



Project on

International Small Arms Control Standards

Phase 2 Proposal for the Government of Australia (AusAID)

1 October 2010 – 31 December 2011 (15 months)

“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...”

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.
Geneva: United Nations Institute for Disarmament Research, 2008.

Document adopted by the 62nd meeting of the

United Nations Coordinating Action on Small Arms (CASA) mechanism

4 May 2010

CASA Project on International Small Arms Control Standards (ISACS)

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Summary of the proposal

Project Title:	International Small Arms Control Standards (ISACS): Phase 2		
Duration:	1 October 2010 – 31 December 2011 (15 months)		
Total Budget:	USD 643,312	Mobilized resources:	USD 423,267
Un-funded budget:	USD 220,045		
Implementing Organizations:	The project will be implemented jointly by the UN bodies that comprise the United Nations Coordinating Action on Small Arms (CASA) mechanism (full listing on page 1) through the CASA Working Group on ISACS, co-chaired by UNODA and UNDP.		
Administering Org:	UNDP Bureau for Crisis Prevention and Recovery		
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“Small arms in the wrong hands destroy lives and livelihoods, impede peace efforts, hinder humanitarian aid, facilitate the illicit trade in narcotics and obstruct investment and development.”

Secretary-General Ban Ki-moon during the UN General Assembly debate on ‘Disarmament and World Security’
19 April 2010

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

Thanks to financial support from the governments of Australia, Canada, Ireland, Norway and Switzerland, and from CASA partners UNDP, UNODA, UNICEF and CTED, CASA will complete phase 1 of the ISACS initiative in September 2010, after presenting a first set of standards modules to the 4th Biennial Meeting of States to consider implementation of the UN Programme of Action on small arms and light weapons.

This proposal covers the first part of phase 2 of the ISACS initiative, running from October 2010 until December 2011 (15 months). During this period, CASA will conduct a wide-ranging final consultation on all 25 ISACS modules, involving all sectors of the small arms community of practice and all regions of the world, in order to fine-tune and finalise them. At the end of this period, the full set of ISACS modules will be formally adopted and launched by the United Nations.

1 Background

1.1 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. Established by Secretary-General Kofi Annan in 1998 with the task of coordinating the small arms work of the UN System, CASA today unites 22 UN bodies active in policy development and/or programming related to small arms and light weapons control. 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.¹

Current CASA Partners:

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

1.2 CASA's initiative to develop International Small Arms Control Standards (ISACS)

In July 2008, CASA launched an ambitious initiative to develop a set of International Small Arms Control Standards (ISACS) along the lines of the standards the UN has already developed in the areas of mine action (International Mine Action Standards)² and disarmament, demobilization and reintegration of ex-combatants (Integrated DDR Standards).³

The Secretary-General informed UN Member States of CASA's initiative in his 2008 reports on small arms to the Security Council⁴ and to the General Assembly⁵ and again in his 2009 report on small arms to the General Assembly.⁶

¹ S/2008/258 of 17 April 2008, paragraph 59.

² IMAS: www.mineactionstandards.org

³ IDDRS: www.unddr.org

⁴ S/2008/258 of 17 April 2008, paragraph 59.

2 Overview of ISACS

2.1 Purpose and framework

The purpose of ISACS is to enhance the effectiveness of small arms policy and programming across the UN system by providing clear and comprehensive guidance to practitioners and policymakers on a wide range of small arms and light weapons controls issues (see Table 1).

ISACS are being developed within the framework created by the three existing global agreements on small arms, namely the

- UN 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); 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 will also build upon norms, standards, best practice guidelines, model regulations, etc. that have been developed at the regional and sub-regional levels (see Annex 3).

