security, Internal and Public Affairs, Education, Health, and Social Development.

Sub-Saharan African states prioritize internal security and criminology. Often the police and agencies for criminal investigations are central to the implementation of PoA activities. Some of the African states have the most extensive, diverse and interesting membership in their coordination agencies. Their membership includes government agencies such as the National Drug Law Enforcement Agency, the Ministry of Territorial Administration, the Revenue Authority, the Ministry of Education, the Ministry of Water and Forests, the Ministry of Natural Resources, the Ministry of Wildlife, the Ministry of Sports and the Ministry of Women Affairs. Such membership underlines how the SALW problem has permeated every aspect of the community in this region.

Sub-Saharan Africa NCBs have an extensive membership. Almost every government agency with any association with the illicit manufacture, control, trafficking, circulation, brokering and trade, tracing, financing, collection and destruction of SALW is associated with the NCB. It is clear from this analysis that through their association with the NCBs, relevant government agencies are being informed of new regional and international policy developments. Additionally, relevant government agencies are building their knowledge and operational capacity on new standards in community policing, export/imports control, marking, tracing and record-keeping standards, stockpile management, etc.

Another interesting element to consider in regards to membership is the impact of the NCBs on other structures of government, particularly the national security system, and their supervisory power to ensure compliance with the PoA and other SALW-related instruments. Though limited at the moment, the supervisory power of NCBs is gradually being established. The challenge for NCBs is reducing bureaucracy and ensuring a continuous flow of quality information and promotion of transparent decision-making, and balancing competing priorities and mandates of its membership.

## **COOPERATION WITH CIVIL SOCIETY AND PARLIAMENTS**

Besides the fact that the members of most NCBs are government agencies or ministries, NCBs also engage legislative bodies and civil society, on either a formal or an ad hoc basis. Since parliaments are responsible for policy development and legislating government policies, most NCBs, particularly in sub-Saharan Africa, are obliged to engage parliament. For instance, in a number of English-

speaking Western African states, like Ghana, parliament has been responsible for establishing the NCB and its mandate. While some parliaments are engaged formally as part of the coordinating body, others are consulted on ad hoc basis. Most NCBs engage parliamentary select committees on peace, security, defence and public safety, and others report periodically to parliament.

Responses to the questionnaire indicate that membership and active participation of civil society in most of the NCBs is often ad hoc or non-existent. However, civil society participation and engagement in some regions, such as sub-Saharan Africa, has improved over the years. In some cases, civil society groups are fairly represented on the NCB and are often used for public awareness activities. Often civil society groups have been at the forefront of advocacy and public awareness programmes. In other cases their participation is limited to seminars and conferences organized by the NCBs. This has been the case because some states identify SALW issues—particularly relating to import/export control of national defence and law enforcement weapons, as well as stockpile management—as matters of national intelligence and national security.

## COORDINATION AND OPERATING PROCEDURES

Considering the fact that the SALW problem is wide-ranging, and the membership of NCBs is diverse, it is imperative to have a well-structured coordination mechanism and operational procedure. It is important to bring clarity on each stakeholder's participation—how each stakeholder can make inputs and benefit from the coordination mechanism. In addition, the sharing of useful, reliable information in a timely manner is one of the imperatives of effective coordination.<sup>112</sup> Another important element is that of democratic decision-making processes through discussion, debate, dialogue, consultation, partnership and governance.<sup>113</sup>

How coordination is fostered and encouraged varies from state to state. Often states with strong and disciplined governance systems are able to foster coordination efforts with comparative ease whether they have a formal establishment or not. States in post-conflict situations and transitional governance systems have to expend more effort, and even create procedures and mechanisms to facilitate internal coordination. Depending on a state's priorities, specific needs and the structure of government, coordination can take the form of informal arrangements or be mandated and established by laws or government directives.

From the responses received from states on internal coordination, not all NCBs have the same operative and functional capabilities. Different formats of coordinating mechanisms exist depending for the different types or structures of the NCB. In most cases, information-sharing among different national entities of the NCB is conducted through periodic meetings, including formal and ad hoc meetings. Some NCBs have weekly, monthly or quarterly meetings, and others meet twice a year or on an ad hoc basis. Other NCBs coordinate and share information among themselves and with civil society and international organizations through workshops, seminars and conferences. Such workshops and seminars are used by NCBs for awareness-raising and dissemination of information among NCB members and the general public. Some states have identified cost-effective and efficient ways of communication through periodic written reports, and e-forums and other methods of electronic communication.

Transborder customs cooperation and networks are also an efficient means for information-sharing among law enforcement, border and customs control agencies.

With the exception of the OSCE coordination and information-sharing mechanism reported by European Union member states, it was not clear how NCBs encouraged their members to participate in relevant international and regional conferences to build their knowledge, expertise and capacity in their respective fields. In addition, in the responses to the questionnaire, most states did not elaborate on how they coordinated reporting among their membership. It was also not clear what kind of joint programmes or capacity-building activities are undertaken by these coordinating bodies. Rather, states mostly reported on information-sharing.

## OVERSIGHT

Section II, paragraph 4, of the PoA affords the NCBs monitoring authority. An NCB's supervisory power or decision-making power can be dependent on the national governance structure or national security system in a state, and the mandate of the nominated agency to coordinate PoA efforts. Responses to the questionnaire indicate that NCBs in most states have the capacity to make recommendations but not supervisory powers to ensure compliance. For instance, if the focal point is a desk officer within the Ministry of Foreign Affairs or Ministry of Interior, it hardly has the supervisory power without high-level political support to ensure compliance from the Ministry of Defence on issues of national stockpile management or defence exports/imports. However, some NCBs in sub-Saharan Africa have political support from the office of the President or Prime Minister. This association with the highest office of the state grants them some supervisory power. However, even NCBs situated within the President's or Prime Minister's office are often still challenged with a lack of logistical and human resources to ensure that diverse government agencies comply with the extensive provisions of the PoA.<sup>114</sup>

In Western states that have no formal coordinating bodies, there are often focal points that have the capacity to coordinate and liaise with other government agencies and provide policy guidance, and share information on programmes and policies related to the implementation of the PoA. However, they mostly lack supervisory authority to ensure that these agencies comply with the states' responsibilities under relevant multilateral instruments including the PoA, the Firearms Protocol and the International Tracing Instrument.

This limitation that NCBs presently face needs to be addressed and rectified, since the SALW problem is a multi-faceted problem linked with a wide range of humanitarian and socio-economic consequences that pose a serious threat to peace, reconciliation, safety, security, stability and sustainable development at the national, regional and international levels. Besides, NCBs must address not just states' responsibilities under the PoA, but also responsibilities under other regional and relevant multilateral instruments, including the Firearms Protocol and the International Tracing Instrument.

## GENDER-SENSITIVE POLICY

Though the PoA does not specifically make any reference to gender mainstreaming, some states recognize the significance of mainstreaming gender-sensitive policies into PoA programming. Others also recognize the need to have women as part of the policy development and coordination mechanisms. Some states reported to have women on their coordination body, or to be considering the inclusion of women. Although some states reported to have women represented on their NCBs,

and sometimes with leading roles in their coordination bodies, it still does not guarantee that gender-sensitive considerations are integrated into policy development and programme implementation.

