CAVR

IMPLEMENTING THE ARMS TRADE TREATY AND THE UNPoA

A Guide to Coordinating an Effective Arms Control System

CENTRE FOR ARMED VIOLENCE REDUCTION

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CENTRE FOR ARMED VIOLENCE REDUCTION

HOW WE WORK

The Centre for Armed Violence Reduction (CAVR), an international non-governmental organisation (NGO), provides evidence-based research and services to prevent and reduce armed violence as a necessary precondition of effective and sustainable development. In partnership with governments and civil society we promote public health and safety by analysing, encouraging and contributing to effective regional and national armed violence reduction initiatives. A non-profit entity, the Centre facilitates the implementation of multilateral arms control instruments by adapting their aims to local needs, history and capacity.

We bring together officials and key actors to tackle armed violence prevention, using a 'whole of government' approach. The Centre finds donors and provides training, capacity-building, technical expertise and tools to help identify and fill legislative, technical and policy gaps. Our evidence-based research and analysis is made actionable through context-specific policy recommendations determined by consensus. We deliver affordable, sustainable programmes, always in close collaboration with local stakeholders.

With support from the United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR), our work has focused on applying global arms control instruments—the Arms Trade Treaty (ATT) and the United Nations Small Arms Programme of Action (UNPoA)—predominantly in Southeast Asia, the Pacific and the Caribbean. We provide states with full-scope support to enable them to understand the technical requirements of international arms control instruments, to incorporate their provisions in national policies and legal frameworks and to implement compatible local arms control systems.

CAVR also hosts the Secretariat of the Pacific Small Arms Action Group (PSAAG), a network of civil society organisations (CSOs) in Oceania that acts as regional coordinator for Control Arms and supports linked global systems such as the Arms Trade Treaty-Baseline Assessment Project (ATT-BAP) and the International Small Arms Control Standards (ISACS).

The Centre for Armed Violence Reduction is a charity registered with the Australian Charities and Not-for-profits Commission (ACNC), ABN 62 161 762 778.

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LIST OF ACRONYMS:

ASEAN	Association of Southeast Asian Nations
ATT	Arms Trade Treaty
ATT-BAP	Arms Trade Treaty-Baseline Assessment Project
BMS	UNPoA Biennial Meeting of States
CARICOM	Caribbean Community
CASA	United Nations Coordinating Action on Small Arms
CAVR	Centre for Armed Violence Reduction
CSO	Civil society organisation
CSP	Arms Trade Treaty Conference of States Parties
HR	Human rights
IHL	International humanitarian law
ISACS	International Small Arms Control Standards
ITI	See UN-ITI
MFA	Ministry of Foreign Affairs
MGE	Meeting of Governmental Experts
MoD	Ministry of Defence
MoJ	Ministry of Justice
MSG	Melanesian Spearhead Group
NAP	National Action Plan
NCM	National Control Measures or National Coordinating Mechanism
NGO	Non-governmental organisation
NPC	National point of contact
PIF	Pacific Islands Forum
PNG	Papua New Guinea
POA-ISS	United Nations small arms Programme of Action-Implementation Support System
PSAAG	Pacific Small Arms Action Group
SALW	Small arms and light weapons
SDG	Sustainable Development Goal
UNDP	United Nations Development Programme
UN-ITI	United Nations International Tracing Instrument (aka ITI)
UNLIREC	United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean
UNODA	United Nations Office for Disarmament Affairs
UNPoA	United Nations Programme of Action on small arms and light weapons
UNRCPD	United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific
UNREC	United Nations Regional Centre for Peace
UNRoCA	United Nations Register of Conventional Arms
UNSCAR	United Nations Trust Facility Supporting Cooperation on Arms Regulation
VTF	ATT Voluntary Trust Fund

CONTENTS

INTRODUCTION

Welcome to our second Implementation Guide to the Arms Trade Treaty (ATT) and the UN Small Arms Programme of Action (UNPoA). The Centre for Armed Violence Reduction (CAVR) works to prevent the flow of illicit conventional arms both externally and internally. In 2015 we produced an Implementation Guide for Oceania to build capacity for better implementation of the ATT and the UNPoA among small island states in the Pacific. The Guide was well received around the world and we were asked for more, particularly from other regions sharing similar challenges. Since then we have facilitated five regional workshops in the Pacific, Southeast Asia and the Caribbean and five national workshops in the Asia-Pacific region.

It was important at each workshop to have a spread of representation from different agencies: from customs officials to the legal team in the attorney-general's office, to officers of correctional services, the police and the military. If the provisions of the ATT and the UNPoA are to be implemented, they require the attention of multiple government departments, ministries and implementing agencies. At each workshop, one thing became clear—comprehensive coordination between the agencies and a clearly outlined national action plan (NAP) were key to effective implementation of the ATT and the UNPoA. Questions frequently posed: What does a national coordinating mechanism look like? Which agency should coordinate the implementation of the ATT and the UNPoA? Who is, or should be our National Point of Contact (NPC)? And what is my, or our role?

