



Project on

# International Small Arms Control Standards

**The United Nations Coordinating Action on Small Arms (CASA) mechanism**

February 2009

**CASA Project on International Small Arms Control Standards (ISACS)**

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## Summary of the Proposal<sup>1</sup>

<b>Project Title:</b>	<b>International Small Arms Control Standards (ISACS)</b>
<b>Duration:</b>	1 October 2008 – 30 September 2010 (2 years)
<b>Implementing Organizations:</b>	The project will be jointly implemented by the 17 members of the United Nations Coordinating Action on Small Arms (CASA) mechanism (see page 4) through the CASA Working Group on ISACS, co-chaired by UNODA and UNDP.
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This project will develop a set of internationally accepted and validated standards that will provide comprehensive guidance to practitioners and policy makers on small arms and light weapons (SALW) control. These standards will enable more effective policymaking and programming on SALW by the United Nations, its Member States, international and regional organizations and civil society. By improving the overall effectiveness of SALW control interventions, this project will make a significant contribution to curbing the uncontrolled proliferation and misuse of SALW and to reducing the human suffering caused by this.

Building on the UN's experience of developing international standards in the areas of mine action and disarmament, demobilization and reintegration, CASA members will work closely with policy and technical experts from a range of backgrounds (UN; international, regional and civil society organizations; government agencies; research institutes and industry) to deliver a set of **International Small Arms Control Standards (ISACS)** in time for the 4<sup>th</sup> Biennial Meeting of States to consider implementation of the UN Programme of Action in 2010.

This project constitutes the initial development phase of a larger undertaking that will unfold as follows:

- **Phase 1** (2 years: 1 October 2008 – 30 September 2010): Development of ISACS and consultations on draft ISACS modules (this project document covers only phase 1);
- **Phase 2** (1 year: 1 October 2010 – 30 September 2011): Translation, awareness-raising, dissemination and training on ISACS, and;
- **Phase 3** (Ongoing: from 1 October 2011): Periodic review, updating, supplementing and assessment of ISACS.

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<sup>1</sup> This project document was approved by CASA on 11 February 2009.

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### **Annexes:**

- 1 Controlling Small Arms and Light Weapons: Global, regional and sub-regional agreements, standards, guidelines and recommendations

### **Supporting documents:**

- Report of a *Broad-based consultation on the development of International Small Arms Control Standards*, Geneva, 24-25 November 2008. Available upon request.

## 1. Introduction to the United Nations Coordinating Action on Small Arms (CASA) mechanism

The United Nations' *Coordinating Action on Small Arms* (CASA) mechanism strives to improve the UN's ability to work as one in delivering effective policy, programming and advice to Member States on curbing the uncontrolled proliferation and misuse of small arms and light weapons (SALW). Established by Secretary-General Kofi Annan in 1998 with the task of coordinating the small arms work of numerous UN Departments, Programmes, Funds, Offices, Institutes and Committees, CASA today unites 17 UN bodies active in policy development and/or programming related to SALW:

### CASA Members:

<b>CTED</b>	United Nations Security Council Counter-Terrorism Committee Executive Directorate
<b>DESA</b>	Department of Economic and Social Affairs
<b>DPA</b>	Department of Political Affairs
<b>DPI</b>	Department of Public Information
<b>DPKO</b>	Department of Peacekeeping Operations
<b>OCHA</b>	Office for the Coordination of Humanitarian Affairs
<b>OHCHR</b>	Office of the United Nations High Commissioner for Human Rights
<b>OSRSG/CAAC</b>	Office of the Special Representative of the Secretary General for Children and Armed Conflict
<b>UNDP</b>	United Nations Development Programme
<b>UNEP</b>	United Nations Environment Programme
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>UNICEF</b>	United Nations Children's Fund
<b>UNIDIR</b>	United Nations Institute for Disarmament Research
<b>UNIFEM</b>	United Nations Development Fund for Women
<b>UNODA</b>	Office for Disarmament Affairs
<b>UNODC</b>	Office on Drugs and Crime
<b>WHO</b>	World Health Organization

The United Nations Office for Disarmament Affairs (UNODA) acts as the focal point for CASA. In his 2008 report on small arms to the UN Security Council, Secretary-General Ban Ki-moon made strengthening CASA one of his disarmament priorities.<sup>2</sup>

## 2. Background on CASA's initiative to develop International Small Arms Control Standards (ISACS)

In October 2007, CASA members endorsed the goal of developing a set of International Small Arms Control Standards (ISACS) along the lines of the standards already developed by the United Nations in the areas of mine action (International Mine Action Standards)<sup>3</sup> and Disarmament, Demobilization and Reintegration (Integrated DDR Standards).<sup>4</sup> The purpose of this initiative is to develop a set of internationally accepted and validated standards that will provide comprehensive guidance to practitioners and policymakers on small arms control.

CASA subsequently organized a number of consultations with States and other interested parties to develop this idea further and drafted a concept paper. CASA formally launched the

<sup>2</sup> S/2008/258 of 17 April 2008, p. 14. For further information on CASA, please visit [www.un-casa.org](http://www.un-casa.org).

<sup>3</sup> <http://www.mineactionstandards.org>

<sup>4</sup> <http://www.unddr.org>

ISACS project in July 2008 at the third Biennial Meeting of States to consider implementation of the UN *Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All its Aspects* (henceforth ‘Programme of Action’).