However, it is promising that, for the second time, a woman, Ambassador U. Joy Ogwu from the Permanent Mission of Nigeria to the United Nations, is the Chair designated for the Review Conference on the PoA. Previously, Ambassador Kuniko Inoguchi chaired the United Nations First Biennial Meeting of States to Consider the Implementation of the Programme of Action on SALW.

It is worthwhile to engage with government agencies for women's affairs and also to include women in the coordination of the PoA. This type of engagement broadens the debate and the possibility that gender-sensitive considerations are integrated into policy development and programming. Participation of women at decision-making levels in public awareness programmes, weapons collection programmes, conflict resolution and peace processes has proved to be valuable in post-conflict situations. In addition, in response to United Nations resolution 1325 and other Security Council resolutions related to women and armed violence, it is imperative for states (and for post-conflict states in particular) to consider and promote gender-sensitive policies in implementing the PoA. This also is a further step towards the inclusiveness and gender sensitivity, promoted by human security principles and in security sector reform processes.

## ACTIVITIES

Most NCBs are more effective in their coordination efforts on non-controversial issues related to information-sharing, public awareness programmes, policy guidance on weapons collection programmes, and advice on strengthening national legislation. This study focused on three types of activities of NCBs. These are action-oriented research, national action plans, and reporting.

### ACTION-ORIENTED RESEARCH

Most donor governments are sponsoring research programmes aimed at facilitating greater awareness and better understanding of the nature and scope of the problems associated with the illicit trade in SALW. Indeed, since the adoption of the PoA in 2001, international organizations, research centres, the United Nations system and civil society have championed action-oriented research. The findings of such research have been used as information-sharing, transparency and monitoring tools.

Most states in sub-Saharan African have developed national SALW surveys from which the findings have been used to develop national action plans. In the methodology they developed, ECOWAS/ECOSAP advocated a participative approach to data collection, analysis and validation of field surveys. Researchers, civil society representatives and lawyers are associated with surveys and research conducted or sponsored by NCBs.

Similarly, Latin American and Caribbean states have used research and surveys to develop policy and strategic plans for inter-agency coordination, at both the national and regional levels.

Most Western states, including European Union member states, Canada and Australia, among others, have funded a number of research projects (in other countries and regions) aimed at facilitating greater awareness and better understanding of the nature and scope of problems associated with the illicit trade of SALW.

## NATIONAL ACTION PLANS

Though the PoA makes no reference to national action plans, it is imperative to look into this critical subject because it reflects on the proposed investment of diverse government agencies and civil society in the coordination and implementation of the PoA, and as well on the strategic work plan and expected outcomes.

In the responses to the questionnaire, it is seen that most developed states do not have national action plans on SALW. Several European states indicated that their national and subregional SALW commitments are more stringent than requirements under the PoA. They therefore argue that the national implementation of the PoA is ensured through the implementation of the national and subregional commitments. For that reason, work relating to any strategic or operational plan on the implementation of the PoA is undertaken as part of normal activities by all relevant agencies.

Conversely, developing states and states in conflict- or crime-prone regions recognize national strategic or action plans as the backbone of effective implementation of the PoA. Most of the states in Latin America and sub-Saharan Africa have either adopted or are in the process of adopting a national action plan with the support of civil society and subregional bodies. Of the 16 African states that participated in the study, 14 have developed a national action plan, but lack the technical and financial support needed to effectively implement it. Subregional instruments on arms control in Latin America and the Caribbean support the development of national action plans. However, only four of the 17 states from that region that responded to the questionnaire have developed a national action plan. Subregional bodies such as CARICOM and the Andean Community have developed regional action plans on SALW to support implementation by their member states.

The action plans developed by states call for strategic action and programming on a range of issues, such as the review and amendment of policy and legislation on SALW, public awareness raising, weapons collection and destruction, research, etc.

Implementation of action plans requires effective coordination among the different government departments. Such plans require adequate resources, including databases, computers, research teams, policy advisors, legal experts, as well as the political and financial support to coordinate, supervise, disseminate information, and implement the action plan.

## REPORTING

States indicated that national reports on implementation of the PoA are collated and drafted by the NCB secretariat and distributed among the members of the NCB, especially the Ministries of Foreign Affairs, Defence and Homeland Security, for review. The final reports are submitted through the Ministry of Foreign Affairs to the United Nations and relevant regional agencies. In states where there are no formally instituted NCBs, the national points of contact work with all relevant government departments regarding the information required for reporting on the implementation of the PoA. In some instances, civil society organizations are given the opportunity to comment on national reports and provide information on their activities in support of PoA implementation.

Besides reports submitted to the United Nations, some NCBs submit reports to relevant bodies at the national and regional levels. Most regional organizations (with the exception of the OSCE, the European Union and the Wassenaar Arrangement) do not have a formal system of reporting.

However, it seems that despite issues of sovereignty and legislative challenges, information-sharing in particular has thrived at the regional level.

It is apparent that diverse actors at different levels are working together to write and submit reports on the implementation of SALW programmes. However, for reporting to be comprehensive and inclusive, diverse stakeholders need a coordinated effort with a clear definition of tasks and roles to make their reporting substantive.

## **RESOURCES AND CAPACITY-BUILDING**

The issue of resources is key to effective and efficient coordination. Often for states that have instituted NCBs as an integral component of existing government structures, budget lines for operations fall within the official budget line of all relevant government agencies associated with the implementation of the PoA. Conversely, some developing states and states with transitional government systems have limited resources for their formally established NCBs. Sometimes, operational budgets for NCBs come from diverse sources including NGOs (Oxfam GB, Saferworld, SaferAfrica, IANSA, the Centre for International Studies and Cooperation, Project Ploughshares, etc.), the United Nations (UNDP, UNODC, UNICEF, United Nations Human Settlements Programme, UNREC), subventions from the government and international donors (Australia, Belgium, Canada, Finland, Japan, Norway, Sweden, the United Kingdom, to mention a few). This is a challenge for the operations of most NCBs and NFPs in terms of programme selection, planning and implementation. The mechanism for matching needs and resources<sup>115</sup> integrated in the PoA–ISS is a good example as an information-exchange platform. This is an effective means of proactively connecting states and matching needs with resources.

In terms of capacity-building, the challenge and priority for most developing states is training in and logistical support for stockpile management, border management, and marking and tracing. Considering the fact that institutional capacity-building is a challenge for most states, it is little reported on.

## STATE OF PLAY AT THE REGIONAL AND INTERNATIONAL LEVELS

All the regional organizations presented in this study have the mandate to coordinate SALW actions within their areas of operation and facilitate the implementation of multilateral instruments on SALW control.

Often regional instruments dealing with SALW preceded the PoA, and are often the reference document for NCBs because they are more adapted to the specificities and priorities of member states. In addition, regional mechanisms provide a platform for effective information-sharing and confidence-building measures.

Regional organizations facilitate implementation through assistance to NCBs and stakeholders while simultaneously offering a forum for the exchange of information at the regional and subregional levels. Assistance to stakeholders and facilitation of information-exchange in support of the implementation of SALW controls are among the strengths of regional organizations. The organizations coordinate their activities with other relevant stakeholders.