The biggest challenge for all governments we worked with was this: How to coordinate inter-agency dialogue and a single work-plan to prevent the illicit flow of arms? And how to monitor, evaluate and meet reporting obligations when there are so many different agencies involved? There is no easy answer to these questions. Inter-agency coordination is a challenge for most, if not all, governments. This publication sets out to answer these questions for a global readership, and to:

- increase the understanding of government officials on how to develop an effective inter-agency coordinating mechanism and enhance the role of the NPC for both the ATT and the UNPoA;
- provide government officials with an understanding of the role of their agency and their own portfolio in ratifying and implementing the ATT as well as in implementing the UNPoA;
- improve collaboration and coordination in order to achieve simple and effective reporting;
- help government officials to enhance regional collaboration and build a strong network of NPCs.

This Guide is divided into five sections:

- Section One reviews the role of a national coordinating mechanism, helps decide which agency should coordinate the mechanism, who should be an NPC and how to develop an NAP for effective implementation.
- Section Two focuses on importing and exporting states, but also the majority—small transit and transshipment states—and the role of a national licensing authority.
- Section Three examines the role of key government departments, ministries and implementing agencies, civil society, the arms industry and key UN and other international agencies who can help.
- Section Four shows how to streamline inter-agency collaboration in order to make reporting easier and faster, and to overcome the many challenges faced by small island and developing states.
- Section Five takes a step away from the national level, showing how to build a strong regional network of NPCs to share the load and to weave a strong international web to prevent the flow of illicit arms.

Our Centre works extensively with under-resourced and small governments whose main focus is on transfers of imported or transiting arms and to ensure that stockpile management and destruction procedures are simple but comprehensive. To help these states build systems relevant to them, we often focus on their arms transit role under the ATT. And while the ATT is relevant, in many cases it is a UNPoA provision which can best assist. Such governments rarely have two individuals and agencies working separately on the ATT and the UNPoA: instead a single person is often responsible for both. For this reason we advocate a collaborative system that makes the most of synergies between these and other arms control instruments. We help design systems that avoid duplication and make the most effective use of a small team.

We recognise that others have produced comprehensive guides on developing NAPs and a national coordinating mechanism. We have considered, and do not overlook the useful and informative guides that already answer questions asked by government officials. In some cases, there is no need to invent new answers but simply to recommend those already published.[i] Where we hope that our Guide adds value is in explaining how to apply this information in the context of a small island state or a small developing country, all the while acknowledging their limited resources and lesser needs. Here you will find small-scale lessons learned, examples from very similar states, plus inspiration to navigate a process which need not be large and complex.

Not all our research comes from published sources, although we acknowledge that which does. We also apply anecdotal information offered during workshops. Our conclusions and recommendations are formulated directly from face-to-face discussions with officials.

In order to improve inter-agency coordination and to implement the ATT and the UNPoA effectively, we recommend the following:

The National Coordinating Mechanism

- Identify the agency in the best position to coordinate the national mechanism.

- Appoint an NPC for both the ATT and the UNPoA. If an NPC has not been named, recommend that an official appointment be made.

- Set up the national coordinating mechanism in a structure, such as a commission, working group or committee, that suits the government's resources, priorities and problems in preventing the flow of illicit arms.

- Establish methods and procedures for inter-agency coordination, including the appointment of a lead agency, an NPC, and the development of an NAP.

- Grow both internal and external partnerships to develop and implement the NAP.

- Ensure that the focus of any NAP considers the types of transfer the country deals with and the priority areas of government.

- Ensure that each stakeholder has a clear understanding of its role in the larger national coordinating mechanism.

- Coordinate regular meetings and also multi-agency and bilateral communication.

- Consult and collaborate with civil society, industry, and regional and international organisations where feasible and valuable.

Simplify and Improve Reporting Systems

- Ensure effective communication and inter-agency cooperation in order to reduce the duplication of efforts, and to share information efficiently.

- Delegate a representative from each agency responsible for liaising with the NPC on reporting, as doing so promotes easier communication.

- Encourage the NPC to take a lead coordinating role, and to ensure that contributing agencies are aware of their role in reporting and the submission deadlines for each.

- Establish an annual calendar of reporting, and maintain a working group/committee on reporting to institutionalise the reporting process.

Improve Regional Coordination

- NPC networks work best when combined with diplomatic initiatives.

- Regular meetings and conferences are important to improve and maintain NPC networks.

- NPC networks disseminate practices best when they engage with a variety of domestic policy-makers and other pre-existing regional expert networks.

- NPCs can use different regional networks to fulfil a variety of roles through collaborative efforts.

- States or regions should choose a regional network or organisation that coordinates a regional network of NPCs on the ATT and the UNPoA strategically, based on shared policy goals.