The Secretary-General informed UN Member States of CASA’s initiative to develop international small arms control standards in his 2008 reports on small arms to the Security Council<sup>5</sup> and to the General Assembly.<sup>6</sup>

A coordinator of the CASA project on ISACS was appointed in September 2008 (in recognition of the collaborative, inter-agency nature of the initiative, the Project Coordinator, Dr. Patrick Mc Carthy, is contracted by UNDP and hosted by UNODA).

CASA organized two briefings on ISACS in October 2008 – one during the Conference of Parties to the UN Convention Against Transnational Organized Crime in Vienna and the other during the First Committee of the General Assembly in New York. The following month, CASA held a broad-based consultation on ISACS in Geneva at which over 50 small arms experts from CASA members, international and regional organizations, governments, NGOs and the small arms industry provided feedback on CASA’s plan to develop ISACS.<sup>7</sup> As well as confirming that CASA’s initiative to develop ISACS is both timely and welcomed by a range of relevant actors, the consultation provided invaluable feedback and advice on how to move forward with the project, all of which has been incorporated into this proposal.

### **3. A brief introduction to standards**

#### **3.1 Standards in general**

International standards are ubiquitous, so much so that we don’t usually think about them. But if they were not there, we would quickly notice. Whether it is the standardized size of credit cards, freight containers or compact disks, international standards make our lives easier and more predictable and greatly facilitate international relations and the trade in goods, services and ideas. Not all standards are global, however. Some, such as paper sizes or electrical plugs, are regional. And, of course, not everything lends itself to being standardized. To be useful, standards must bring tangible benefits to the sectors and industries in which they are applied, as well as to the people who work in them.

The International Organization for Standardization (ISO), the global leader in developing international standards of all kinds, defines a standard as a:

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<sup>5</sup> S/2008/258 of 17 April 2008, p. 15.

<sup>6</sup> A/63/261 of 11 August 2008, p. 10.

<sup>7</sup> A report of the consultation is available on the website of CASA’s Small Arms Advisory Network <http://www.un-casa.org/Bulletinboard/image.aspx?a=43>.

*document, established by consensus and approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context*

*NOTE Standards should be based on the consolidated results of science, technology and experience, and aimed at the promotion of optimum community benefits.*<sup>8</sup>

The ISO stresses that international standards are not legally binding or obligatory in any way and can evolve over time as new technologies and knowledge become available.

A distinction may be drawn between *standards*, on the one hand, and more detailed *technical guidelines* or *standard operating procedures*, on the other. The latter are usually used to provide detailed guidance on how to go about achieving a standard. A standard itself specifies *what* needs to be done but does not go into too much detail on *how* to go about doing it.

The United Nations has accumulated considerable experience in developing international standards on a wide range of issues including crime prevention and criminal justice,<sup>9</sup> trade and electronic business,<sup>10</sup> food,<sup>11</sup> international shipping,<sup>12</sup> the labeling of chemicals<sup>13</sup> and the transport of dangerous goods,<sup>14</sup> including by sea<sup>15</sup> and air.<sup>16</sup> Specifically in the area of peace and security, the United Nations has developed international standards in the areas of mine action<sup>17</sup> and Disarmament, Demobilization and Reintegration.<sup>18</sup>

### 3.2 Standards on SALW control

No such international standards have yet been developed, however, on SALW control, although the need for them has long been recognized. In 1997, for example, the first UN Panel of Governmental Experts on Small Arms underlined an observation made in UN Secretary-General Boutros Boutros-Ghali's *Supplement to An Agenda for Peace* that:

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<sup>8</sup> International Organization for Standardization, ISO/IEC Directives, Part 2. Fifth Edition, 2004.

<sup>9</sup> United Nations Office on Drugs and Crime, *Compendium of United Nations standards and norms in crime prevention and criminal justice*. Available at <http://www.unodc.org/unodc/en/justice-and-prison-reform/compendium.html>.

<sup>10</sup> United Nations Economic Commission for Europe (UNECE). See <http://www.unece.org/etrades>.

<sup>11</sup> United Nations Food and Agriculture Organisation (FAO) and World Health Organisation (WHO), *Codex Alimentarius*. Available at [http://www.codexalimentarius.net/web/index\\_en.jsp](http://www.codexalimentarius.net/web/index_en.jsp).

<sup>12</sup> United Nations Commission on Trade and Development (UNCTAD), *Minimum Standards for Shipping Agents*. Available at <http://www.ihrelawfirm.se/regler/unctad.pdf>.

<sup>13</sup> United Nations Economic Commission for Europe (UNECE), *Globally Harmonized System of Classification and Labelling of Chemicals*. Available at [http://www.unece.org/trans/danger/publi/ghs/ghs\\_welcome\\_e.html](http://www.unece.org/trans/danger/publi/ghs/ghs_welcome_e.html).

<sup>14</sup> United Nations Economic and Social Council (ECOSOC), *UN Recommendations on the Transport of Dangerous Goods: Model Regulations*. Available at [http://www.unece.org/trans/danger/publi/unrec/rev13/13nature\\_e.html](http://www.unece.org/trans/danger/publi/unrec/rev13/13nature_e.html).

<sup>15</sup> International Maritime Organisation (IMO), *International Maritime Dangerous Good Code*. Available at [http://www.imo.org/TCD/mainframe.asp?topic\\_id=158](http://www.imo.org/TCD/mainframe.asp?topic_id=158).

<sup>16</sup> International Civil Aviation Organization (ICAO), *Technical Instructions for the Safe Transport of Dangerous Goods by Air*. Available at <http://www.icao.int/icao/net/dcs/9284.html>.

<sup>17</sup> International Mine Action Standards (IMAS), available at <http://www.mineactionstandards.org>.