## THE UNITED NATIONS COORDINATING ACTION ON SMALL ARMS

The CASA mechanism was established prior to the conception of the PoA, with the task of coordinating the SALW efforts of the UN system. The United Nations had recognized the need to improve its ability to work as a coherent and coordinated body in delivering effective policy, programming and advice to Member States on curbing the uncontrolled proliferation and misuse of SALW.

CASA has brought together 21 UN bodies with quite different mandates, yet all involved in policy development or programming related to SALW. The membership of CASA underlines the complexity and cross-cutting nature of SALW problems, which connects humanitarian, developmental and security agendas.

It is worth noting the importance of the initiative launched in 2008 with the ISACS project which brings together experts from research centres, governments (diplomats and security forces) and civil society organizations from all continents. This is an example of a global coordination process that deserves to be emulated to facilitate better implementation of the PoA.

It appears that, among the 21 members, there have been limited instances of joint projects. In order to improve synergy, CASA members are increasingly exploring avenues to jointly develop broader approaches to armed violence prevention programmes, SALW demand reduction and interventions to combat organized crime.

Though it is important to enhance the interaction between policymaking at headquarters and field implementation through country offices and peacekeeping missions, in practice this has been a challenge for CASA members.

The mechanism, however, has not been able to function in its full capacity due to lack of resources of the focal point of the coordination body, the UN Office for Disarmament Affairs. Moreover, coordination among the 21 members is not an easy task. Joint planning and integrated projects at the field or country level are very limited.

## OBSTACLES TO COOPERATION

At the international level, several gaps and weaknesses that make PoA implementation difficult were identified. They include the fact that illegal activity continues to occur despite the existence of the PoA (as indicated by the ISACS response); that PoA implementation is not detailed or standardized enough with no indicators to measure success in implementation; that no multilateral agreement exists addressing illicit brokering; that PoA implementation is purely based on the member states' will and is not legally binding; that there is a great lack of input from the demand and violence prevention sides; and, that there is a lack of focus on violence prevention. The biggest challenge for the CASA mechanism is in inciting its members to be proactive in developing joint projects to avoid duplication and ensure effectiveness, and also in promoting both top-down and bottom-up information-sharing on best practices and experiences.

Although challenges are often common across the board, in some instances they vary from region to region depending on available resources, specific needs, priorities and government structure.

For instance, ECOWAS reports that the levels of competence, capacity and political will differ across the subregion. While some national commissions are well-equipped with human, financial and technical resources for operations, others do not have the resources even to implement their national action plans. Sometimes the political will exists, but it is barely translated into action, because of limited financial and technical resources. In Central Africa, the relevant institutional structures at the national and subregional levels remain to be fully developed. Not all national focal points in the Great Lakes Region and the Horn of Africa have a budget allocated by their national government, and others are inadequately staffed, with sometimes only one person on regular duty. This hampers national implementation capacities and thus also subregional coordination efforts. Slow national responses can also occur due to insufficient information-sharing capacities.

According to an ECOSAP report in 2010,<sup>116</sup> decision-making on coordination efforts in the anglophone African countries are fraught with bureaucratic, administrative and legal impediments, while in the francophone African countries decision-making processes on coordination efforts are easier and delivered on time. Since institutional oversight of most of the NCBs in francophone African countries are under the office of the President or Vice-President, government approval or endorsement of coordination efforts can be obtained with relative ease. On the other hand, government approval or endorsement on coordination efforts in the anglophone African countries has to be reviewed, debated and approved by the Parliaments.

The League of Arab States reports that one of the major challenges as a regional coordinating body is lack of information-sharing at all levels—national, regional and international. In addition, the League of Arab States and the SADC do not have supervisory authority to ensure compliance by their member states. But, despite their limited capacity, they have been able to maintain some form of information-sharing that has supported the implementation of the PoA.

One challenge identified in the OSCE region is ambiguity in sanctions on SALW exports and the continuance of exports by individual member states for commercial interests despite such sanctions.

There is also no system for prior notification of transfers which could enhance early warning and action capacities. Similarly for the SADC, differences in legislation across the region, as well as obsolete laws, tend to be a major challenge to SARPCCO's effort in coordinating cross-border activities.

One commonly identified challenge to the implementation of SALW commitments is a lack of funding for control initiatives at the regional and national levels. One respondent noted that such funding has become even more difficult to obtain in recent years due to shifting donor priorities and budgetary constraints. Other reasons for failing to meet SALW commitments at the national level may include lack of political will, lack of awareness and expertise, and reporting fatigue due to multiple reporting commitments. One respondent suggested that constraints to greater implementation of SALW commitments at the regional level include a loss of momentum on the SALW issue, with even traditionally supportive states being difficult to mobilize, because states do not want to prejudice negotiations of the Arms Trade Treaty.

Financial, technical and logistical assistance needed for the implementation of the PoA remains a challenge for most states. NCBs have limited mandates to fundraise for operational activities. There is a tendency for some NCBs to expand their mandate and assume responsibility to fundraise for all activities related to the implementation of the PoA.

Other obstacles to cooperation identified included:

- **Lack of human resources:** this has implications in the coordination efforts and operational capacities of the NCBs.
- **State organization:** in Australia, the federal government does not assess state legislation or comment publicly about it, given the fact that it reflects the will of sovereign parliaments.
- **Budget line:** several commissions, while having a dedicated budget line, face financial constraints. However, in Latin America and the Caribbean, with the exception of Chile and Trinidad and Tobago, no NCB has a dedicated budget line.
- **PoA too wide-ranging to implement:** some NCBs are under-resourced and report that they find the PoA to be too comprehensive and wide-ranging to implement.
- **SALW work overshadowed by institutional mandate:** NCBs instituted as an integral component of existing government structures have limited time that they can devote to coordinating SALW activities. Often such focal points follow all arms control issues, and this may limit their attention to SALW issues.
- **Issues considered under national security:** stockpile management, destruction of surplus weapons, defence/law enforcement weapons transfers, and border management are also difficult areas to cooperate on because they are associated with national security. In some responses, it was noted that there are legal restrictions on sharing sensitive information on arms transfers and government stockpiles. For instance, NCBs can provide policy guidance on effective stockpile management, but have no supervisory authority to ensure that the government complies with international standards.
- **Political instability and criminal activities:** drug trafficking, money laundering, terrorism and piracy are putting a heavy burden on states and leading to difficulties in implementing the PoA.

- **Maintaining permanent membership/preventing loss of institutional memory:** ad hoc coordinating bodies have the challenge of retaining a permanent membership, and also face the likelihood of loss of institutional memory. In many states, the turnover of personnel is high and periodic rotations of government representatives affects sustainability, operational capacity and coordination.
- **Lack of continuity of meetings:** this affects reporting outputs, impedes the implementation of any action plan, and causes disorganization or results in no coordination at all. A case in point is the Argentinean Coordination Committee on Arms Control Policies, formalized by Law 26.216 in 2006. The law and the articles creating the committee itself were a civil society proposal but the committee never formalized the functioning of the NCB with respect to its membership, meetings, strategic action plans and activities. Consequently, the NCB only has few meetings per year. This hinders independent institutional efforts, which if coordinated would contribute to the effective implementation of the PoA.
- **Participation fatigue:** most of the government agencies are under-resourced. This places an additional burden on the coordinator of the NCB or focal point in collating relevant information, and sharing information on best practices, new international policy development and experiences.
- **Lack of financial and logistical resources:** a lack of financial and logistical resources to initiate or implement the national strategic plans or operationalize the NCB has been indicated by states from the South. Latin American and African states specifically emphasized the lack of financial resources for marking and tracing policies.
- **No supervisory authority over political and technical issues:** most NCBs admitted that they have no supervisory authority over the relevant government agencies to ensure compliance with international standards on stockpile management, marking, record-keeping and tracing. Some states indicated that they did not have the required expertise on such technical issues to provide policy guidance.
- **Government agencies preserving autonomy:** in some instances, government agencies seek to preserve their autonomy and independence. Some government agencies are autonomous in their decision-making on SALW-related issues. Consequently it becomes difficult to streamline coordinated responses on the implementation of the PoA. The PoA specifically points out that NCBs are primarily responsible for policy guidance, research and monitoring of implementation efforts. This provision does not mandate NCBs to lead in field operations such as stockpile management, marking and tracing, border management programmes, etc. Such attempts to directly implement field operations stand to conflict with the mandate of field agencies.