2.2 Benefits

The main benefits of ISACS will be to

- enable the United Nations to “deliver as one” on policy and programming;
- improve the design, planning, implementation, monitoring and evaluation of projects and programmes by all stakeholders;
- help to disseminate knowledge and effective practices globally;
- establish an agreed level of performance within the global small arms community of practice and establishing a common vocabulary;
- assist in the identification of capacity-building needs and evaluating the effectiveness of assistance programmes;
- create a set of benchmarks against which to measure the implementation of global small arms commitments; and
- provide a basis for the development of national small arms control standards.

⁵ A/63/261 of 11 August 2008, paragraph 31.

⁶ A/64/173 of 27 July 2009, paragraph 12.

2.3 Beneficiaries

The main beneficiaries of ISACS will be:

- *People affected by the misuse of small arms and light weapons:* 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 small arms. Because ISACS will contribute to making small arms control more effective across the board, they will contribute 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 across the UN system, ISACS will enable the United Nations to *deliver as one* on small arms control, both at the programmatic and policymaking levels.
- *Policymakers and practitioners:* Small arms policymakers and practitioners – whether in the United Nations, government agencies, international or regional organizations, civil society or industry – will benefit from having access to clear and comprehensive guidance on a wide range of small arms control issues. As well as helping to improve the overall level of performance of individual actors, ISACS will also facilitate cooperation these different actors, especially in the field.
- *UN Member States:* ISACS will provide valuable guidance, to any UN Member State who wishes to use them, on the implementation of their commitments under the UN Programme of Action, the International Tracing Instrument and, where applicable, the Firearms Protocol. ISACS will provide developing countries with a tool to identify specific cooperation and assistance needs. They will provide donor governments with a tool to help decide on the most productive investment of resources and to help evaluate aid effectiveness. ISACS will provide any interested government with the basis for developing national small arms policies and/or national small arms control standards.
- *The small arms industry:* ISACS will also benefit the small arms industry by helping to curb illicit trade, which undermines the legal small arms trade by an estimated \$1bn a year. In addition, clear guidance in such areas as manufacturing, marking, recordkeeping and end-use certification will provide industry with a more transparent framework for action and a leveller playing field on which to operate.

3 Overview of progress to date

3.1 Phase 1 milestones

ISACS will reach the end of their first phase of development on 30 September 2010, 3 months after presenting a first set of standards modules to the 4th Biennial Meeting of States (BMS4) to consider implementation of the UN Programme of Action (New York, June 14-18 2010). Major milestones during phase 1 include:

- Launch of the ISACS initiative in July 2008, at BMS3;
- Joint appointment, by UNDP and UNODA, of an ISACS Project Coordinator in September 2008;
- Broad-based consultation on the scope and content of ISACS involving CASA partners; governments; international, regional and sub-regional organizations; civil society and the small arms industry, held in Geneva on 24-25 November 2008;
- Mobilization of over \$1m from the Governments of Australia, Canada, Ireland, Norway and Switzerland, and from CASA partners UNDP, UNODA, UNICEF and CTED;
- Engagement of 25 expert consultants to assist with the drafting and review of ISACS modules;
- Creation of an *Expert Reference Group* – comprising almost 50 small arms specialists from governments, international and regional organizations, civil society and the small arms industry – to provide feedback on draft ISACS modules;
- Launch of the drafting phase at a workshop in Geneva on 15-16 July 2009;
- Creation of an online, collaborative workspace, enabling the transparent review and revision of draft ISACS modules;
- Drafting, review and revision of 19 ISACS modules;
- Progress updates and outreach to UN Member States (at the UNGA First Committee in 2008 and 2009); to States Parties to the UN Firearms Protocol; to the OSCE and INTERPOL; and at small arms workshops in West, Central and East Africa;
- Presentation of a first set of ISACS modules at BMS4; and
- launch of the final round of consultations.

3.2 Progress in drafting ISACS modules

Table 1 presents the working outline of ISACS, as revised by CASA at its 60th meeting (9 March 2010), as well as the expected progress on ISACS modules by the time of BMS4 in June 2010.