<sup>18</sup> Integrated Disarmament, Demobilisation and Reintegration Standards (IDDRS), available at <http://www.unddr.org>.

*While there are some agreed global norms and standards against weapons of mass destruction, there are no such norms or standards that can be used in reducing the excessive and destabilizing accumulation of small arms and light weapons.*<sup>19</sup>

In 1999, a UN Group of Experts on the problem of ammunition and explosives recommended “the international standardization of the form and content of end-use/end-user certificates.”<sup>20</sup> In 2001, the second UN Group of Governmental Experts on small arms pointed to a lack of agreed international standards governing the conditions of manufacture of SALW, as well as their marking, record keeping and tracing. The Group also identified a need for agreed minimum standards to overcome the problem of extraterritoriality in the context of regulating small arms brokers and even went so far as to recommend their “certification in accordance with the procedures and methods of the International Organization for Standardization (ISO).”<sup>21</sup>

Most recently, the outcome document of the third Biennial Meeting of States to consider implementation of the UN Programme of Action in 2008 suggests, *inter alia*, standardizing national reporting on States’ implementation of the Programme of Action and also points to the need for effective standards on stockpile management and surplus disposal.<sup>22</sup>

Finally, UNIDIR’s analysis of national reports on implementation of the Programme of Action submitted by States between 2002 and 2008 provides numerous concrete examples of how international standards could help in curbing the illicit trade in SALW. It also provides a strong endorsement of the need for international standards on small arms control:

*The standards [being developed by CASA] will serve as an important operational instrument to assist states to implement their small arms commitments in a systematic and coordinated manner. They will also contribute to the ability to assess whether states have implemented their PoA commitments effectively or adequately. Until such standards are developed, it is difficult to determine what constitutes “best practice” in the context of PoA implementation...*<sup>23</sup>

#### **4. Rationale: Why SALW control standards?**

CASA believes that the time has come to develop a set of internationally accepted and validated standards providing comprehensive guidance on SALW control to practitioners and policy makers. A strong demand to do more to curb the uncontrolled proliferation and misuse of small arms is coming from the field operations of CASA members. It is being expressed both by the people whom these UN agencies seek to help and also by UN field personnel who work to implement small arms control programmes or whose work in other areas is disrupted or reversed by the easy availability and misuse of small arms.

The problem of how to deal with the uncontrolled proliferation and misuse of SALW has

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<sup>19</sup> A/52/298 of 27 August 1997, paragraph 13.

<sup>20</sup> A/54/155 of 29 June 1999, paragraph 105(g).

<sup>21</sup> A/CONF.192/2 of 11 May 2001, paragraphs 20, 64(a) and 79.

<sup>22</sup> A/CONF.192/BMS/2008/3 of 20 August 2008, paragraphs 3, 7(i), 22 and 27(d).

<sup>23</sup> Cattaneo, S. and Parker, S., *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*. United Nations Institute for Disarmament Research, 2008, p. xxiii.

been on the international agenda for more than a decade, ever since UN Secretary-General Boutros Boutros-Ghali introduced the concept of “micro-disarmament” in his 1995 *Supplement to An Agenda for Peace*.<sup>24</sup> Since then, a range of actors have implemented SALW control programmes in over 50 countries, gaining practical experience and learning invaluable lessons along the way. At the same time, the international community has amassed an impressive body of knowledge and data on the scope and anatomy of SALW proliferation and misuse, as well as on the burden this places on vulnerable people throughout the world.

Action on SALW control has been particularly intensive at the regional and sub-regional levels, where much practical experience and lessons learned have been codified into standards, best practice guidelines, codes of conduct and model legislation (see Annex 1 for a listing).

At the global level too, much has been achieved. The UN Programme of Action on the illicit trade in SALW was adopted by the General Assembly by consensus in 2001. In 2005, the *Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime* (the Firearms Protocol) entered into force. Also in 2005, the General Assembly adopted by consensus an *International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons* (International Tracing Instrument).

In sum, the issue of SALW has reached a level of maturity that makes it possible to develop global control standards. At the level of understanding, we possess extensive knowledge of the scope and anatomy of the problem. At the level of programming, we have accumulated invaluable experience of what does and does not work in addressing it. At the global level, three multilateral agreements provide a solid framework around which to build. And at the regional level, a dense network of standards, codes, best practices and guidelines provide a solid foundation upon which to build.

#### **4.1 Benefits of ISACS**

International Small Arms Control Standards will bring a number of benefits to a range of beneficiaries. The main benefits include:

- Enabling the United Nations to “deliver as one” on SALW policy and programming;
- Improving the design, planning, implementation, monitoring and evaluation of SALW control programmes by all stakeholders;
- Helping to disseminate knowledge and effective practices globally;
- Establishing an agreed level of performance within the global small arms community of practice and providing them with a common vocabulary on SALW control;
- Helping to identify capacity-building needs and to evaluate the effectiveness of SALW assistance programmes;

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<sup>24</sup> A/50/60 - S/1995/1 of 3 January 1995, paragraph 60. Available at <http://www.un.org/Docs/SG/agsupp.html>.



- Establishing a set of benchmarks against which to measure the implementation of global small arms commitments; and
- Providing a basis for the development of national small arms control standards.