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## PRACTICES PROMOTING EFFECTIVE COORDINATION

Within the framework of this study, we have tried to extract examples of practices promoting effective coordination—democratic leadership, clearly defined responsibilities, information flow, resource optimization, planning and implementation, etc. (see page 2). These examples taken from all regions of the world give an idea of what efforts states, regional organizations, civil society and the United Nations have taken to the end of effectively implementing the PoA.

### TYPES OF INSTITUTIONAL STRUCTURES

Formally designated NCBs/NFPs (instituted by a government directive) and legally established NCBs/NFPs (instituted through either a Presidential/Ministerial decree or an Act of Parliament, with a specific mandate or code of conduct) appear to be to the most appropriate institutional body that will ensure sustainability of SALW programming and policy development. However, since most of these bodies operate in a context of limited resources, they have yet to prove effective.

#### ORGANIZATION

Even though adaptation to national specificities and priorities is acknowledged, a formula from Mozambique deserves attention. Its NCB has two levels: Ministerial and Technical, which means that there is a main political decision-making body, and an executive body comprising experts of different institutions.

#### MANDATE AND SUPERVISORY POWER

The mandates of most NCBs cover issues related to policy guidance, research and monitoring. It should be noted that hardly any mandate directly gives supervisory power to the NCB/NFP. Nonetheless, some best practices are as follows:

Canada reports to have quite a flexible mandate: the NFP has the capacity to coordinate with other government agencies and share information on their programmes. The NFP is also involved in determining the priorities for SALW programming, including research projects. Though the NFP has no supervisory power, it has oversight of the implementation of international treaties, and coordinates the efforts for national report preparation. In Australia, the NCB is responsible for providing the government with national and international perspectives on firearms policy and for coordinating the development of a nationally consistent firearms policy.

In Thailand, the NCB has the authority to convene all relevant government agencies to discuss issues related to the implementation of the PoA.

In sub-Saharan Africa and Latin America, some NCBs are located in the office of the President or Vice-President. This grants them authority and governmental approval or endorsement on coordination efforts with relative ease. This association also boosts the political support required

for effective coordination of activities. In Mozambique, the NCB is within the Ministerial Council, which grants it sufficient supervisory power, capacity and political support to ensure compliance by all government agencies with responsibilities on matters related to SALW.

### COORDINATION AND INFORMATION-SHARING

States with a functional and fairly effective governance system are able to foster cooperative efforts with comparative ease, whether NCBs are formally established or not. However, states in post-conflict situations and with transitional governance systems have to expend more effort, and even create procedures and mechanisms to facilitate internal coordination.

- Some NCBs have established regular meetings “to maintain momentum”.
- Some NCBs, including that of Burkina Faso, have utilized social media.
- Regional institutions such as RECSA and ECOWAS are sponsoring the efforts of civil society and also providing them with a forum to engage with states and to share information and best practices.
- The ECOWAS model with the ECOSAP programme: ensuring coordination through cluster reviews and planning, sharing information and best practices, and biannual strategic planning seems to be valued by some organizations like RECSA and ECCAS. The latter intends to use ECOSAP as a model for the implementation of its Convention.
- The heads of states of the Caribbean agreed in 2008 to put into practice an action plan that calls for short-, medium- and long-term measures to curb the high levels of crime in the Caribbean, and includes a strategy to combat the proliferation of SALW.<sup>117</sup>
- Of note is the OSCE mechanism to encourage the implementation of SALW commitments among member states. It includes the provision to approach national authorities in non-compliant states with the offer of technical assistance to facilitate compliance.

### MEMBERSHIP AND INCLUSIVENESS

- El Salvador recognizes that SALW is an inter-institutional issue, and thus its NCB collaborates and coordinates joint actions with a wide set of actors including the Ministry of Justice and civil society organizations.
- In some cases, industry representatives are included or have taken part in the activities of the NCB or in the Group of Experts. For instance, interagency meetings in Belgium are often open to civil society and industry.
- In Rwanda and Uganda, as well as in many developing countries, civil society (including women’s and youth organizations) has been instrumental in public awareness campaigns and advocacy for the voluntary surrender of illicit SALW.
- Some states, including Mexico and Canada, have included civil society representatives on their governmental delegations to meetings related to the PoA, both at the regional and international levels.

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- Some NCBs have engaged with journalists, for instance the network of Journalists for Security and Development in West Africa, and the Movement for Human Rights and Peoples' Rights in Burkina Faso.

## REPORTING

- In some states (e.g. Senegal), the national report is based on information provided by all stakeholders, including civil society.
- A subregional arms transfer report by SEESAC has been drafted on the basis of national reports provided by member states, which supports subregional transparency on arms transfers.
- The OSCE is developing an implementation reporting template for member states that is harmonized with that for reporting on the implementation of the PoA. This template will also allow states to conduct a self-analysis of their implementation of SALW commitments. The harmonization of reporting is expected to reduce administrative burdens in member states and thereby encourage greater numbers of responses that are comparable with those reported under the PoA.

## RECOMMENDATIONS

From the challenges noted and the practices identified that promote effective coordination, the following recommendations can be made.

### STATES

#### NCB STRUCTURE

Taking into account national context and needs, NCBs should:

- be formally instituted or recognized with a mandate or strategic plan on how to effectively provide policy guidance, research and monitoring of efforts to curb the illicit trade in SALW in all its aspects;
- have a dedicated, full-time staff and experts in a secretariat;
- have a membership which is representative enough to give the NCB the supervisory power to ensure national agencies are compliant with PoA commitments;
- have a dual-level of organization (technical and political); and
- be inclusive and open to the relevant actors such as Parliaments, civil society, women's agencies (for purposes of gender mainstreaming), etc.

#### COORDINATION

On this central issue for effective implementation of the PoA it is recommended:

- that NCBs set clear objectives with responsibilities shared among the membership;
- that NCBs should also have a clear mechanism for information-sharing within the NCB, using all means available, including formal and informal meetings, discussion forums, social media, written reports, etc.;
- that NCBs should have a strategy to disseminate information to each relevant stakeholder in the country, allowing a smooth information flow (top-down and bottom-up);
- the NCB should develop online discussion mechanisms among participating agencies as a tool to promote debate and share information on SALW-related issues, implemented policies, recommended practices and challenges;
- that states adopt a holistic approach and include consideration of the PoA and SALW-related issues (marking, tracing, the Geneva Declaration, etc.) in the national security framework;

- that NCBs adopt a collaborative approach in collecting information and in drafting the PoA national report—all stakeholders, including government agencies, civil society and industry, should be engaged; and
- that NCBs should develop cooperation, information-exchange and technical assistance systems, within and among states, and with international organizations.