The revision of the original working outline involves some minor textual changes to the titles of existing modules; the integration of the module providing an “Overview of global, regional and sub-regional frameworks relating to SALW control” into module 01.10, “Guide to the application of ISACS”; and the addition of two new modules – module 02.20, “Small arms and light weapons control in the context of Disarmament, Demobilization and Reintegration” and module 02.30, “Small arms and light weapons control in the context of Security Sector Reform.”

Table 1 – Working outline of ISACS (and expected progress by BMS4)

Series	Module	1.	2.	3.	4.	5.	6.	7.	8.	9.	10.	11.
		First draft by Consultant	Reviewed by Expert Reference Group	Revised by Consultant	Edited by Coordinator	Reviewed by CASA Working Group	Cleared by CASA as 'consultation draft'	Second round of consultations	Revised by Coordinator (& Consultant)	Reviewed by CASA	Finalized by Coordinator	Formally adopted by CASA Principals
01 Introduction to ISACS	01.10 Guide to the application of ISACS	7										
	01.20 Glossary of terms, definitions and abbreviations	8										
02 SALW control in context	02.10 SALW control in the context of preventing armed violence	√	√									
	02.20 SALW control in the context of Disarmament, Demobilization and Reintegration	9										
	02.30 SALW control in the context of Security Sector Reform	10										
03 Legislative & regulatory	03.10 National controls over the manufacture of SALW	√	√	√	√	√	√					
	03.20 National controls over the international transfer of SALW	√	√	√	11							
	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	√	√	√								
	03.40 National coordinating mechanisms on SALW control	√	√	√	√	√	√					
04 Design & 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 SALW control	√	√	√	√	√	√					
	04.40 Monitoring, evaluation and reporting	√	√	√								
05 Operational support	05.10 Conducting SALW surveys	√	√	√								
	05.20 Stockpile management: Weapons	√	√	√	√	√	√					
	05.21 Stockpile management: Ammunition	12										
	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	√	√	√								

⁷ To be drafted last.

⁸ Terms, definitions and abbreviations are added to module 01.20 in an incremental manner as revised drafts are edited.

⁹ New module added by CASA to the working outline of ISACS at its 54th meeting (2 September 2009).

¹⁰ New module added by CASA to the working outline of ISACS at its 54th meeting (2 September 2009).

¹¹ Finalisation of this module will await the outcome of negotiations by UN Member States on an Arms Trade Treaty.

¹² Work on this module will await completion of the UN process to develop technical guidelines on conventional ammunition stockpiles in surplus, as mandated by A/RES/63/61 of 12 January 2009.

3.3 ISACS at BMS4

The presence of the ISACS project at BMS4 will comprise the following elements:

- *Presentation of a first set of ISACS modules:* CASA will present those ISACS modules that have reached stage 6 of their production (clearance by CASA as a ‘public consultation draft,’ see Table 1) at a side-event on June 14;
- *Launch of the final round of consultations:* CASA will use BMS4 as the platform from which to launch the final round of consultations on all ISACS modules and to begin the process of mobilizing the widest possible participation in it;
- *Progress update for all UN Member States:* CASA will, if permitted by the BMS4 programme of work, update UN Member States on the progress of the ISACS initiative during a plenary session.

4 Phase 2 proposal

4.1 Overview

Phase 2 of the ISACS initiative will comprise 3 principal elements:

- a final round of consultations to fine-tune and finalise all ISACS modules;
- formal adoption of ISACS by CASA Principals; and
- application and maintenance of ISACS.

4.2 Final round of consultations

Purpose

Although extensive consultations have taken place during phase 1 with governments; international, regional and sub-regional organisations; civil society and industry, CASA believes that a final round of consultations is needed in order to increase buy-in by soliciting a broad range of inputs into fine-tuning and finalising the modules.