Stakeholder experience shows that these recommendations help build a comprehensive arms control system that, importantly, fits local conditions and capacities. We look forward to continuing the discussion which informs this Guide, and to your efforts to close gaps in the global net to curb the flow of illicit arms.

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A SNAPSHOT OF THE ARMS INSTRUMENTS DESCRIBED IN THIS GUIDE

This Implementation Guide does not cover the provisions nor does it outline either of the two key conventional arms control instruments—the Arms Trade Treaty (ATT) and the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspect (UNPoA) together with its accompanying international tracing instrument (UN-ITI)—that are discussed throughout this Guide. These are outlined in our 2015 guide entitled *Arms and Ammunition in Oceania: A Guide for Pacific Governments.* Instead, the tables below provide a brief snapshot of the instruments as well as a quick overview of their synergies and differences. By no means do they provide a comprehensive review of the arms control instruments or their provisions. For such a reference, please refer to our previous guide.

Arms Trade Treaty[3]	United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects[4]	International Instrument to Enable States to Identify and Trace in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons[5]
The ATT is a multilateral, legally binding agreement created to establish common standards for the regulation of the international trade in conventional arms[6] — from small arms to battle tanks, combat aircraft and warships[7] — and to prevent and eradicate the illicit arms trade.[8] The treaty was established for the purpose of: • contributing to international and regional peace, security and stability; • reducing human suffering; • promoting cooperation, transparency and responsible action by States Parties in the international trade in conventional arms, thereby building confidence among States Parties[9]. The ATT entered into force on 24 December 2014. As at September 2017 it had 92 States Parties and 130 Signatory States.[10]	The UNPoA is a political commitment adopted by UN Member States at the UN General Assembly in 2001 to prevent, combat and eradicate the illicit trade in small arms and light weapons (SALW).[11] It seeks to improve and strengthen national legislation, regulations, processes and procedures concerned with SALW controls on imports and exports, marking, tracing, stockpile management, record-keeping and reporting. It seeks also to promote collaboration and assistance actively.[12]	The ITI was adopted by the UN General Assembly in 2005 to enable Member States to identify and trace, in a timely and reliable manner, illicit arms and light weapons and to promote and facilitate international cooperation and assistance in marking and tracing. It also seeks to enhance the effectiveness of, and complement, existing bilateral, regional and international agreements aimed at preventing, combating and eradicating the illicit trade in SALW in all its aspects.[13]

Synergies between ATT and UNPoA	Differences between ATT and UNPoA
The UNPoA works to encourage states to implement processes, procedures and systems for assessing arms transfers, whereas the ATT constitutes detailed standards on the way assessment procedures should operate effectively.[14] The ATT compels states to prevent and manage diversion, whereas the UNPoA facilitates comprehensive guidance to states on the measures for tackling diversion in every stage of a weapon's life-cycle.[15] The UNPoA helps to develop states' national control systems through its Implementation Support System (PoA-ISS) that outlines best practice, whereas the ATT provides legal support to many of the practical implementations recommended in the UNPoA.[16]	The UNPoA covers only SALW in its scope; the ATT encompasses a wider range of conventional arms.[17] The ATT covers only the mechanisms for controlling international transfers, including exports, imports, transit and brokering. Therefore, both the UNPoA and the ATT cover the management of international transfers of SALW. However, the UNPoA also covers internal controls such as stockpile management, marking and tracing.[19] The UNPoA is a political commitment for all UN Member States; the ATT is a legally binding instrument for States Parties of the Treaty.

INTRODUCTION AND SNAPSHOT ENDNOTES

[1] See e.g. ISACS 'National coordinating mechanisms on small arms and light weapons control' (2014). <http://www.smallarmsstandards.org/isacs/0340-en.pdf>; UNDP 'How to guide the establishment and functioning of national small arms and light weapons commissions' (2008) 25. <http://www.poa-iss.org/CASAUpload/Members/Documents/9@UNDP%20SALW%20Commissions.pdf>; Saferworld 'Ensuring effective implementation of the Arms Trade Treaty: A national assessment methodology' (2016). <http://www.saferworld.org.uk/oldsite/resources/view-resource/1085-ensuring-effective-implementation-of-the-arms-trade-treaty-a-national-assessment-methodology>.

[2] See Pacific Small Arms Action Group (PSAAG) 'Arms and ammunition in Oceania: A guide for Pacific governments' (2015). <http://psaag.org/?p=1258>.

[3] The Arms Trade Treaty (ATT) opened for signature 3 June 2013, UN (entered into force 24 December 2014) Article 1. <http://www.thearmstradetreaty.org/images/ATT_English.pdf>.

[4] United Nations (UNPoA) 'Report of the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, New York,' 9–20 July 2001 'A/CONF.192/15 (2001). <http://www.un.org/events/smallarms2006/pdf/192.15%20(E).pdf>.