## 4.2 Beneficiaries of ISACS

The primary beneficiaries of ISACS will be:

- *People affected by the misuse of SALW:* The primary beneficiaries of ISACS will be people all over the world who live in fear of their lives, as well as those of family and loved ones, because of the easy availability and widespread misuse of SALW. Because ISACS will contribute to making SALW control more effective across the board, they will make a significant contribution to reducing the burden of armed violence felt by millions of people around the world.
- *The United Nations:* By strengthening coordination and establishing an agreed level of performance for the UN bodies that make up the CASA mechanism, ISACS will enable the United Nations to deliver as one on SALW control both at the programmatic and policymaking levels.
- *SALW policymakers and practitioners:* SALW policymakers and practitioners, whether they work with the United Nations, government agencies, international/regional organizations or NGOs, will benefit from having access to a set of internationally agreed and validated standards that will provide them with guidance on all aspects of SALW control. As well as helping to improve the overall level of performance of individual actors, these standards will also facilitate cooperation among actors, especially in the field.
- *UN Member States:* By providing a clear set of voluntary, technically validated, international standards on small arms control, this project will provide valuable guidance to UN Member States on the implementation of their commitments under the UN Programme of Action, the International Tracing Instrument and, where applicable, the Firearms Protocol. Developing countries will be able to use the standards to help them identify their specific cooperation and assistance needs in meeting their international commitments. Donor governments will be able to use them to help decide on the most effective investment of their resources and to evaluate the effectiveness of cooperation and assistance provided. All governments will be able to use them as a basis for developing national SALW policies or its own set of national small arms control standards (as IMAS have been used as the basis for developing national mine action standards).
- *The Small Arms Industry:* International standards on small arms control will also benefit the small arms industry by helping to curb the illicit trade in SALW, which undermines the legal small arms trade to the tune of about one billion US dollars a year. In addition, clear international standards on such things as marking, record-keeping, end-use certification, etc. would provide industry with a transparent framework for action and a more level playing field on which to operate.

## **5. Building on solid foundations: Existing regional and sub-regional standards and guidelines**

This project will not have to start from scratch in developing international standards on small arms control. At the global level, the UN Programme of Action, the Firearms Protocol and the International Tracing Instrument provide a framework around which the standards can be wrapped. In addition, at the regional and sub-regional levels, there exists a dense network of standards and guidelines that form a solid foundation upon which ISACS can be built. A full listing of these is provided in Annex 1. Examples include:

- Best Practice Guidelines for the Implementation of the Nairobi Declaration and Nairobi Protocol on Small Arms and Light Weapons;
- Organization for Security and Co-operation in Europe (OSCE) Handbook of Best Practices on Small Arms and Light Weapons and on Conventional Ammunition;
- Code of Conduct of Central American States on the Transfer of Arms, Ammunition and Other Related Materiel;
- South Eastern and Eastern Europe Regional Micro-Disarmament Standards/Guidelines;
- Arab Model Law on Weapons, Ammunitions, Explosives and Hazardous Material;
- Standard Operating Procedures for the implementation of the Southern African Development Community (SADC) Protocol on the Control of Firearms, Ammunition and other related materials;
- Organization of American States (OAS) Model Regulations for the Control of the International Movement of Firearms, Their Parts and Components and Ammunition (including brokering regulations);
- Pacific Island Forum Legal Framework for a Common Approach to Weapons Control Measures (Nadi Framework);
- Asia-Pacific Economic Cooperation (APEC) Guidelines On Controls And Security Of Man-Portable Air Defense Systems (MANPADS); and
- Wassenaar Arrangement Best Practices to Prevent Destabilising Transfers of Small Arms and Light Weapons through Air Transport.

## 6. Structure and Content of ISACS

In developing ISACS, this project will draw on the UN's considerable experience in developing international standards, especially in the related areas of mine action (IMAS) and disarmament, demobilization and reintegration (IDDRS). As such, this project will follow, to the extent possible, the *Rules for the Structure and Drafting of International Standards* developed by the International Organization for Standardization (ISO).<sup>25</sup> This approach, also applied to developing IMAS and IDDRS, will ensure that the standards produced conform to an internationally recognized template and employ internationally recognized standardization language.

The number of individual standards that could be developed on small arms control is quite large. For practical reasons, they cannot all be developed at once. The experience of IMAS and IDDRS has been that the development of standards proceeds in *waves*; the first wave consisting of fundamental, core standards and subsequent waves filling in the gaps between these. The goal of this project is to produce the first wave of fundamental, core standards on small arms control. Through a process of internal and external consultation, CASA has identified 6 *series* of standards, divided into 24 individual *modules*, that will constitute the first wave of core standards to be produced by this project. These are set out in Table 1.

## 7. ISACS Development Process

### 7.1 Roles and Responsibilities

#### 7.1.1 CASA

CASA will bear the primary responsibility for developing, approving and promoting ISACS. At the end of the development process, it is envisaged that the finalized ISACS will be adopted by a meeting of Principals of CASA members.

#### 7.1.2 CASA Working Group on ISACS

A *CASA Working Group on ISACS* will be created to provide expert input into the standards development process and to act as the Project Board. The working group will comprise all interested CASA members and, as already agreed by CASA, will be co-chaired by UNODA and UNDP. The working group will meet about every two months, mainly by videoconference but occasionally in person, and will report to the CASA group as a whole.

#### 7.1.3 Lead Authors

Members of the CASA Working Group on ISACS will be given the opportunity of taking the lead in drafting individual ISACS modules that fall within their respective areas of expertise. CASA members may choose to assign staff members or to appoint consultants to undertake this task. The drafting of other ISACS modules will be led by consultants appointed directly by this project. The work of Lead Authors, whether they be staff or appointees of CASA members or project consultants, will be overseen by the Project Coordinator.

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<sup>25</sup> ISO/IEC Directives, Part 2 (Fifth edition, 2004).