CASA will launch this consultation at BMS4. Its purpose is to

- field-test the modules’ relevance (in terms of the level at which they ‘set the bar’), as well as their clarity, consistency and comprehensiveness and, even more importantly; to
- engage an even broader range of small arms practitioners and policymakers, from all sectors of the small arms community of practice¹³ and from all regions of the world, in the process of fine-tuning and finalising ISACS.

¹³ i.e. government; international, regional and sub-regional organisations; civil society and industry.

Format

Due to the large number of modules on which consultations will take place, and the high level of specialization and detail of each, organizing regional workshops to discuss and glean feedback on all 25 ISACS modules is not the best option from a cost or time perspective.¹⁴

The most efficient means of consultation – in terms of substance and cost – is to combine the following three complementary approaches:

- **Online workspace**

Phase 1 of the ISACS initiative has made full use of online, collaborative tools to help draft and review modules, with good results. Phase 2 will build upon this.

Draft ISACS modules will be made available on a password-protected, online workspace, moderated by the ISACS Coordinator. Online tools will enable reviewers to provide their feedback directly on the workspace, so that it is visible to all other reviewers. This will enhance the transparency and interactivity of the consultation process.

The more than 100 experts who have already contributed to drafting and reviewing modules – CASA partners, Consultants, the Expert Reference Group and Project Donors – will be the first members of the workspace.

Intensive outreach efforts, especially during the consultation launch phase but continuing throughout the consultation, will add practitioners and policymakers to the workspace (see “Outreach” below).

The virtual consultation will be structured so as to maximise feedback on each module. Each module will, in turn, be ‘featured’ for a minimum period of two weeks, during which all reviewers will be invited to provide feedback on it. In this way, it will be possible to maintain a steady stream of communication with reviewers and to spread the provision of feedback over the full duration of the consultation.

- **Outreach**

CASA Partners and the ISACS Coordinator will use every opportunity to encourage practitioners and policymakers, from all sectors of the small arms community of practice and from all regions of the world, to register on the online workspace in order to provide feedback on ISACS modules, e.g. by presenting the ISACS project at relevant international and regional organisations, conferences and workshops.

Intensive outreach will be conducted during the launch phase of the consultation (see “Timeframe” below) and will continue at a lower level throughout the duration of the consultation.

¹⁴ Assuming that it would require half a day to adequately discuss each module (and even this would be insufficient for some modules), discussing the full set of 25 modules, with brief introductory and concluding sessions, would require 13 days. Even though holding parallel sessions could reduce this, the cost of organising such meetings, in terms of time and resources, would nevertheless be disproportionate to the benefit they would provide.

The goal of this outreach is to

- double the number of small arms specialists on the online workspace, from the current level of 100, to 200;
 - ensure that all regions of the world are adequately represented; and
 - ensure that practitioners (e.g. small arms project and programme managers, stockpile professionals, police and military officers, etc.) are adequately represented.
- **Targeted workshops**

Where necessary for the fine-tuning of a particular module or group of related modules, targeted consultations with a small number of relevant experts will be organized. These will take different forms; from telephone- or video-conferences to brief (1-2 day) workshops.

Three workshops are foreseen during the final consultation phase

- during the fourth quarter of 2010, to boost the consultation during its initial stage;
- during the second quarter of 2011, to advance work on any modules that might need special attention; and
- during the fourth quarter of 2011, to draw and codify lessons learned during the entire ISACS development process.

Timeframe

The consultation launched at BMS4 must be sufficiently long to allow for adequate review of 25 detailed, technical modules. Based on experience with the ISACS Expert Reference Group during phase 1, at least two weeks are required to conduct a full review of a single module. This gives a minimum consultation period of one year.

The launch phase of the final consultation will cover the period from mid-June 2010 (i.e. BMS4) until the end of September 2010, when phase 1 of the ISACS project officially comes to a close. The launch phase will therefore overlap with the last part of ISACS phase 1, allowing for a seamless transition between phase 1 and phase 2.