[5] United Nations, International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons, A/CONF. 192/15 (UN-ITI). <http://www.un.org/events/smallarms2006/pdf/international_instrument.pdf>.

[6] ATT Article 1.

[7] ATT Article 2.

[8] ATT Article 1.

[9] ATT Article 1.

[10] ATT Secretariat, 'The Arms Trade Treaty'. <http://www.thearmstradetreaty.org/index.php/en/the-arms-trade-treaty> (accessed 22 September 2017).

[11] UNPoA (note 4).

[12] Natalie J Goldring 'The Programme of Action, the Arms Trade Treaty, and the UN Register of Conventional Arms: Seeking synergy and overcoming challenges' (International Action Network on Small Arms (IANSA) 2016) 1-2. <http://www.forumarmstrade.org/uploads/1/9/0/8/19082495/iansa_briefing_paper_poa_att_synergies.pdf>.

[13] UN-ITI, II. <http://www.un.org/events/smallarms2006/pdf/international_instrument.pdf>. The original instructions are in 'AFP135 CAVR Implementation Guide v4 Sec 1 and 2 PA.pdf

[14] Stockholm International Peace Research Institute (SIPRI) 'ATT-related activities in Latin America and the Caribbean: Identifying gaps and improving coordination'. February 2017. <https://www.sipri.org/sites/default/files/ATT-related-activities-Latin-America-and-Caribbean.pdf>.

[15] SIPRI (note 14).

[16] Laura Spano and Philip Alpers 'Reinvigorating the Narrative: The broader benefits of the Arms Trade Treaty' (Centre for Armed Violence Reduction 2017). <http://www.armedviolencereduction.org/publications/bbb>.

[17] See ATT Article 2.

[18] IANSA 'Differences between the United Nations Programme of Action and the United Nations Arms Trade Treaty' (undated) 1.

[19] See e.g. UNPoA (note 4) II.7.

SECTION 1: DEVELOPING AN EFFECTIVE INTER-AGENCY COORDINATING MECHANISM

Although every country is different (see page 13 [HOW SHOULD THE COORDINATING MECHANISM BE STRUCTURED]), a wide range of actors can be involved in the implementation of an effective national arms control system across the life-cycle of conventional arms. Both the ATT and the UNPoA call for states to establish a national control system or a national coordination agency to help implement these instruments. A national coordinating mechanism ensures that all the relevant stakeholders, both government and non-government, are involved in implementing and maintaining national controls. A national coordinating mechanism consists of those actors involved in the implementation of the instrument and the life-cycle of conventional arms, a coordinating agency of the mechanism and a national point of contact (NPC).

This section discusses the national control mechanism system. It highlights the function and role of the mechanism and the agency responsible for coordinating its work and reviewing the agencies and individuals involved in the process. It also provides examples of the current practice of certain states as a way of comparing and contrasting systems as well as of learning lessons about best practice.

1.1 THE NATIONAL COORDINATING MECHANISM

The ATT and the UNPoA contain provisions for the existence of a national control system or designate a national coordinating agency responsible for a state's national arms controls. The table below outlines what a national coordinating mechanism is.

OBLIGATIONS UNDER THE ATT AND THE UNPoA

ATT: Article 5 General Implementation[6]	UNPoA: II.4[7]
5.2. Each State Party shall establish and maintain a national control system, including a national control list, in order to implement the provisions of this Treaty.	II.4. To establish, or designate as appropriate, national coordination agencies or bodies and institutional infrastructure responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects. This should include aspects of the illicit manufacture, control, trafficking, circulation, brokering and trade, as well as tracing, finance, collection and destruction of SALW.
5.5. Each State Party shall take measures necessary to implement the provisions of this Treaty and shall designate competent national authorities in order to have an effective and transparent national control system regulating the transfer of conventional arms covered under Article 2(1) and of items covered under Article 3 and Article 4.	

WHAT IS A NATIONAL COORDINATING MECHANISM?

Both the ATT and UNPoA require states to implement several control measures to ensure effective and safe practices during the life-cycle of arms. A national coordinating mechanism includes the designated national coordinating agency or authority, the national point of contact (NPC) for each arms control instrument and other relevant stakeholders, including industry and civil society.[8]
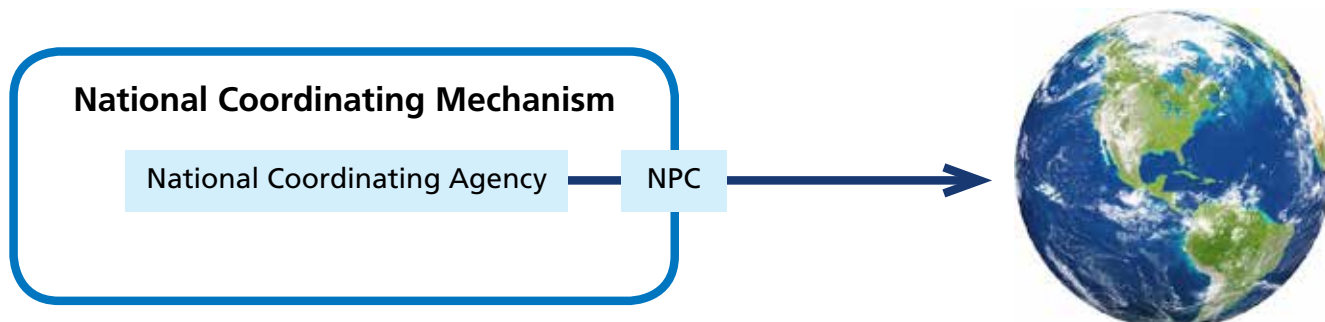
OBLIGATIONS UNDER THE ATT AND THE UNPoA