### CAPACITY-BUILDING

There is a need to promote training and capacity-building activities through information-sharing sessions such as seminars and conferences, as well as training, joint exercises with law enforcement, etc. In addition:

- states should raise awareness among relevant government agencies on the provisions of the PoA;
- NCBs should sensitize government agencies not involved with security, such as ministries in charge of women and youth, health, etc., on the correlation between their respective mandates and the implementation of the PoA;
- NCBs should enhance their capacities in management and communication strategies;
- NCBs should encourage the participation of experts from relevant government agencies in meetings at the national, regional and international levels; and
- NCBs should make better use of all the resources provided by the PoA-ISS and the CASA mechanism on capacity-building.

### CIVIL SOCIETY

NCBs would benefit from strengthening their linkages and coordination mechanisms with NGOs. In view of the pioneering role of NGOs in the fight against the proliferation of SALW, their sensitization, lobbying and fundraising capacities could be an asset. Given that financial assistance is particularly scarce, engagement with NCBs could be a cost-effective approach. For instance, although Ghana has limited funding for national surveys and research, it has creatively partnered with civil society, implementing partners and other interested parties to conduct national surveys on SALW through focus group discussions, field visits, interviews and participant observation.

There is a need to:

- build capacity of civil society at the regional and subregional levels through inter-regional programmes such as sharing best practices or lessons learned. (Formal inclusion of civil society representatives on NCB delegations to regional meetings is valuable as civil society could provide advice and input from the local community or give the perspective of the general public);
- engage civil society in regular meetings of the NCBs at the national level;
- provide financial support to civil society organizations for report writing, advocacy and public speaking, and for attendance at advocacy and capacity-building meetings; and

- develop and enhance communication channels between civil society, relevant government agencies and regional bodies.

## REGIONAL LEVEL

In addition to their usual activities, regional organizations should:

- develop confidence-building mechanisms among governments and encourage joint programming;
- promote and enhance subregional action plans and programmes to help implement regional instruments on SALW;
- encourage interactions (beyond working with member states) among organizations, such as civil society and industry, at the regional level; and
- contribute to the activities implemented by regional offices of CASA members, thereby reinforcing the CASA mechanism.

## INTERNATIONAL LEVEL

The United Nations should strengthen its efforts undertake action-oriented research and to share international best practices and research. Also, cooperation between governmental agencies and civil society should be promoted through the United Nations and other international organs.

Regarding CASA, more effort could be put into engaging with governments, particularly in post-conflict and crime-ridden regions, to ensure a wide dissemination of the ISACS, taking into account the languages of relevant countries or, at a minimum, the six official UN languages.

There are great potential synergies that could be harnessed through the CASA mechanism. Consultation and joint planning both at headquarters and at the field level could lead to integrated projects and greater efficiency in order to help Member States better coordinate and effectively implement the PoA.

## INTER-AGENCY COORDINATION

In its preamble, as well as in some articles, the PoA underlines the relevance of a holistic approach to implementation. Furthermore, a 2009 report stated that “in order to ensure that SALW is addressed and the PoA is implemented, strategic approaches to identify and coordinate between national and regional priorities on SALW, border control, security, terrorism and organized crime are needed to pool and make best use of available resources, aid and cooperation”.<sup>118</sup> Thus, the issue of cooperation and developing synergies should not be limited to just information-exchange on activities of the PoA. It is imperative for states to adopt a holistic approach to the PoA at the conceptual and operational levels.<sup>119</sup>

## CONCEPTUAL LEVEL

The SALW problem is multidimensional and impacts on all aspects of security and development. One main limitation of states in the implementation of PoA is the fact that most tend to view the PoA as a standalone UN instrument dealing with organizational and technical aspects of the supply side of SALW. As its preamble implies, the PoA should also be considered under the umbrella of human security, and integrated into other processes dealing with the demand for SALW and its root causes, and the impact of armed violence. Thus the PoA should be considered as a tool to be implemented along with those promoting security and development (the International Tracing Instrument, the future Arms Trade Treaty, the Geneva Declaration, the Millennium Development Goals, UN Security Council resolution 1325, etc.).

Consequently, PoA implementation must be integrated into a bigger picture considering, among other things:

- supply-side management: a move towards legally binding agreements (for instance, the Arms Trade Treaty may be a step forward);
- assistance: match assistance with needs, and encourage creativity when faced with resource problems;
- demand-side management: respond to political dissatisfaction with political reform, democratic governance and justice, human rights, international humanitarian law; and
- individual and community security (citizens) and situational awareness (state): use security sector reform and disarmament, demobilization and reintegration to respond to criminality, the misuse of weapons by security actors, etc.

## OPERATIONAL LEVEL

The PoA should be approached within the wider national security context and viewed through the human security lens. In these conditions, at the national level, PoA implementation would be encapsulated within the different dimensions of the illicit circulation and proliferation of SALW, such as disarmament, demobilization and reintegration; security sector reform; efforts to reduce armed violence; gender mainstreaming; development; etc.

Such a holistic approach would benefit from the additional skills, networking, and cost-effectiveness resulting from the broad-based participation of legitimate stakeholders (all government bodies dealing with these issues together with parliamentarians, inter-governmental organizations, civil society organizations, etc).

