

DRAFT INTERNATIONAL ISACS SMALL ARMS CONTROL 03.40 STANDARD

First edition
YYYY-MM-DD

Draft 3.0

National coordinating mechanisms on small arms and light weapons control

Request for feedback

The United Nations invites feedback on this draft ISACS module from qualified practitioners and policymakers from all sectors of the small arms and light weapons community of practice – e.g. government (including police and military); international, regional and sub-organizations; civil society and industry – and from all regions of the world.

Feedback on this and all other draft ISACS modules may be provided on an online workspace. Requests to access the workspace should be addressed to coordinator@un-casa-isacs.org by 30 September 2010 and should contain the following information:

(1) name, (2) nationality, (3) job title and (4) country of work.

Further details of how to participate are available at www.un-casa-isacs.org

Disclaimer

This document is in draft form. As such, it is not complete, has not been adopted by the United Nations and may not be referred to as an international standard.

© UN CASA 2010

United Nations Coordinating Action on Small Arms (CASA)
Working Group on International Small Arms Control Standards (ISACS)
Secretariat: c/o UN Office for Disarmament Affairs (Geneva branch)
Palais des Nations, CH-1211 Geneva 10, Switzerland
Tel: +41 22 917 23 87
Fax: +41 22 917 00 34
E-mail: coordinator@un-casa-isacs.org
Web: www.un-casa-isacs.org

Contents	Page
Foreword	iv
Introduction	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Role of national coordinating mechanisms	2
5 Functions of national coordinating mechanisms	2
5.1 General	2
5.2 High priority	2
5.3 Medium priority	3
5.4 Lower Priority	3
6 Composition of national coordinating mechanisms	4
6.1 General	4
6.2 Government entities	4
6.3 Civil society	5
6.4 Industry	5
6.5 International bodies	5
7 National Authority on small arms and light weapons	5
8 National Point of Contact on small arms and light weapons	6
9 Infrastructure and administrative requirements	6
10 Governmental areas of responsibility	6
11 National Action Plans and related processes	7
12 Exceptional role of regional organizations and the United Nations	8
Bibliography	9

Foreword

The United Nations (UN) 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. Established by the Secretary-General in 1998 with the task of coordinating the small arms work of the United Nations, CASA today unites more than 20 UN bodies active in policy development and/or programming related to small arms and light weapons.¹

Building on previous UN initiatives to develop international standards in the areas of mine action (International Mine Action Standards) and disarmament, demobilization and reintegration of ex-combatants (Integrated Disarmament, Demobilization and Reintegration Standards), the United Nations is developing a series of International Small Arms Control Standards (ISACS) with the aim of providing clear and comprehensive guidance to practitioners and policymakers on fundamental aspects of small arms and light weapons control. This document forms part of the ISACS series, as outlined in the table opposite.

ISACS are framed by existing global agreements related to small arms and light weapons control, in particular

- the *UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons In All Its Aspects* (UN PoA);
- the *International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons* (International Tracing Instrument) and;
- the *UN 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* (UN Firearms Protocol).

ISACS build upon standards, best practice guidelines, model regulations, etc. that have been elaborated at the regional and sub-regional levels and they seek to cover the fundamental areas of small arms and light weapons control on which the United Nations may be called upon to provide advice and guidance.

This ISACS module is being drafted in accordance with the rules given in ISO/IEC Directives, Part 2, *Rules for the structure and drafting of International Standards*, under the oversight of the CASA Working Group on ISACS, co-chaired by the United Nations Office for Disarmament Affairs (UNODA) and the United Nations Development Programme (UNDP).

¹ Current members of the United Nations Coordinating Action on Small Arms (CASA) mechanism are: Department of Economic and Social Affairs (DESA); Department of Peacekeeping Operations (DPKO); Department of Political Affairs (DPA); Department of Public Information (DPI); Office for Disarmament Affairs (UNODA); International Civil Aviation Organization (ICAO); Office for the Coordination of Humanitarian Affairs (OCHA); Office of the Special Adviser on Africa (OSAA); Office of the Special Adviser on the Prevention of Genocide (OSAPG); Office of the Special Representative of the Secretary General for Children and Armed Conflict (OSRSG/CAAC); Office of the United Nations High Commissioner for Human Rights (OHCHR); Office on Drugs and Crime (UNODC); United Nations Children's Fund (UNICEF); United Nations Development Fund for Women (UNIFEM); United Nations Development Programme (UNDP); United Nations Environment Programme (UNEP); United Nations High Commissioner for Refugees (UNHCR); United Nations Human Settlements Programme (UN-HABITAT); United Nations Institute for Disarmament Research (UNIDIR); United Nations Mine Action Service (UNMAS); United Nations Security Council Counter-Terrorism Committee Executive Directorate (CTED) and the World Health Organization (WHO). The United Nations Office for Disarmament Affairs (UNODA) acts as the focal point of CASA.