**Table 1: Working Outline of ISACS<sup>26</sup>**

<b>SERIES</b>	<b>MODULE</b>
<b>01 Introduction to ISACS</b>	01.10 Guide to the application of ISACS
	01.20 Glossary of terms and definitions
<b>02 Concepts, Policies and Strategies</b>	02.10 SALW control in the context of preventing armed violence <sup>27</sup>
	02.20 Overview of global, regional and sub-regional frameworks relating to SALW control
<b>03 Legislative and Regulatory</b>	03.10 National controls over the manufacture of SALW <sup>28</sup>
	03.20 National controls over the international transfer of SALW <sup>29</sup>
	03.21 National controls over the end-user and end-use of internationally transferred SALW
	03.30 National controls over the access of civilians to SALW
<b>04 Design and Management</b>	03.40 National coordinating mechanisms on SALW control <sup>30</sup>
	04.10 Designing and implementing National Action Plans
	04.20 Designing and implementing Safer Community Plans
	04.30 Designing and implementing SALW public awareness campaigns
<b>05 Operational Support</b>	04.40 Monitoring, evaluation and reporting
	05.10 Conducting SALW surveys
	05.20 Stockpile management: Weapons <sup>31</sup>
	05.21 Stockpile management: Ammunition <sup>32</sup>
	05.30 Marking and recordkeeping
	05.31 Tracing
	05.40 Collection
	05.50 Destruction: Weapons
05.51 Destruction: Ammunition	
<b>06 Crosscutting Issues<sup>33</sup></b>	05.60 Border controls and law enforcement cooperation
	06.10 Gender and SALW
	06.20 Children, Adolescents, Youth and SALW

<sup>26</sup> For the purposes of this outline, the term ‘SALW’ encompasses small arms and light weapons, as well as their parts, components and ammunition, unless otherwise stated.

<sup>27</sup> Includes an overview of the main components of a comprehensive SALW control programme.

<sup>28</sup> Encompasses marking and recordkeeping at manufacture.

<sup>29</sup> Encompasses national controls over brokering activities. This module will not, for the time being, provide guidance regarding criteria to be used when deciding on export authorizations, since this is the subject of a separate UN process leading towards an Arms Trade Treaty (A/RES/63/240).

<sup>30</sup> Encompasses the roles and responsibilities of relevant actors.

<sup>31</sup> Encompasses stockpile security, transport and identification of surplus.

<sup>32</sup> Encompasses stockpile security, safety, transport and identification of surplus. The development of this module will commence following the completion of a separate UN process to develop technical guidelines on managing stockpiles of conventional ammunition (A/RES/63/61).

<sup>33</sup> The issues covered in this series will also be integrated into all relevant ISACS modules. The purpose of having them appear again as crosscutting issues is to draw together the various threads already covered in other modules in order to provide a comprehensive understanding of these issues and to underline their relevance and importance.

#### 7.1.4 Expert Reference Group

An *Expert Reference Group* will be created comprising around 15 globally recognized SALW practitioners and policymakers from a range of backgrounds and with expertise in a variety of regional settings. The primary function of the Expert Reference Group will be to review ISACS modules drafted by Lead Authors and to provide the latter will timely feedback. Core membership of the Expert Reference Group may be supplemented as needed with specific technical expertise that may be required to draft some modules.

#### 7.1.5 Project Coordinator

As agreed by CASA, UNDP and UNODA have jointly appointed an ISACS Project Coordinator, Dr. Patrick Mc Carthy. To symbolize the collaborative, inter-agency nature of the project, the Project Coordinator is contracted by UNDP and hosted by UNODA. The Project Coordinator is responsible, inter alia, for the day-to-day management of the project, for the coordination of the work of the Lead Authors and for facilitating liaison between the Lead Authors and the Expert Reference Group. He reports regularly to the CASA Working Group on ISACS and its co-Chairs on progress made.

The roles and responsibilities of the various actors involved in the development of ISACS are set out in detail in Figure 1.

## 7.2 Consultations

Consultations of different kinds will play a central role in this project since ensuring broad input into the development of ISACS will in turn speed their eventual adoption and employment by the international SALW community of practice.