The purpose of the launch phase of the final consultation is to mobilise additional registrations on the online workspace through intensive outreach (see “Outreach” above). Following this first step, during which the number and diversity of reviewers will be increased significantly, the first ISACS module will be opened for review at the beginning of October 2010. The last module will be closed for review one year later, at the end of September 2011, bringing to a close the final round of consultations.

Throughout the consultation, modules that have undergone their respective 2 weeks of review will be revised by the ISACS Coordinator, with the assistance of a consultant, and submitted to CASA for advance clearance at the working level. Following any amendments called for by CASA partners, the finalised modules will be made ready for formal adoption.

4.3 Formal adoption, initial production and launch event

Once all modules have been reviewed and cleared by CASA partners at the working level, they will be submitted, together, to a meeting of CASA Principals for formal adoption.

Following their formal adoption, ISACS modules will be made available on the UN Programme of Action Implementation Support System website (www.poa-iss.org). An initial print-run of modules will be produced and disseminated, in addition to electronic copies on CDs and thumb-drives.

Launch events will be organised at United Nations Headquarters in New York, as well as at its offices in Geneva and Vienna. These will mark the end of the production of ISACS and the beginning of their longer-term application and maintenance, which will be the subject of a follow-on proposal.

4.4 Application and maintenance

The application of ISACS within the UN System will be promoted through outreach and training, which will also be available to other actors (e.g. governments; international, regional and sub-regional organisations; civil society and industry) who express an interest in applying the standards.

Modules will be reviewed and updated on a regular basis (e.g. every 2 years) or as advances in technology or policy dictate. ISACS modules will be living documents that evolve and improve with use and time.

To facilitate their review and maintenance, an ISACS Review Board will be created comprising small arms experts from the United Nations; governments; international, regional and sub-regional organisations; civil society and industry. The composition of the Review Board will reflect sectoral, regional and gender diversity.

CASA may decide to supplement ISACS with additional modules so as to further increase their collective scope.

Support will be provided to any government that wishes to use ISACS as the basis for developing their own National Small Arms Control Standards.

Support will be provided to any government, regional or sub-regional organisation that wishes to use ISACS as the basis for developing national or regional model regulations, standard operating procedures or training materials on small arms and light weapons control.

Table 2 presents the timeframe outlined above.

Table 2 – Timeframe

	...Phase 1 end			Phase 2 beginning...				
				This proposal (15 months)				
				2010		2011		2012 onwards
	BMS4	Q3	Q4	Q1	Q2	Q3	Q4	
Presentation of a first set of ISACS modules								
Launch phase of the final round of consultations								
Workshop to begin the final round of consultations								
Consecutive consultations on ISACS modules								
Revision of modules based on feedback received								
Workshop to advance specific modules								
Review of modules by CASA at working level								
Finalisation of modules								
Formal adoption by CASA Principals								
Launch events; initial production and dissemination								
Lessons learned workshop								
Application and maintenance of ISACS (ongoing)								

5 Budget summary

Output	Activities	Cost breakdown	Total
Project management	Project Coordinator (P4) for 1.25 years @ 100%	\$229,781/year	\$287,226
Outreach	Participation in international conferences and workshops to present ISACS and mobilize participation in the final consultation	2 3-day missions to each of the 6 regions (travel = \$50,000; dsa = \$12,000)	\$72,000
Revision of modules	Contracting expert consultants to assist with the revision of modules following review	25 modules @ 3 days each @ \$550/day	\$41,250
Workshops	3 x 2-day workshops for 35 people at beginning, middle and end of final consultation	\$50,000/workshop	\$150,000
Virtual consultations	Maintenance of an online workspace with collaborative work tools	\$50/month for 15 months	\$750
Initial production, launch and dissemination	Web-hosting / initial print run, CDs & thumb-drives / launch events / initial dissemination		\$50,000
Sub-total			\$601,226
UNDP GMS		7%	\$42,086
Total			\$643,312

Annex 1

A brief introduction to international standards

International 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:

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.¹⁵

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.