Working Outline of ISACS

SERIES	MODULE
01 Introduction to ISACS	01.10 Guide to the application of ISACS
	01.20 Glossary of terms, definitions and abbreviated terms
02 Small arms and light weapons control in context	02.10 Small arms and light weapons control in the context of preventing armed violence
	02.20 Small arms and light weapons control in the context of Disarmament, Demobilization and Reintegration
	02.30 Small arms and light weapons control in the context of Security Sector Reform
03 Legislative and Regulatory	03.10 National controls over the manufacture of small arms and light weapons
	03.20 National controls over the international transfer of small arms and light weapons
	03.21 National controls over the end-user and end-use of internationally transferred small arms and light weapons
	03.30 National controls over the access of civilians to small arms and light weapons
	03.40 National coordinating mechanisms on small arms and light weapons control
	03.50 International legal cooperation, criminal offenses and investigations
04 Design and Management	04.10 Designing and implementing National Action Plans
	04.20 Designing and implementing community safety programming
	04.30 Raising awareness of the need for small arms and light weapons control
	04.40 Monitoring, evaluation and reporting
05 Operational Support	05.10 Conducting small arms and light weapons surveys
	05.20 Stockpile management: Weapons
	05.21 Stockpile management: Ammunition
	05.30 Marking and recordkeeping
	05.31 Tracing illicit small arms and light weapons
	05.40 Collection
	05.50 Destruction: Weapons
	05.51 Destruction: Ammunition
	05.60 Border controls and law enforcement cooperation
06 Crosscutting Issues	06.10 Gender and small arms and light weapons
	06.20 Children, Youth and small arms and light weapons

Introduction

Central to the implementation at the national level of the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (UN Programme of Action) is the establishment and maintenance of functioning national coordinating mechanisms that are responsible for directing, coordinating and monitoring the implementation of safe, relevant, efficient and effective small arms and light weapons control processes and measures.

National coordinating mechanisms on small arms and light weapons control are multi-disciplinary and comprise representatives of relevant government entities and other stakeholders. The efficient and effective functioning of such mechanisms is key to realizing the objectives of the UN Programme of Action.

National coordinating mechanisms on small arms and light weapons control

1 Scope

This ISACS module establishes guiding principles for the creation and functioning of multi-disciplinary national coordinating mechanisms on small arms and light weapons control.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISACS 04.10, *Designing and implementing National Action Plans*

ISACS 04.20, *Designing and implementing community safety programming*

ISACS 04.30, *Designing and implementing small arms and light weapons awareness initiatives* [title under review]

ISACS 04.40, *Monitoring, evaluation and reporting*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISACS 01.20, *Glossary of terms and definitions*, and the following apply.

In all ISACS modules, the words 'shall', 'should', 'may' and 'can' are used to express provisions in accordance with their usage in International Organization for Standardization (ISO) standards.

- a) **“shall” indicates a requirement:** It is used to indicate requirements strictly to be followed in order to conform to the document and from which no deviation is permitted.
- b) **“should” indicates a recommendation:** It is used to indicate that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required, or that (in the negative form, 'should not') a certain possibility or course of action is deprecated but not prohibited.
- c) **“may” indicates permission:** It is used to indicate a course of action permissible within the limits of the document.
- d) **“can” indicates possibility and capability:** It is used for statements of possibility and capability, whether material, physical or casual.

4 Role of national coordinating mechanisms

In the UN Programme of Action, all UN Member States resolved, “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.”²

Member states in certain regions – such as the Economic Community of West African States, the Great Lakes Region and the Horn of Africa, and the Southern African Development Community – are required by legally binding international agreements to establish such national coordination mechanisms on small arms and light weapons control.

A national coordinating mechanism should ensure that national small arms and light weapons control policy and legislation include the necessary provisions required by the UN Programme of Action, the UN Firearms Protocol, the International Tracing Instrument and relevant regional small arms and light weapons control agreements.