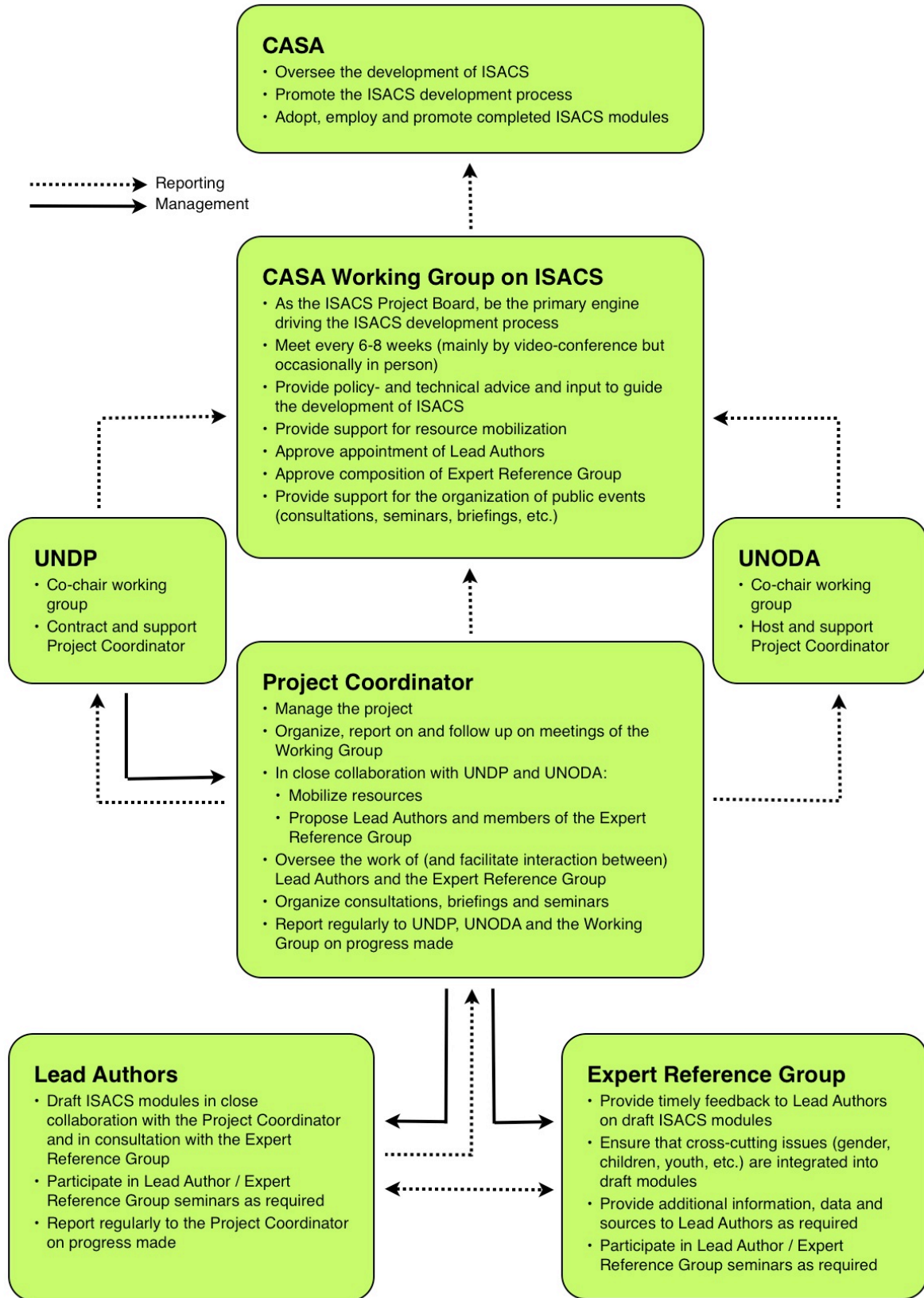
As early as 2007, CASA began holding informal consultations with States and other interested stakeholders on the idea of developing ISACS. These helped CASA to take the decision to move forward with the initiative and to draft an initial concept document. The project outlined in this proposal began in earnest with a broad based consultation on 24-25 November 2008 with over 50 SALW policy and technical experts from the United Nations, international and regional organizations, governments, civil society and the small arms industry.<sup>34</sup> Advice and ideas generated by the consultation have already been incorporated into this proposal.

This pattern of consultation will intensify as the project progresses. As soon as ISACS modules have been drafted by Lead Authors and have been sufficiently reviewed by the Expert Reference Group, they will be released, in the form of draft ISACS modules, for broader scrutiny by the international small arms control community of practice. These broader consultations will take the following forms.

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<sup>34</sup> A report of the consultation is available at <http://www.un-casa.org/Bulletinboard/image.aspx?a=43>.

**Figure 1: Roles and Responsibilities for developing ISACS**



- *Regional consultations:* This project will take advantage of the regional meetings on SALW that are proposed to take place during the latter part of 2009 and early 2010<sup>35</sup> to test the applicability of draft ISACS modules in a range of regional settings. It is envisaged that these regional consultations will involve the participation of policy and technical experts from a variety of backgrounds including United Nations field personnel, regional organizations, regional governments and civil society.
- *Consultations in New York, Geneva and Vienna:* Consultations on draft ISACS modules will be organized at UN headquarters in New York and at the UN Offices in Geneva and Vienna. These consultations will focus primarily on keeping UN Member States up to date on the development of ISACS and on soliciting their feedback on draft modules.
- *Virtual consultations:* This project will make use of the potential of *Web 2.0* to expand consultation on draft ISACS modules to as much of the international small arms community of practice as possible. The term *Web 2.0* “describes the changing trends in the use of World Wide Web technology and web design that aim to enhance creativity, communications, secure information sharing, collaboration and functionality of the web.”<sup>36</sup> It is envisaged that draft ISACS modules will be placed on an ISACS wiki (website) where all interested SALW practitioners and policymakers with an internet connection will be able to read and make changes to them. The wiki manager (Project Coordinator) will moderate this process and, in consultation with Lead Authors and the Expert Reference Group, adopt modifications that add value to draft modules.

The purpose of these different types of consultations is to test the content, clarity and applicability of draft ISACS modules by exposing them to a wide range of perspectives, expertise and regional experience. Following each consultation, draft ISACS modules will be updated in consultation with Lead Authors and the Expert Reference Group.

### 7.3 Timelines

The development of the first wave of ISACS, as outlined in this project document, constitutes the initial phase of a larger undertaking that will unfold as follows:

- *Phase 1: Development of first wave of ISACS*  
(2 years: 1 October 2008 – 30 September 2010; this project document covers phase 1 only)
  - *October - December 2008* (3 months): Gearing up, appointment of Project Coordinator, consultation, resource mobilization;
  - *January 2009 - March 2010* (15 months): Project initiation, drafting of ISACS and consultations on draft ISACS modules;
  - *April - July 2010* (4 months): Finalization, production (hard/electronic copies, website) and presentation of ISACS at the 4<sup>th</sup> Biennial Meeting of States, and;

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<sup>35</sup> A concept note on the proposed regional meetings, prepared by UNODA, is available on the website of CASA’s Small Arms Advisory Network - <http://www.un-casa.org/bulletinboard/Default.aspx?g=posts&t=60>.