## Notes

- <sup>1</sup> The text of the PoA is contained in *Report of the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All its Aspects*, UN document A/CONF.192/15, 2001.
- <sup>2</sup> See Elli Kytömäki and Valerie Yankey-Wayne, *Implementing the United Nations Programme of Action on Small Arms and Light Weapons: Analysis of Reports Submitted by States in 2003*, UNIDIR, 2004, p. 19.
- <sup>3</sup> See, for example, Sylvia Cattaneo and Sarah Parker, *Implementing the United Nations Programme of Action on Small Arms and Light Weapons. Analysis of the National Reports Submitted by States from 2002 to 2008*, UNIDIR and Small Arms Survey, 2008, p. 22.
- <sup>4</sup> See, for example, *ibid.*, pp. 127ff; and *Reviewing Action on Small Arms—2006: Assessing the First Five Years of the UN Programme of Action*, Biting the Bullet Project, 2006, pp. 265ff.
- <sup>5</sup> See Sylvia Cattaneo and Sarah Parker, *Implementing the United Nations Programme of Action on Small Arms and Light Weapons. Analysis of the National Reports Submitted by States from 2002 to 2008*, UNIDIR and Small Arms Survey, 2008, p. 22.
- <sup>6</sup> Kerry Maze, *Implementing the UN Programme of Action: A Checklist for Matching Needs and Resources*, UNIDIR, 2009; see also Kerry Maze and Yvette Issar, *International Assistance for Implementing the UN PoA on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects: Case Study of the South Pacific*, UNIDIR, 2009.
- <sup>7</sup> Also see assessment by Edgardo P. Legaspi, *East Asia in Action on Arms: Assessing Regional Compliance to the UN PoA on Small Arms and Light Weapons*, Southeast Asian Forum on Armed Violence, 2005.
- <sup>8</sup> Thomas W. Malone and Kevin Crowston, “The Interdisciplinary Study of Coordination”, *ACM Computing Surveys*, vol. 26, no. 1, 1994.
- <sup>9</sup> J.C. Watiez, “Flexibilité et adaptation de l’organisation à l’environnement: la flexibilité en tant que réponse à l’asymétrie inter et intra entreprise”, *Revue Finance, Contrôle et Stratégie*, vol. 5, 2002, pp. 217–54.
- <sup>10</sup> Philippe Lopistéguy, Patrick Etcheverry and Pantxika Dagorret, “Étude de la coordination dans un processus: une expérience à base de patrons”, Laboratoire d’Informatique de l’Université de Pau et des Pays de l’Adour, Institut Universitaire de Technologie de Bayonne et du Pays Basque, 2003.
- <sup>11</sup> Mark Barratt, “Understanding the meaning of collaboration in the supply chain”, *Supply Chain Management*, vol. 9, no. 1, 2004.
- <sup>12</sup> D. Poulin, B. Montreuil and S. Gauvin, *L’entreprise réseau: Bâtir aujourd’hui l’organisation de demain*, Publi-Relais, 1994.
- <sup>13</sup> Eight regional organizations and one regional project (the Small Arms Control Programme of the Economic Community of West African States).
- <sup>14</sup> Four different questionnaires were produced to target NCBs, regional organizations, the UN Coordinating Action on Small Arms, and civil society. To facilitate understanding and processing by interlocutors, questionnaires were translated into the working language of the region in question.
- <sup>15</sup> As mandated in the PoA, § II, paras. 4 and 5.
- <sup>16</sup> In total, the study received 16 responses from Africa (Burkina Faso, Burundi, Cape Verde, Chad, Côte d’Ivoire, Ghana, Guinea-Bissau, Madagascar, Mali, Mozambique, Niger, Nigeria, Senegal, Sierra Leone, Tanzania, Togo); 4 responses from Asia and the Pacific Region (Australia, Fiji, Japan, Thailand); 28 responses from Europe (Austria, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Denmark, Estonia, Finland, France, Germany, Hungary, Ireland, Italy, Latvia, Luxembourg, Malta, Moldova, the Netherlands, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, the United Kingdom); and 18 from Latin America and the Caribbean (Argentina, Bolivia, Brazil, Canada, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Mexico, Nicaragua, Paraguay, Peru, Saint Vincent and the Grenadines, Trinidad and Tobago, Uruguay, Venezuela—interviews were conducted with Argentina and Brazil).
- <sup>17</sup> Burkina Faso, Cape Verde, Côte d’Ivoire, Ghana, Guinea-Bissau, Mali, Mozambique, Niger, Senegal, Sierra Leone, Tanzania, Togo.
- <sup>18</sup> Croatia, Moldova, Romania, Slovakia.
- <sup>19</sup> Thailand.
- <sup>20</sup> Argentina, Chile, Colombia, Costa Rica, Guatemala, Mexico, Nicaragua, Peru, Paraguay, Trinidad and Tobago, Uruguay.
- <sup>21</sup> Burundi, Chad, Nigeria.
- <sup>22</sup> Japan.
- <sup>23</sup> Bosnia and Herzegovina, Finland.
- <sup>24</sup> Bolivia, Brazil, Ecuador, El Salvador, Saint Vincent and the Grenadines.

- 25 “Functionality Status of National Commissions of Small Arms and Light Weapons in ECOWAS Member States”,  
ECOWAS Small Arms Control Programme, October 2010.
- 26 Ibid.
- 27 Only a focal point at the Ministry of Defence.
- 28 Focal Committee at the Ministry of Foreign Affairs.
- 29 Presidential directives of 7 May 2001 established the focal committee, composed of representatives of government  
agencies.
- 30 Information provided in response to the questionnaire.
- 31 Information provided in response to the questionnaire.
- 32 With the exception of Tanzania and Mozambique (as indicated in responses to the questionnaire).
- 33 Information provided in responses to the questionnaire.
- 34 Information coming from the national reports.
- 35 Information provided in responses to the questionnaire.
- 36 Information provided in responses to the questionnaire.
- 37 Information provided in responses to the questionnaire.
- 38 Firearms, Ammunition, Explosive Articles and Fireworks and Imitation of Firearms Act, B.E.2490 (1947); Act on  
Export Control of Armaments and Material, B.E.2530 (1987); Munitions of War Control Act, B.E.2530 (1987);  
Decree on the Export Control Armament and material, B.E.2535 (1992); Customs Act, B.E.2469 (1926); Order of  
the National Administrator Reform Committee No. 37 (Oct 1976); Ministerial Regulation No. 12 (1981), issued  
under the Firearms, Ammunitions, Explosives, Fireworks and Imitation of Firearms Act B.E.2490 (1947); Ministerial  
Regulation No. 1-4 (1977), issued under the Order of the National Administrative Reform Committee No. 37; Act  
Controlling Firearms, Ammunitions, Explosives, Fireworks and Imitation of Firearms No. 4 (1967); Notification of the  
Ministry of Interior. Appointment of Registrars, Officers and Officials under the Firearms, Ammunitions, Explosives,  
Fireworks and Imitation of Firearms Act (1947); Royal Decree in Control of Export of Arms, Ammunition and War  
Materials (1953).
- 39 Including Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, El Salvador, Guatemala, Mexico, Nicaragua,  
Paraguay, Saint Vincent and the Grenadines, Trinidad and Tobago, Peru, Uruguay.
- 40 For instance, the Italian law on firearms (no. 110/1975) regulates the activities of the various state institutions  
involved in the process of managing firearms. The Danish NCB’s work is mandated by provisions stipulated in the  
Administration of Justice Act and the Act on Police Duties. In Austria, Bulgaria and the Netherlands, coordination  
of SALW-related issues is guided by the internal regulations and procedures of the Ministry of Foreign Affairs.  
In Romania, there is no official mandate dedicated to the implementation of the PoA. All government agencies  
working on issues related to SALW are guided by their specific mandates and competences.
- 41 Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Finland, Germany, Hungary, Ireland, Italy, Latvia, Luxembourg,  
the Netherlands, Poland, Romania, Slovakia, Slovenia, Spain.
- 42 Response to the questionnaire by MALAO, founding member and chair of the Senegalese Action Network on Small  
Arms.
- 43 Respectively, El Instituto de Enseñanza para el Desarrollo Sostenible, and the Arias Foundation for Peace and  
Human Progress.
- 44 Swedish national report, 2010.
- 45 “Functionality Status of National Commissions of Small Arms and Light Weapons in ECOWAS Member States”,  
ECOSAP, 2010.
- 46 See <[www.un.org/womenwatch/osagi/pdf/report.pdf](http://www.un.org/womenwatch/osagi/pdf/report.pdf)>.
- 47 For more information see <[www.casac-uer.org/files/documento/1253203545\\_Sumario Ejecutivo Casac Esp.pdf](http://www.casac-uer.org/files/documento/1253203545_Sumario Ejecutivo Casac Esp.pdf)>.
- 48 Benin, Burkina Faso, Côte d’Ivoire, Guinea-Bissau, Liberia, Mali, Niger, Sierra Leone, Togo.
- 49 Response to the questionnaire.
- 50 Response to the questionnaire.
- 51 In addition, the federal government is responsible for controlling the import, export and transit of firearms, their  
parts, accessories and ammunition and has concluded three agreements on firearms since 1996, which together  
form the foundation of Australia’s firearms controls. The federal government does not assess state legislation or  
comment publicly about it, given the fact that it reflects the will of sovereign parliaments.
- 52 Argentina, Bolivia, Bosnia and Herzegovina, Brazil, Burkina Faso, Burundi, Cape Verde, Chad, Chile, Colombia,  
Costa Rica, Côte d’Ivoire, Croatia, Ecuador, El Salvador, Fiji, Ghana, Guatemala, Guinea-Bissau, Madagascar,  
Mali, Mexico, Moldova, Mozambique, Nicaragua, Niger, Nigeria, Paraguay, Peru, Romania, Saint Vincent and the  
Grenadines, Senegal, Sierra Leone, Slovakia, Tanzania, Thailand, Togo, Trinidad and Tobago, Uruguay.