International standards and the United Nations

The United Nations has accumulated considerable experience in developing international standards on a wide range of issues including crime prevention and criminal justice,¹⁶ trade and electronic business,¹⁷ food,¹⁸ labour,¹⁹ international shipping,²⁰ the labelling of chemicals²¹ and the transport of dangerous goods,²² including by sea²³ and air.²⁴ Specifically in the area of peace and security, the

¹⁵ International Organization for Standardization, ISO/IEC Directives, Part 2. Fifth Edition, 2004.

¹⁶ 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>.

¹⁷ United Nations Economic Commission for Europe (UNECE). See <http://www.unece.org/etrades>.

¹⁸ United Nations Food and Agriculture Organisation (FAO) and World Health Organisation (WHO), *Codex Alimentarius*. Available at http://www.codexalimentarius.net/web/index_en.jsp.

¹⁹ International Labour Organization (ILO), *International Labour Standards*. Available at http://www.ilo.org/global/What_we_do/InternationalLabourStandards/lang--en/index.htm.

²⁰ United Nations Commission on Trade and Development (UNCTAD), *Minimum Standards for Shipping Agents*. Available at <http://www.ihrelawfirm.se/regler/unctad.pdf>.

²¹ 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.

²² 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.

²³ International Maritime Organisation (IMO), *International Maritime Dangerous Good Code*. Available at http://www.imo.org/TCD/mainframe.asp?topic_id=158.

United Nations has developed international standards in the areas of mine action²⁵ and Disarmament, Demobilization and Reintegration.²⁶

International standards on small arms and light weapons 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:

*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.*²⁷

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.”²⁸ 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).”²⁹

More 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.³⁰

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...*³¹

²⁴ International Civil Aviation Organization (ICAO), *Technical Instructions for the Safe Transport of Dangerous Goods by Air*. Available at <http://www.icao.int/icaonet/dcs/9284.html>.

²⁵ International Mine Action Standards (IMAS), available at <http://www.mineactionstandards.org>.

²⁶ Integrated Disarmament, Demobilisation and Reintegration Standards (IDDRS), available at <http://www.unodc.org>.

²⁷ A/52/298 of 27 August 1997, paragraph 13.

²⁸ A/54/155 of 29 June 1999, paragraph 105(g).

²⁹ A/CONF.192/2 of 11 May 2001, paragraphs 20, 64(a) and 79.

³⁰ A/CONF.192/BMS/2008/3 of 20 August 2008, paragraphs 3, 7(i), 22 and 27(d).

³¹ 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*. Geneva: United Nations Institute for Disarmament Research, 2008, p. xxiii.

Annex 2

Statements and documents concerning ISACS

Minister for Foreign Affairs of Ireland

Statement by Mr Micheál Martin, T.D., Minister for Foreign Affairs of Ireland, Conference on Disarmament, Geneva, 2 March 2010

“I hope that there will be a successful outcome to the fourth Biennial Meeting of States on the UN Programme of Action on Small Arms and Light Weapons (SALW) in New York in June. I look forward to the presentation of a set of internationally accepted and validated standards on SALW, whose development Ireland has been pleased to support.”

Parliamentary Forum on Small Arms and Light Weapons

Policy Statement on Small Arms and Security System Reform, 24 October 2009

“Takes note of the fact that the forthcoming International Small Arms Control Standards (ISACS) will provide a set of effective guidelines for the safe and effective management of small arms and light weapons within the security system, and encourages their adoption by States’ when promulgated;

Urges donors to deepen their political and financial engagement with SSR related programs and projects designed to improve the standards of [...] integrated and holistic SALW Control programs in accordance with the forthcoming International Small Arms Control Standards (ISACS).”