The national coordinating agency develops policy and coordinates, implements and monitors efforts to deal with all conventional arms controls and measures within a state and also their trade between states.[9] The mechanism also ensures that all commitments made by states under the UNPoA, the UN-ITI, the ATT and other relevant instruments are fully implemented. The coordinating mechanism is responsible for coordinating all conventional arms control measures; however, it is not necessarily the body that implements the national controls or puts measures in place. Often it is implementing bodies and ministries such as customs or an export licensing agency that are required to implement the activities.[10]

Although functions can be divided between different levels of priority,[11] these priorities could vary from state to state depending on their conditions in a particular country. They could include:

- constantly monitoring the effects of the trade in SALW and the ATT on state and human security and the economic and social life of citizens within a state's jurisdiction. The monitoring process includes assessment activities that are based on evidence and academic research within the field of social sciences. The evaluation of elements includes state and civilian ownership, SALW used for criminal and/or violent activities, SALW used by minors, women and men, illegal trade and transit, and state manufacturing and trading;[12]

- establishing goals and objectives for developing an effective control and operational strategy for SALW;[13]

- identifying and designating responsibilities within the government, including UN and international office-bearers;[14]

- creating a national action plan (NAP), applying a multi-stakeholder approach;[15]

- expanding effective channels of communication between government and other stakeholders;[16]

- distributing updated and timely information on implementation development to stakeholders, including the media;[17]

- adapting the NAP to environmental changes, including advances in research and assessment;[18]

- developing communication exchange mechanisms and technical support with other countries in the region;[19]

- reporting to the UN and other, global, regional and subregional organisations on UNPoA and ATT implementation outcomes and advances, including SALW control activities supervised by the national coordinating mechanism;[20]

- corroborating that national controls are in compliance with the import, export, transit, transshipment and brokering of SALW.[21]

The following table has been adapted from the UN Development Programme (UNDP) *How to Guide: the Establishment and Functioning of National Small Arms and Light Weapons Commissions'.[22]* This highlights the role and function of a national coordinating mechanism.

Planning and implementation	• Develop a national strategy or an NAP, coordinate its implementation and monitor and evaluate its impact. • The national strategy includes a document on the situation in a country and its aim, objectives, legislation, resources, priorities, operation activities, resources, donor(s) and liaison. • Consult with other key stakeholders (See Section 2: The Role of Each Agency in implementing the ATT and the UNPoA.) • Determine how to enhance any current strategies on implementing measures for arms controls. • Identify and designate government entities that are responsible for each aspect of the national strategy.
Cooperation and coordination	• Coordinate the activities of various actors at the local, national and regional levels. • Facilitate interaction between governments and also within government agencies. • Ensure coherent policies between all government agencies and departments. • Coordinate and interact with civil society. • Coordinate and interact with national parliaments—for example, the agency may be required to report on the national strategy for arms controls and measures. • Coordinate with regional institutions on regional arms controls and measures to prevent illicit trade in conventional arms. • Coordinate with other commissions.
Research	• Research on the nature of arms usage and manufacturing as well as any proliferation concerns regarding health, human security, economy, etc. • Conduct surveys of conventional arms within your territory. • Liaise with independent researchers.
Awareness-raising, information management and communication	• Collect, analyse and exchange information on conventional arms control between government departments, from international forums and from civil society and industry. • Inform, shape and change individual knowledge, perceptions and attitudes towards conventional arms that promote positive messages against their illicit use. • Liaise on public awareness campaigns, if required. For example: Amnesty International campaign on arms control Tratado por el Comercio de Armas, in Spanish.[23]
Resource mobilisation and allocation	• Liaise with donors. This can include obtaining sponsorship to attend ATT conferences or submitting requests for assistance to the ATT Voluntary Trust Fund. • Prepare annual work plans based on a budget which matches the objectives and aims of the national strategy.[24]

WHO IS PART OF THE COORDINATING MECHANISM?

A national coordinating mechanism includes:
- The national coordinating agency
- The NPC
- All the relevant government ministries, departments and agencies involved in the life-cycle of conventional weapons for a state.