5 Functions of national coordinating mechanisms

5.1 General

In some UN Member States, the roles, requirements and responsibilities of national coordinating mechanisms may already be adequately prescribed in national laws, regulations and administrative procedures. In such cases, these existing provisions shall be adhered to.

If the provisions outlined in national laws, regulations and administrative processes are less rigorous than those contained in this ISACS module, States should consider amending the relevant laws, regulations and administrative processes to bring them in line with this standard.

National coordinating mechanisms should perform the following key functions.

5.2 High priority

- a) Identify, determine and quantify, on a regular basis, the impact of small arms and light weapons on state and human security, as well as on economic and social wellbeing, within the jurisdiction of the State. To the extent possible, these assessments should rely upon research that is based on sound investigative and social science research methods, and shall include
 - 1) State holdings, storage, security and use of small arms and light weapons;
 - 2) criminal and violent misuse of small arms and light weapons, including suicide and their impact on the prevalence of sexual violence;
 - 3) gender and age dynamics of small arms misuse;
 - 4) the dynamics and role of the small arms and light weapons manufacturing and sport shooting sectors;
 - 5) the relationship between legal and illegal small arms and light weapons use and wildlife/ecosystem management; and
 - 6) the strengths, gaps, weaknesses and inefficiencies of existing small arms and light weapons control policy, legislation and programmes.

² UN Programme of Action, Section II, paragraph 4.

- b) Determine the aim of an enhanced small arms and light weapons control strategy (which may include amendments to policy, legislation and activities) within the jurisdiction of the State in consultation with relevant stakeholders;

NOTE See Clause 6 for an overview of relevant stakeholders.

- c) Derive from this aim the strategic and operational objectives of a small arms and light weapons control strategy, taking into account gender and age considerations, in consultation with relevant stakeholders;
- d) Identify and designate the government entities that will have responsibility for each aspect of small arms and light weapons control in order to ensure a comprehensive approach and to prevent the duplication of roles;
- e) In accordance with ISACS 04.10 [Normative Reference], design and disseminate an implementable National Action Plan on small arms and light weapons control intended to meet the strategic and operational objectives in consultation with relevant stakeholders; and
- f) Establish a budget for all related running costs and activities and ensure the availability of (and mobilize where necessary) sufficient resources to implement the National Action Plan within the required timeframe. The sources of funding should be made public.

5.3 Medium priority

- a) Provide strategic oversight of and direction to small arms and light weapons control efforts in order to promote the implementation process and overcome barriers to good performance;
- b) Consult with and provide information to the National Legislature about the implementation of small arms and light weapons control and their impacts relative to 5.2(a) above;
- c) Ensure that relevant government entities and other stakeholders share a common understanding of their mandates, roles and responsibilities with respect to small arms and light weapons control. If this is not possible, differences of opinion should be respected;
- d) Establish clear lines of communication among government entities and other relevant stakeholders;
- e) Disseminate appropriate and timely information to all relevant stakeholders and the media in support of the implementation of the National Action Plan;
- f) Monitor, or ensure the monitoring of, the implementation of all aspects of the small arms and light weapons control strategy in support of the National Action Plan;
- g) Evaluate all aspects of the small arms and light weapons control strategy in support of the implementation of the National Action Plan;
- h) Amend or update the National Action Plan or strategy, when and where appropriate, in order to respond to changing operational conditions, as well as to the findings of research and evaluations;

5.4 Lower Priority

- a) Consult with all other relevant stakeholders, including at the sub-national and district levels, in support of the implementation of the National Action Plan and coordinate the various activities in this regard;
- b) Establish, where appropriate, effective communication and technical small arms and light weapons support arrangements with neighboring states;

- c) Ensure that reports on national small arms and light weapons control measures are submitted in accordance with ISACS 04.40, *Monitoring, evaluation and reporting* [Normative Reference];
- d) Ensure that any small arms and light weapons exports comply with ISACS 03.20, *National controls over the international transfer of small arms and light weapons*; [Normative Reference] [Note: will need to be updated to take into account the ATT]
- e) Provide information (including reports), when required, to relevant regional and global institutions regarding the national coordinating mechanism's small arms and light weapons control activities.

6 Composition of national coordinating mechanisms

6.1 General

The efficient functioning of the national coordinating mechanism shall be the first priority. Only government and non-governmental entities that have a key stake in small arms and light weapons control should be included in the national coordinating mechanism. The achievement of gender equality should be a consideration in the selection of members of the national coordinating mechanism.