<sup>36</sup> Wikipedia - [http://en.wikipedia.org/wiki/Web\\_2.0](http://en.wikipedia.org/wiki/Web_2.0).

- *August - September 2010* (2 months): Phase 1 wrap-up (project reporting, drawing of lessons learned and preparation for phase 2).

A detailed breakdown of the timelines for this project is set out in Table 2.

- *Phase 2: Translation, awareness-raising, dissemination and training*  
(1 year: 1 October 2010 – 30 September 2011)

Following their launch, CASA will focus on ensuring that ISACS are readily available and usable where they are most needed and that practitioners and policymakers understand how to apply them. Although the detailed planning for this stage has yet to take place, it is envisaged that this will involve translating ISACS into other languages, raising awareness within the international small arms community of practice of their existence and usefulness, disseminating them as widely as possible through all available channels, and conducting trainings on their proper application.

- *Phase 3: Periodic review, updating, supplementing and assessment*  
(Ongoing: from 1 October 2011)

International standards are living documents that evolve as knowledge increases and new techniques and technologies come on-line. In phase 3 of the project, CASA will entrust ISACS to one of its members to act as custodian of the standards and to manage their further development, in close collaboration with CASA as a whole. A process will be established to periodically review all ISACS modules and to update them as necessary. If mandated by CASA, the ISACS custodian would also oversee the drafting of additional small arms control standards as required.



**Table 2: Project timeline (phase 1)**

	2008				2009				2010			
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Project launch												
Resource mobilization												
Broad-based consultation												
Project initiation												
Selection of lead authors												
Drafting of ISACS modules												
Establishment of Expert Reference Group												
Lead Author / Expert Reference Group workshop												
Consultations on draft ISACS modules												
Finalization and production of ISACS												
Presentation of ISACS												
Reporting, lessons learned, preparation for next phase												

## ANNEX 1

### **Controlling Small Arms and Light Weapons:**

#### **Global, regional and sub-regional agreements, standards, guidelines and recommendations**

##### **I. GLOBAL**

- United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and light Weapons in All its Aspects
- Protocol against the Illicit Manufacturing and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime
- International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons
- UN Code of Conduct for Law Enforcement Officials
- UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials
- United Nations Register of Conventional Arms
- Report of the Group of Governmental Experts established pursuant to General Assembly resolution 60/81 to consider further steps to enhance international cooperation in preventing, combating and eradicating illicit brokering in small arms and light weapons (A/62/163)
- Report of the Group of Governmental Experts on Problems arising from the accumulation of conventional ammunition stockpiles in surplus (A/63/182)
- Legislative Guide for the United Nations Convention against Transnational Organized Crime and the Protocols thereto (UNODC)
- Compendium of United Nations standards and norms in crime prevention and criminal justice (UNODC)
- How to Guide: Small Arms and Light Weapons Legislation (UNDP)
- How to Guide: The establishment and functioning of national small arms and light weapons commissions (UNDP)
- Revised Principles and Guidelines for the collection and destruction of ammunition (DPKO)

- Integrated Disarmament, Demobilization and Reintegration Standards (IDDRS) – module 04.10 on Disarmament and module 04.11 on SALW Control, Security and Development
- Handbook for the documentation of interpersonal violence prevention programmes (WHO)
- Guidelines for reporting on the UN Programme of Action
- Implementation of the International Tracing Instrument – Guidelines for National Reporting
- A Destruction Handbook: small arms, light weapons, ammunition and explosives (UNODA)
- World Customs Organization (WCO): SAFE Framework of Standards to Secure and Facilitate Global Trade
- International Air Transport Association (IATA): Dangerous Goods Regulations
- International Civil Aviation Organization (ICAO): Technical instructions for the Safe Transport of Dangerous Goods by Air
- International Maritime Organization (IMO): International Maritime Dangerous Goods Code
- United Nations Economic Commission for Europe (UNECE): Recommendations on the transport of Dangerous Goods: Model Regulations
- INTERPOL Weapons Electronic Tracing System (IWETS)

## **II. REGIONAL / SUB-REGIONAL**

### **Asia-Pacific Economic Cooperation (APEC)**

- Guidelines On Controls And Security Of Man-Portable Air Defense Systems (MANPADS)

### **Andean Community**

- Andean Community Plan to Prevent, Fight and Eradicate Illicit Trafficking in Small Arms and Light Weapons in all its Aspects (2003)

### **Economic Community of West Africa States (ECOWAS)**

- Convention on Small Arms and Light Weapons, their Ammunition and other Related Materials (2006)
- Code of Conduct for the Implementation of the Moratorium on the Importation, Exportation and Manufacture of Light Weapons in West Africa

### **European Union**

- EU Code of Conduct on Arms Exports
- EU Strategy to combat illicit accumulation and trafficking of SALW and their ammunition
- European Council Common Position on the Control of Arms Brokering
- European Council Joint Action on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons

### **Great Lakes Region and Horn of Africa**

- Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa
- Best Practice Guidelines for the Implementation of the Nairobi Declaration and Nairobi Protocol on Small Arms and Light Weapons – *produced by the Regional Centre on Small Arms – RECSA*
- Guidelines for Regional Harmonisation of Legislation on Firearms and Ammunition – *produced by the Regional Centre on Small Arms – RECSA*