It can also include civil society and the arms industry.[25]

Participants	Role within coordinating mechanism
Government ministries, departments and agencies include but are not limited to: • Ministry of Foreign Affairs • Ministry of Defence • Ministry of Police • Ministry of Immigration • Ministry of Justice • Ministry of Youth/Child/Women's Affairs • Ministry of Finance/Taxation • Customs • Immigration • Police • Military • Social Welfare Services • Attorney-General's Office • Ministry of Prime Minister and Cabinet • Ministry of Health/Environment/Education.[26]	All relevant parts of government should be involved in the design, implementation, monitoring and evaluation of national conventional arms control measures. Different agencies and departments may be involved in the national coordinating mechanism for various reasons and at different times during the implementation of the instruments. For example: the Export Licensing Office is involved in the issuing of export licences but not necessarily involved in the stockpile procedures put in place by the military. Section 2 of this Guide outlines in detail the various roles of each ministry, department and agency.
Civil society: The national coordinating mechanism should also encourage the participation of civil society members and representatives, including: • NGOs • Academia • Gender-based groups • Media • Political groups • Youth-led and youth-based organisations • Organisations or groups for the protection of children • Community-based protection networks • Disabled community representatives • Think tanks • Faith-based groups • Victims of armed violence groups • Secular organisations.[27]	Civil society organisations can: • provide expertise, research and policy advice; • provide a nuanced understanding of a community's armed violence issues and how to help combat armed violence; • implement programmes to help combat illicit arms flows; • promote community awareness of government campaigns and policies; • collaborate and lobby for policy ideas on the international stage; • participate in disarmament, demobilisation and reintegration programmes.
Industry: The national coordinating mechanism should encourage participation and ongoing relationships with the arms industry, companies and associations involved in the manufacture of conventional arms as well as brokers and dealers facilitating the legal arms trade.[28]	Industry plays an important role in the coordinating mechanism as it: • has expert knowledge about the production and distribution of arms; • can advise on how new policies or procedures may impact the economic value of the arms industry and the country's economy; • has a responsibility and a vested interest in preventing the illicit trade in arms.
International and regional bodies: The national coordinating mechanism should collaborate and form partnerships with relevant international and regional organisations such as the UN who can facilitate assistance to states.[29]	International and regional bodies can: • provide capacity-building assistance to states; • disseminate information on important regional and international events, policy and research; • coordinate regional networking. (See Section 4 for more information on how regional bodies can help states to implement a strong national coordinating mechanism.)

HOW SHOULD THE COORDINATING MECHANISM BE STRUCTURED?

Many states have already established a national coordinating mechanism. The structure of these mechanisms differs depending on whether the country exports, imports or is a transit hub, whether there is a large proliferation problem and how the government of that state is structured. Some states have national commissions whereas others have a handful of individuals who work on arms control as well as other areas in their portfolio. How the national coordinating mechanism is structured should depend on your local context. States can learn best practices from other like-minded or similarly structured states. Below (see page 14: [STATE PRACTICE: EXAMPLES OF NATIONAL COORDINATING MECHANISMS AND NATIONAL COORDINATING AGENCIES) we have provided some examples of how states have structured their systems.

Number of governments with a national coordinating mechanism based on ATT and UNPoA reports	
UNPoA	Out of the 73 UNPoA reports submitted to UNODA in 2016: • 51 (70% of those who submitted a report) indicated that they had a national coordination agency or similar body responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in SALW in all its aspects.[30]
ATT	Out of those states that submitted an ATT Baseline Survey to the ATT Baseline Assessment Project (ATT-BAP): • more than 90% stated that they have an export system in place and have regulated imports. For example, in Oceania 100% of states answered Yes when asked whether they have an export system in place. • 66% regulate transit/transshipment by air, land, and sea. • 86% regulate at least one form of transit and/or transshipment (air, land, sea). • The majority indicated that transit/transshipment is an area in which they require assistance with creating and maintaining a national system.[31]

Note: The number of national coordinating mechanisms indicated in this table only shows those states that have identified having such a mechanism in their UNPoA report or the ATT Baseline Survey. Other states that have not reported may also have such a mechanism.

Examples of different structures and types of national coordinating mechanism:

• National firearms commissions

• In-built systems developed by defence export controls or as a whole-of-government process coordinated by one agency

• A small team of individuals within a department

• A small working committee with a member representing each relevant agency or department

• A single individual responsible for coordinating efforts.

HELPFUL HINTS: Questions to consider when establishing a national coordinating mechanism and identifying a national coordinating agency

• What financial and human resources do you have?

• What are your international obligations?

• What is your country profile? Is your country an exporter, an importer or a transit state? Although most countries have a mixture of priorities, these two questions provide focus and may lead to identifying the agency that naturally fits the coordination role.

• What does the country already have in place as a coordinating body?

• How should the country structure the control mechanism?