Update on ISACS to a plenary session of the 2009 UNGA First Committee

GA/DIS/3396 of 21 October 2009

“PATRICK MCCARTHY, Coordinator of the United Nations Coordinating Action on Small Arms (UN CASA) Project on International Small Arms Control Standards (ISACS), said that the project that was being developed would be framed by the existing global agreements on small arms and would build upon standards, best-practice guidelines, and model regulations, which had already been elaborated at the regional and sub-regional levels. Its development was primarily to enhance the United Nations ability to deliver as one on small-arms issues, whether they concerned legal, programmatic or operational aspects of the problem.

He said that internationally-accepted and validated standards on small-arms control would also have utility beyond the United Nations system by providing clear and comprehensive guidance to small-arms practitioners and policymakers, whether they worked in national governments, regional organizations, civil society or the small arms industry. Those standards would not be legally binding or obligatory in any way. Rather, they would provide voluntary guidance within the United Nations

system and to other stakeholders and be made available for use at no cost to a wide range of relevant actors.

The United Nations Coordinating Action on Small Arms had identified individual standards modules for development, comprising legal, programmatic, operational and crosscutting issues, he said. It had engaged leading experts as consultants to help draft first versions of those modules and had created an expert reference Group to help review and provide feedback on them. The work that had been undertaken would not have been possible without financial support received from Australia, Canada, Ireland and Norway, but additional financial support was needed.”

Secretary-General’s 2009 consolidated report on small arms and light weapons to the UN General Assembly

A/64/173 of 27 July 2009

“12. In recent years, the United Nations system has been successful in setting technical standards in specific thematic areas, such as mine action and disarmament, demobilization and reintegration. In the same vein, the Coordinating Action on Small Arms mechanism has embarked on a project to develop international small arms control standards: a set of internationally accepted and validated technical standards that provide comprehensive guidance to practitioners and policymakers on legal, policy and operational issues surrounding small arms control. The project envisages the completion of a set of standards by the Fourth Biennial Meeting of States to Consider the Implementation of the Programme of Action, scheduled for June 2010.”

Secretary-General’s 2008 consolidated report on small arms and light weapons to the UN Security Council

S/2008/258 of 17 April 2008

“59. [...] Moreover, the Coordinating Action on Small Arms has decided to embark upon developing international standards for small arms control, not unlike the standards that have been created on mine action and on disarmament, demobilization and reintegration.”

Secretary-General’s 2008 consolidated report on small arms and light weapons to the UN General Assembly

A/63/261 of 11 August 2008

“31. During the reporting period, two important initiatives were launched under the auspices of the CASA mechanism: the development of the Programme of Action Implementation Support System, which succeeded the CASA database initiated in 2005, and the development of international small arms control standards, which are not unlike the international mine action standards and the integrated disarmament, demobilization and reintegration standards developed within the United Nations system. [...] The development of the international small arms control standards is a two-year project aimed at developing a harmonized and holistic response to the numerous challenges posed by the uncontrolled proliferation of small arms. Such standards would improve the design, planning,

implementation and monitoring of voluntary programmes and activities in the field of small arms control.”

The United Nations Disarmament Yearbook 2008

Volume 33 (Part II): 2008, p. 99

“Additionally, CASA launched a project to develop international standards for small arms control (ISACS), which emulates similar United Nations initiatives related to mine action and disarmament, demobilization and reintegration. The two-year project envisaged a participatory and inclusive process to identify internationally accepted standards for SALW control. In this regard, from 24 to 25 November a broad-based consultation on developing international small arms control standards was organized in Geneva to establish a basis for the contents and methodology of the ISACS process.”

The United Nations Disarmament Yearbook 2007

Volume 32 (Part II), p. 96

“At a meeting in October, the CASA mechanism endorsed a proposal by the United Nations Development Programme (UNDP) to develop International Small Arms Control Standards. An advisory group, co-chaired by UNDP and UNODA, was established to oversee the process, which is expected to ultimately provide guidance to practitioners and policymakers for the development and implementation of SALW control measures.”

Annex 3

Global, regional and sub-regional agreements, standards and guidelines relating to small arms and light weapons control

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)

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
- 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