- 53 Benin, Burkina Faso, Ghana, Niger, Senegal, Togo. Information taken from questionnaire responses and from  
 “Functionality Status of National Commissions of Small Arms and Light Weapons in ECOWAS Member States”,  
 ECOSAP, 2010.
- 54 Response to the questionnaire.
- 55 Of further note are provincial and district task forces on SALW that were created in several states. They can make  
 valuable contributions to nation-wide implementation of SALW commitments.
- 56 In this system the police can upload and search information on ammunition. The Forensic Centre is furthermore  
 connected to INTERPOL’s Integrated Ballistic Information Network server. This makes it possible for the Forensic  
 Centre to conduct searches on weapons, etc. in the nine states that are part of the information system today.
- 57 Bosnia and Herzegovina, Croatia, Moldova.
- 58 Response to the questionnaire.
- 59 Benin (2009), Burkina Faso (2009), Cape Verde (2009), Gambia (2009), Ghana (2007), Guinea-Bissau (2009),  
 Liberia (2010), Mali (2008), Senegal (2009), Sierra Leone (2009), Togo (2008).
- 60 Burkina Faso (2010), Cape Verde (2010), Ghana (2010), Mali (2009), Senegal (2010), Sierra Leone (2010), Togo  
 (2010).
- 61 The document can be found at <<http://treaties.un.org/doc/Treaties/2010/04/20100430%2001-12%20PM/xxvi-7.pdf>>.
- 62 Bolivia National Report, 2010.
- 63 Brazil National Report, 2008.
- 64 Brazil National Report, 2008.
- 65 The Geneva Declaration on Armed Violence and Development represents a high-level diplomatic initiative designed  
 to support states and civil society actors to achieve measurable reductions in the global burden of armed violence  
 in conflict and non-conflict settings by 2015 (and beyond). It was first adopted by 42 states on 7 June 2006 during  
 a Ministerial Summit in Geneva, to which the Swiss government and UNDP invited high-level representatives from  
 ministries of foreign affairs and development agencies.
- 66 Sarah Parker and Sylvia Cattaneo, *Implementing the UN Programme of Action on Small Arms and Light Weapons:  
 Analysis of the National Reports Submitted by States from 2002 to 2008*, UNIDIR, 2008, p. xix.
- 67 MALAO and the Senegalese Action Network representatives.
- 68 See United Nations Programme of Action Implementation Support System, <[www.poa-iss.org/poa/poa.aspx](http://www.poa-iss.org/poa/poa.aspx)>.
- 69 Sarah Parker and Sylvia Cattaneo, *Implementing the UN Programme of Action on Small Arms and Light Weapons:  
 Analysis of the National Reports Submitted by States from 2002 to 2008*, UNIDIR, 2008, pp. 108–9.
- 70 See United Nations Programme of Action Implementation Support System, <[www.poa-iss.org/poa/poa.aspx](http://www.poa-iss.org/poa/poa.aspx)>.
- 71 Sarah Parker and Sylvia Cattaneo, *Implementing the UN Programme of Action on Small Arms and Light Weapons:  
 Analysis of the National Reports Submitted by States from 2002 to 2008*, UNIDIR, 2008, p. 108.
- 72 PoA, § III, para. 2.
- 73 *Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives  
 and Other Related Materials*, AG/RES.1 (XXIV-E/97), 13 November 1997.
- 74 See <[www.comunidadandina.org/normativa/dec/d552.htm](http://www.comunidadandina.org/normativa/dec/d552.htm)>.
- 75 See <[www.casac-uer.org](http://www.casac-uer.org)>.
- 76 See <[www.poa-iss.org/RegionalOrganizations/2.aspx](http://www.poa-iss.org/RegionalOrganizations/2.aspx)>.
- 77 *Council Joint Action on the European Union’s contribution to combating the destabilising accumulation and spread of  
 small arms and light weapons and repealing Joint Action 1999/34/CFSP*, document 2002/589/CFSP, 12 July 2002.
- 78 Such as CODUN (Working Party on Global Disarmament and Arms Control) in charge of SALW issues and COARM  
 (Council Working Group on Conventional Arms Exports).
- 79 For example Oxfam GB, Saferworld, SaferAfrica, IANSA, the European Centre for International Cooperation, Project  
 Ploughshares, etc.
- 80 Responses to the questionnaire and national reports.
- 81 For instance, see Kerry Maze, *Implementing the UN Programme of Action: A Checklist for Matching Needs and  
 Resources*, UNIDIR, 2009.
- 82 The MALAO–UNICEF Projet Jeunes artisans de la Paix.
- 83 The Americas: **Organization of American States**—CIFTA: seeks to promote and facilitate the cooperation and  
 exchange of information and experiences among OAS member states; **The Andean Community**—Andean Plan  
 to Prevent, Combat and Eradicate Illicit Trade in Small Arms and Light Weapons in All its Aspects: presently  
 working on a project that aims to strengthen cooperation and assistance among its member states in combating  
 organized crime, including illicit trade in SALW, by facilitating cooperation among Attorneys General, the  
 police, and judicial and other relevant authorities; **MERCOSUR**—Presidents’ Declaration on Combating the

Manufacturing of and Illicit Trafficking in Arms, Ammunitions and Related Materials in the Southern Cone: among many initiatives, there is a registry, the MERCOSUR Security Information Exchange System, which is intended for sharing information among member states regarding the purchasing, selling, importing and exporting of firearms. This promotes integrated actions undertaken by them. In addition, a memorandum of understanding exists for the exchange of information among member states about SALW manufacture and illicit traffic. Central American and the Caribbean: the issue of SALW has been addressed under the framework of the **CARICOM Regional Task Force on Crime and Security**, which places specific emphasis on addressing the linkages with drug trafficking and crime; the **Central American Programme on Small Arms Control (CASAC)** is a programme that lays emphasis on the creation of National Multidisciplinary Commissions to improve the levels of coordination inside and between members.

84 The Wassenaar Arrangement kindly responded to the questionnaire and confirmed that it is not principally active in supporting member states in their national implementation of the PoA.