• Does an existing agency already informally take on some of this role or engage more in the issues?

• What legislation to control arms is already in place?

• What conventional arms challenges must you deal with? Does your state have an issue with illicit conventional arms?

• Does the country already have an export/import mechanism?

• Is there a record of legal and/or illegal arms in the country?

STATE PRACTICE: EXAMPLES OF NATIONAL COORDINATING MECHANISMS AND NATIONAL COORDINATING AGENCIES

State	Practice
Bosnia and Herzegovina	Bosnia and Herzegovina (BiH) formalised a National SALW Commission known as the 'Coordination Board' in 2005. The following stakeholders participate in the Commission, which holds periodic meetings: • Ministry of Security • Ministry of Foreign Affairs • Ministry of Defence • Ministry of Foreign Trade and Economic Relations • Tax Authority, and • Ministries of Defence and Interior integrate the Board.[34] The Coordination Board put in place a 2013–2016 cooperation strategy for SALW control with other government agencies for the implementation of projects and commitments.[35] An inter-institutional panel of experts founded by the Council of Ministers, the BiH SALW Control Coordination Board initiated the process of developing and adopting the strategy.[36] This document focuses in particular on: • the need to ensure that national legislation complies with international standards; • better control over internal and external trade in weapons; • the reduction of the number of cases related to illegal weapons and citizens' illegal ownership of weapons; • increasing citizens' confidence in BiH governmental bodies at all levels; • reducing surplus SALW in the possession of the BiH Ministry of Defence.[37] The strategy recognises four strategic goals: • improving the legal framework and implementing SALW legislation; • reducing illegal SALW; • managing SALW in the possession of competent BiH agencies and institutions; • promoting international and regional cooperation and also cooperation with NGOs.[38] The strategy includes specific projects to facilitate activities defined by the strategic goals.[39] Some examples of activities within the projects include: 1. The organisation of and participation in international conferences, seminars and symposia and other types of cooperation in the field of SALW control. 2. Regular communication and cooperation with regional organisations such as the Centre for Security Cooperation (RACVIAC) and the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC).[40]
Fiji	Fiji's national coordinating mechanism is structured as an Ad Hoc Committee, which includes: • police • marine defence • military • customs, immigration and border control. The government's National Security Agency acts as the mechanism's coordinating agency.[41] Fiji's Defence Convention Unit in the Ministry of Defence also includes in its coordination strategy the monitoring of additional disarmament treaties and conventions.[42]
Saint Vincent and the Grenadines	Saint Vincent and the Grenadines does not have an officially designated agency for its national coordinating mechanism. However, under the leadership of the Ministry of National Security, the police have executed this function since 2009. The police force is responsible for coordinating and carrying out activities for SALW control in conjunction with other governmental units. These units include: • narcotics • tax collection • customs • Criminal Search Department • Immigration Department • Rapid Response Unit. The Regional Security System Special Branch was created and adopted by Antigua and Barbuda, Dominica, St Lucia and St Vincent and the Grenadines in 1992 as a hybrid organisation offering a collective response to security threats.[43] It established a two-way information system with the Regional Intelligence Fusion Centre; and this information is analysed and shared with other governmental entities, including parliament, by the Special Services Unit of the police. All the activities related to coordination are carried out by the Ministry of National Security and the Ministry of Foreign Affairs.[44] Currently, St Vincent and Grenadines does not have a regular military force and relies on the Regional Security System for national defence. Two paramilitary forces, comprising approximately 100 individuals, oversee internal security. To date, the state has not submitted any reports on the UNPoA.[46]