6.2 Government entities

Where they exist and where appropriate, government ministries dealing with the following issues should be included in the national coordinating mechanism:

- a) defence;
- b) education;
- c) finance / economic affairs / customs;
- d) foreign affairs;
- e) health;
- f) intelligence;
- g) interior / internal affairs / police;
- h) justice / state law;
- i) local government;
- j) social welfare;
- k) transport (including aviation, rail, road and ports authorities)
- l) women's affairs;
- m) youth;
- n) trade and industry;
- o) sport (if encompassing sport shooting); and
- p) agriculture / wildlife / environment;

In addition, where they exist and where appropriate, the following government bodies should be included in the national coordinating mechanism:

- q) National Point of Contact on small arms and light weapons (see Clause 7. below);
- r) National Legislature;
- s) President's / Prime Minister's Office; and
- t) Arms export / import control agency;

6.3 Civil society

Where they exist and where appropriate, representatives of civil society – including relevant nongovernmental organizations, research institutes, women's groups and sport shooting associations – should be included in the national coordinating mechanism.

6.4 Industry

Where they exist and where appropriate, legal small arms and light weapons manufacturers and manufacturing associations, as well as facilitators of the legal trade in small arms and light weapons (brokers, dealers, etc.), should be included in the national coordinating mechanism.

6.5 International bodies

Relevant United Nations bodies, international organizations and regional- and sub-regional organizations should be included in the national coordinating mechanism as full members or as observers.

7 National Authority on small arms and light weapons

States may designate a single government agency to take the lead in providing overall political coordination and policy direction for national small arms and light weapons control efforts. Such an agency may be known as the National Authority on small arms and light weapons.

The National Authority should

- a) coordinate all government institutions and international agencies involved in small arms and light weapons control;
- b) encourage and support accountability and transparency in order to help build confidence among all stakeholders in the national coordination mechanism;
- c) ensure continuing financial and technical support from national and international sources; and
- d) be supported by a national technical planning and coordination body.

Either the government ministry responsible for the interior/police or for foreign affairs should be designated as the National Authority.

8 National Point of Contact on small arms and light weapons

States shall create or designate a National Point of Contact on small arms and light weapons.

The National Point of Contact is an officially designated individual within the national government with responsibility for liaising with relevant national stakeholders, as well as with other States, regional- and sub-regional bodies and the United Nations, on matters relating to small arms and light weapons control.

Where a National authority on small arms and light weapons exists (see Clause 7), the National Point of Contact should be located within the National Authority.

The National Point of Contact should

- a) be the first point of contact for all entities seeking or providing information, cooperation or assistance related to small arms and light weapons control
- b) have extensive knowledge of, and insight into, all aspects of the small arms and light weapons dynamic within the relevant geographical area;
- c) have extensive experience in the design and implementation of small arms and light weapons control activities;
- d) have an informed understanding of the role, responsibilities and capacities of all relevant stakeholders within the relevant geographical area;
- e) have the appropriate communication and diplomatic skills to consult and interact sufficiently with all relevant stakeholders; and
- f) have the appropriate writing and presentation skills to be able to prepare and present the required reports at the national and international levels.

9 Infrastructure and administrative requirements

In order to function effectively and efficiently, the national coordinating mechanism should have access to the following resources:

- a) support staff with the requisite knowledge and competencies;
- b) appropriate space and facilities for meetings;
- c) appropriate office space and office equipment to enable the support staff to function effectively (e.g. desks, chairs, computers, telecommunication equipment, internet access, etc.); and
- d) sufficient financial resources to cover the salaries of support staff, support staff travel (if required), meetings of the national coordinating mechanism and office running costs.

10 Governmental areas of responsibility

National coordinating mechanisms are responsible for coordinating a wide variety of related small arms and light weapons control activities. However, it is government ministries, departments, agencies, etc. that are ultimately required to implement such activities. The functional responsibility for

implementing small arms and light weapons control activities can be allocated among government entities as set out in Table 1.