85 Information provided in response to the questionnaire.

86 The document is available at <[www.osce.org/fsc/20783](http://www.osce.org/fsc/20783)>.

87 Information provided in response to the questionnaire.

88 The document is available at <[www.seesac.org/uploads/documents/sp\\_rip\\_2006.pdf](http://www.seesac.org/uploads/documents/sp_rip_2006.pdf)>.

89 Information provided in response to the questionnaire.

90 Information provided in response to the questionnaire.

91 At the regional level, the Commission is responsible for monitoring states' commitments (vis-à-vis arms transfers, establishment and functioning of mechanisms to promote transparency among states, development of guidelines for harmonizing legislation across the region, etc). At the national level, the Commission is responsible evaluating states' commitments such as the management of weapons stockpiles, national databases on SALW, border control, etc.

92 ECOSAP carries out its activities through training for National Commission members, supply of equipment, support for the elaboration of national surveys and national action plans and support to civil society organizations working on issues relating to SALW in member states.

93 Information provided in response to the questionnaire.

94 The document is available at <[www.recsasec.org/pdf/Nairobi%20Protocol.pdf](http://www.recsasec.org/pdf/Nairobi%20Protocol.pdf)>.

95 Information provided in response to the questionnaire.

96 The document can be found at <<http://treaties.un.org/doc/Treaties/2010/04/20100430%2001-12%20PM/xxvi-7.pdf>>.

97 See UN resolutions A/RES/50/70B and A/RES/52/38J; also see *Report of the Panel of Governmental Experts on Small Arms, A/52/298*.

98 See <[www.poa-iss.org/CASA/CASA.aspx](http://www.poa-iss.org/CASA/CASA.aspx)>.

99 UN document A/2008/258.

100 CASA participants: Counter-Terrorism Committee Executive Directorate, Department of Economic and Social Affairs, Department of Political Affairs, Department of Peacekeeping Operations, Department of Public Information, International Civil Aviation Organization, Office for the Coordination of Humanitarian Affairs, Office of the High Commissioner for Human Rights, Office of the Special Representative of the Secretary-General for Children and Armed Conflict, Office of the Special Adviser on Africa, United Nations Development Programme, United Nations Environment Programme, United Nations Human Settlements Programme, United Nations High Commissioner for Refugees, United Nations Children's Fund, United Nations Institute for Disarmament Research, United Nations Mine Action Service, United Nations Entity for Gender Equality and the Empowerment of Women, United Nations Office for Disarmament Affairs, United Nations Office on Drugs and Crime, World Health Organization.

101 See § II, para. 32; § III, para. 18; and § IV, paras. 1(c) and 2(a).

102 See <[www.poa-iss.org/about.aspx](http://www.poa-iss.org/about.aspx)>.

103 As of August 2011, the Network had 792 registered users and 1,140 posts on 574 topics in 88 forums. Major issues discussed include: SALW trends and news, stockpile management, the International Tracing Instrument, promotion of ratification and implementation of the Firearms Protocol, development of the International Small Arms Control Standards, human rights and international humanitarian law challenges in combating illicit SALW, SALW-related issues in peacekeeping and peacebuilding contexts (disarmament, demobilization and reintegration; security sector reform; UN peace missions; law enforcement; customs), the ATT, and projects implemented by civil society, including NGOs and research institutes. The most popular forum on the Network is that pertaining to SALW trends and news, with 208 topics and 595 posts. Other popular forums include stockpile management, information pertaining to civil society activities and publications, and information pertaining to discussions on the Arms Trade Treaty.

104 See <[www.undp.org/cpr/we\\_do/small\\_arms.shtml](http://www.undp.org/cpr/we_do/small_arms.shtml)>.

- <sup>105</sup> “How to Guide: The Establishment and Functioning of National Small Arms and Light Weapons Commission”, UNDP, 2008, p. vi.
- <sup>106</sup> Information provided in response to the questionnaire.
- <sup>107</sup> See <[www.who.int/violenceprevention/en/](http://www.who.int/violenceprevention/en/)>.
- <sup>108</sup> See ISACS website for more information, <[www.un-casa-isacs.org/isacs/Welcome.html](http://www.un-casa-isacs.org/isacs/Welcome.html)>.
- <sup>109</sup> In CODUN (the Working Group on Global Arms Control and Disarmament), the 27 EU member states coordinate their national positions and develop EU positions for PoA meetings. CODUN also monitors the implementation of the EU Strategy to combat illicit accumulation and trafficking of SALW and their ammunition.
- <sup>110</sup> See Sarah Parker, *Improving the Effectiveness of the Programme of Action on Small Arms: Implementation Challenges and Opportunities*, UNIDIR, 2011.
- <sup>111</sup> Summary of responses to the questionnaire.
- <sup>112</sup> See Sébastien Paquet, *Apprentissage de la coordination entre agents dans un environnement temps réel complexe*, Université de Laval, 2003.
- <sup>113</sup> Kévin Guillermin, *Prise de décision et coordination des acteurs dans une entreprise démocratique : le cas d’Oxalis SCOP, entre processus délibératif de co-construction des décisions et phénomène de leadership*, Université de la Méditerranée Aix-Marseille II, 2008.
- <sup>114</sup> For a discussion of the difficulties of coordination and collaborative decision-making in multi-actor structures, see Lee Ann Caroll and Pat Ameson, “Communication in a Shared Governance Hospital: Managing Emergent Paradoxes”, *Communication Studies*, vol. 54, no. 1, 2003.
- <sup>115</sup> See <[www.poa-iss.org/InternationalAssistance/InternationalAssistance.aspx](http://www.poa-iss.org/InternationalAssistance/InternationalAssistance.aspx)>.
- <sup>116</sup> “Functionality Status of National Commissions of Small Arms and Light Weapons in ECOWAS Member States”, ECOSAP, 2010.
- <sup>117</sup> For more information see <[www.poa-iss.org/RegionalOrganizations/2.aspx](http://www.poa-iss.org/RegionalOrganizations/2.aspx)>.
- <sup>118</sup> Kerry Maze and Yvette Issar, *International Assistance for Implementing the UN Programme of Action on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects: Case Study of the South Pacific*, UNIDIR, 2009, p. 49.
- <sup>119</sup> Babacar Diouf, “Human security: Dealing with SALW issues and beyond”, presentation at the World Social Forum 2011, Dakar, 6–11 February 2011.

## ABBREVIATIONS

CARICOM	Caribbean Community
CASA	UN Coordinating Action on Small Arms
CIFTA	Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials
CTED	Counter-Terrorism Committee Executive Directorate
ECCAS	Economic Community of Central African States
ECOSAP	ECOWAS Small Arms Control Programme
ECOWAS	Economic Community of West African States
IANSA	International Action Network on Small Arms
ISACS	CASA project on International Small Arms Control Standards
MERCOSUR	Southern Common Market
NCB	national coordination body
NFP	national focal point
NGO	non-governmental organization
NPC	national point of contact
ODA	United Nations Office for Disarmament Affairs
OSCE	Organization for Security and Co-operation in Europe
PoA	Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All its Aspects
RECSA	Regional Centre on Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States
SADC	Southern African Development Community
SALW	small arms and light weapons
SARPPCO	Southern African Regional Police Chiefs Cooperation Organization
SEESAC	South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNODC	United Nations Office on Drugs and Crime
UNREC	United Nations Regional Centre for Peace and Disarmament in Africa