### **League of Arab States**

- Arab Model Law on Weapons, Ammunitions, Explosives and Hazardous Material

### **North Atlantic Treaty Organization (NATO)**

- Manual of NATO Safety Principles for the Transport of Military Ammunition and Explosives
- Manual of NATO Safety Principles for the Storage of Military Ammunition and Explosives
- Manual of NATO Principles for the Hazard Classification of Military Ammunition and Explosives

- Manual on NATO principles for the application of risk analysis to the storage and transportation of military ammunition and explosives

### **Organization for Economic Cooperation and Development (OECD)**

- Development Assistance Cooperation (DAC) Handbook on Security Sector Reform

### **Organization for Security and Co-operation in Europe (OSCE)**

- OSCE Document on Small Arms and Light Weapons (2000)
- OSCE Document on Stockpiles of Conventional Ammunition (2003)
- Handbook of Best Practices on Small Arms and Light Weapons
  - *National Controls over manufacture of SALW*
  - *Marking, record-keeping and traceability of SALW*
  - *National Procedures for Stockpile management and security (including Annex on MANPADS Stockpile Management and Security)*
  - *National Control of brokering activities*
  - *Export control of SALW*
  - *Definition and Indicators of a surplus SALW*
  - *National Procedures for the destruction of SALW*
  - *SALW in Disarmament, Demobilization & Reintegration (DD&R) Processes*
  - *Illicit air transportation of SALW*
- Handbook of Best Practices on Conventional Ammunition
  - *Marking, Registration and Record-Keeping*
  - *Procedures for Management of Stockpiles*
  - *Physical Security of Stockpiles*
  - *Transportation*
  - *Destruction*
- OSCE Principles on the Control of Brokering in Small Arms and Light Weapons
- OSCE Principles for Export Controls of Man-Portable Air Defence Systems

- Standard Elements of End-User Certificates and Verification Procedures for SALW Exports
- Expert Advice on Implementation of Section V of the OSCE Document on Small Arms and Light Weapons
- Best Practices to Prevent Destabilizing Transfers of Small Arms and Light Weapons Through Air Transport

### **Organization of American States (OAS)**

- Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials (CIFTA) (1997)
- Model Regulations for the Control of the International Movement of Firearms, Their Parts and Components and Ammunition - Updated
- Amendments to the Model Regulation for the Control of the International Movement of Firearms, Their Parts and Components and Ammunition - Broker Regulations
- Model Legislation on the Marking and Tracing of Firearms
- Model Legislation and Commentaries for Strengthening Controls at Export Points
- Model Legislation and Commentaries on Legislative Measures to Establish Criminal Offences in Relation to the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and other Related Materials
- Recommended Guidelines for Control and Security of Man-Portable Air Defense Systems
- Forthcoming model legislation (2009-2010)
  - *Confiscation and forfeiture*
  - *Record-keeping, confidentiality and exchange of information*
  - *Security measures and controlled delivery*

### **Pacific Islands Forum**

- Legal Framework for a Common Approach to Weapons Control Measures (Nadi Framework)
- Nadi Framework Model Regulations on Weapons Control

### **Sistema de la Integración Centroamericana (SICA)**

- Code of Conduct of Central American States on the Transfer of Arms, Ammunition and Other Related Materiel

### **South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC)**

- Regional Micro-Disarmament Standards/Guidelines
- Cost Benefit Analysis Model for SALW Stockpile Management
- Techniques of Clandestine Arms Delivery and Detection
- Strategic overview of armed violence data collection and analysis mechanisms
- Performance Indicators for the Monitoring and Evaluation of SALW Control Programmes
- Biting the Bullet - Ammunition Stocks: Promoting Safe and Secure Storage and Disposal
- Temporary Storage of Ammunition in Emergency Situations
- SALW Ammunition Destruction - Environmental Releases from Open Burning (OB) and Open Detonation (OD) events
- Principles and Philosophy of Community Based Policing
- SALW Awareness Support Pack
- Arms Exports Reporting CD
- The ‘Sarajevo Process Code of Conduct’ for Private Security Companies (PSC)
- Children and Small Arms Resource Guide: Public Health Approaches

### **Southern African Development Community (SADC)**

- Protocol on Control of Firearms, Ammunition and other related materials in the Southern African Development Community
- Standard Operating Procedures for the implementation of the SADC Protocol on the Control of Firearms, Ammunition and other related materials – *Produced by the Interpol Sub-regional Bureau for Southern Africa / Secretariat of the Southern African Regional Police Chiefs Cooperation Organization (SARPCCO)*

### **Stability Pact for South Eastern Europe**

- Regional Implementation Plan - Combating the Proliferation and Impact of Small Arms and Light Weapons (Revised May 2006)

### **Wassenaar Arrangement on Exports Controls for Conventional Arms and Dual-Use Goods and Technologies**

- Best Practice Guidelines for Exports of Small Arms and Light Weapons (SALW)
- Best Practices for Implementing Intangible Transfer of Technology Controls
- Best Practices to Prevent Destabilising Transfers of Small Arms and Light Weapons (SALW) through Air Transport
- Best Practices for effective enforcement of export controls
- Best Practices for Surplus/Demilitarized Military Equipment
- Elements for Objective Analysis and Advice Concerning Potentially Destabilising Accumulations of Conventional Weapons
- Elements for Export Controls of Man-Portable Air Defence Systems (MANPADS)
- Elements for Effective Legislation on Arms Brokering
- List of end-use assurances
- Statement of Understanding on Control of Non-Listed Dual-Use Items