Table 1 – Functional responsibilities of government entities

Functional area of small arms and light weapons control	Relevant government entities are those responsible for:
Cross-border controls	Interior / Internal Affairs / Police Defense Customs
Health and social welfare impact	Health Social Welfare Wildlife / Environment
Information management	Interior / Internal Affairs / Police Intelligence
Policy and legislation	National Legislature Interior / Internal Affairs / Police Justice Foreign Affairs Customs Women's Affairs
Awareness and communication	Interior / Internal Affairs / Police Health Social Welfare Education Wildlife / Environment Women's Affairs
Imports, exports and brokering	Foreign Affairs Defense Interior / Internal Affairs / Police Customs Import/export licensing
Marking, recordkeeping and tracing	Interior / Internal Affairs / Police Defense
Collection	Interior / Internal Affairs / Police Defense
Destruction	Interior / Internal Affairs / Police Defense
Stockpile management	Defense Interior / Internal Affairs / Police

11 National Action Plans and related processes

The national coordinating mechanism should develop a National Action Plan on the control of small arms and light weapons in accordance with ISACS 04.10, *Designing and implementing National Action Plans* [Normative Reference].

The national coordinating mechanism should also contribute to the design and implementation of community safety programming and awareness initiatives in accordance with ISACS 04.20, *Designing and implementing community safety programming*, and ISACS 04.30, *Designing and implementing small arms and light weapons awareness initiatives* [title under review]. [Normative References]

12 Exceptional role of regional organizations and the United Nations

At certain times and in certain geographical areas – particularly those recovering from long periods of armed conflict that may have resulted in a weakening of government capacity – States may decide to give a mandate to regional, intergovernmental organizations, or the United Nations, to coordinate and support small arms and light weapons control efforts within those geographical areas.

In such circumstances, the regional organization or United Nations body in question should assume some or all of the responsibilities and roles of the National Authority, and may also act as a conduit for donor resources. The responsibilities and roles of regional organizations and the United Nations will vary from State to State and may be subject to specific agreements.

Relevant regional organizations or the United Nations should provide the necessary capacity building and technical support to fragile or vulnerable governments that lack the resources and expertise to exercise effective small arms and light weapons control, with the aim of fostering the establishment of an independent and effective national coordinating mechanism.

Bibliography

United Nations

1. UN. IDDRS 4.11, *SALW Control, Security and Development*. Integrated Disarmament, Demobilization and Reintegration Standards, 2006.
2. UN. *International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons*, 2005.
3. UN. *Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects*, 2001.
4. UN. *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*, 2000.
5. UNDP. *How to Guide: The Establishment and Functioning of National Small Arms and Light Weapons Commissions*. Geneva: United Nations Development Programme, 2008.

Regional Organizations

6. CICAD. *Model Regulations for the Control of the International Movement of Firearms, Their Parts, Components and Ammunition*. Inter-American Drug Abuse Control Commission (CICAD), 1997.
7. CIFTA. *Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Explosives and other related materials*, 1997.
8. ECOWAS Convention on Small Arms and Light Weapons, their Ammunition and Other Related Materials, 2006.
9. FATF. *AML/CFT Evaluations and Assessments: Handbook for Countries and Assessors*. Paris: Financial Action Task Force (FATF)/OECD, 2006.
10. FATF. *International Best Practices – Freezing of Terrorist Assets*. Paris: Financial Action Task Force (FATF)/OECD, 2009.
11. *Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region and Horn of Africa*, 2004.
12. OSCE. *Document on Small Arms and Light Weapons*. Organization for Security and Co-operation in Europe, 2000.
13. SADC. *Protocol on the Control of Firearms, Ammunition and Other Related Materials*. Southern African Development Community, 2001.
14. SEESAC. RMDS/G 03.10, *SALW National Commissions*. 4th ed. South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC), 2006.

Additional sources

15. BICC. *TRESA Project: Civil Society Action on SALW Control*. Bonn: Bonn International Centre for Conversion, 2005.

16. BICC. *TRESA Project: SALW and Development*. Bonn: Bonn International Centre for Conversion, 2006.
17. KYTÖMÄKI, E. and YANKEY-WAYNE, V. *Five Years of Implementing the United Nations Programme of Action on Small Arms and Light Weapons: Regional Analysis of National Reports*. Geneva: UNIDIR, 2006.
18. SAFERAFRICA and SAFERWORLD. *Institutional Frameworks: The Functioning of the National Focal Point and Provincial and District level Task Forces on SALW. Reference and Operations Manual for National Focal Points on SALW*. Pretoria: SaferAfrica and Saferworld, 2006.
19. SAFERWORLD and SEESAC. *Reporting on Small Arms and Light Weapons (SALW) – A Resource Pack for Journalists*, 2004