State	Practice
Sri Lanka	In Sri Lanka, the National Commission Against the Proliferation of Small Arms and Light Weapons in All its Aspects (NCAPISA) was established by the President in 2004 after the adoption of the UNPoA to deal with the proliferation of SALW in the country. The Commission has taken steps to make a comprehensive assessment of the problem in the country and to establish a national database on the civilian use of SALW.[47] The Secretary to the Ministry of Defence, Public Security, Law and Order acts as the chairman of the Commission. Senior officials from the following stakeholders participate in the work of the Commission: - Ministry of Defence - Ministry of Foreign Affairs - Department of Police - Attorney-General's Department - Two civil society representatives.[48] - Ministry of Public Administration and Home Affairs - Prime Minister's Office - Sri Lanka Army - Department of Customs Sri Lanka's participation in the UN General Assembly in 2016 served to reiterate the role of the NCAPISA in SALW control.[49] It also explained during the General Debate of the First Committee that the government oversaw drafting of the resolution entitled 'Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons Which May Be Deemed to Be Excessively Injurious or to Have Indiscriminate Effects' under agenda item 102. Sri Lanka presented this annual draft resolution in its capacity as the outgoing President of the Meeting of the High Contracting Parties to the Convention on Certain Conventional Weapons (CCW).[50]
Trinidad and Tobago	Trinidad and Tobago has established a national coordinating mechanism for the exchange of information between the various national institutions and organisations working on the implementation of SALW-related activities. The mechanism has been set up with clear objectives. It holds regular meetings for all relevant agencies to ensure the widespread participation of key stakeholders. During these meetings, all the participants share knowledge and work on the creation of strategies that can be implemented both together and individually.[51] Trinidad and Tobago's National Coordination Agency, known as the Strategic Services Agency, is responsible for: - providing policy guidance; - developing research; - monitoring efforts to prevent, combat and eradicate the illicit trade in SALW in all its aspects; - identifying and destroying any surplus stocks of weapons; - supervising and monitoring legally registered firearms; - integrating women and the engagement of civil society to help combat the spread of SALW; - collaborating with UN regional organisations, including the UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC) to assist the government with capacity-building measures and technical assistance programmes.[52] Trinidad and Tobago's law-enforcement agencies have strengthened their interdiction capabilities, resulting in the seizure of 585 SALW during 2014 and 315 SALW between January and June 2015. The national government is also conducting a review of existing firearm legislation, using the International Small Arms Control Standards (ISACS) to ensure that local legislation meets UN guidelines on firearms, ammunition, explosives and related materials in areas such as control, destruction and transfer.[54]
Moldova	Moldova established a National Commission for Arms Control and Disarmament Monitoring in 2007 as an advisory body.[55] Its purpose is to: - provide policy orientation, research and supervision aimed at more effective implementation of international commitments for the control of SALW transfers and disarmament; - develop an NAP, national reports and a national strategy on SALW control.[56] To develop the NAP, the Commission collaborated with public administration institutions and international organisations. This entailed the creation of working groups composed of representatives of ministries and other institutions.[57] Collaborations included the assessment and drafting of proposals based on problem-solving activities related to the control of exports, imports and transit of arms. Meetings are scheduled by agreement between the participants and are held at least once every six months.[58] In 2012, Moldova's UNPoA report showed that the Ministry of Internal Affairs was the main institution in charge of preventing, combating and eradicating the illicit trade in SALW. The NPC was assigned to the police, who report under the Ministry of Internal Affairs.[59]

1.2 THE NATIONAL POINT OF CONTACT (NPC)

The UNPoA, ATT and ITI all require each state to designate an individual or agency to liaise on all matters related to each instrument. This individual or agency becomes the NPC.

INTERNATIONAL OBLIGATIONS

Arms Trade Treaty – Article 5 General Implementation	UNPoA	ITI
5.6. Each State Party shall designate one or more national points of contact to exchange information on matters related to the implementation of this Treaty. Each State Party shall notify the Secretariat, established under Article 18, of its national point(s) of contact and keep the information updated.[60]	II.5. To establish or designate, as appropriate, a national point of contact to act as liaison between states on matters relating to the implementation of the Programme of Action.[61]	VI25. Designate one or more national points of contact to exchange information and act as a liaison on all matters relating to the implementation of this instrument.[62]
	III.2.[63] To ensure coordination, complementarity and synergy in efforts to deal with the illicit trade in small arms and light weapons in all its aspects at … national levels and to encourage the establishment and strengthening of cooperation and partnerships at all levels among international and intergovernmental organisations and civil society, including NGOs and international financial institutions.	VI31.[64] Provide the Secretary-General, through the Department for Disarmament Affairs of the Secretariat, with the following information, updating it when necessary: (a) Name and contact information for the national point(s) of contact.

WHAT IS A NATIONAL POINT OF CONTACT (NPC)?

The ATT, UNPoA and ITI all require each state to designate one or more NPCs. This person acts as a:

- liaison on all matters related to the implementation of these instruments;[65]

- key source of knowledge and expertise on the instruments in their country.[66]

The NPC refers to an individual or an institution, for example a ministry or national police force.[67] Where more than one NPC is designated, they should regularly share information and coordinate activities under the oversight of the national authority.[68]

For smaller states, and even some larger states, the NPC for one arms control instrument is the same designated officer responsible for other international instruments. For smaller states, this is often the same person for both the UNPoA and the ATT.[69] It is important to acknowledge that one individual may hold both portfolios to minimise challenges and maximise resources (e.g. improve expertise, knowledge, relationship-building, etc, but without straining human resources).[70] This can be beneficial in facilitating networking with stakeholders at the national, regional and international levels and because it reduces the risk of duplicating tasks and efforts.

WHAT ARE THE FUNCTION AND ROLE OF THE NPC?

The role of the NPC is not defined for either the UNPoA or the ATT. However, there are functions and roles that naturally fit with the NPC:

- The NPC eases the facilitation of communication, collaboration and partnership on the ATT and UNPoA between states, regional bodies and other entities.

- It also expands the government's knowledge of the instruments and encourages officials to uphold obligations and commitments.[71]

Over time, the designated NPC may need to perform the following additional roles:

- act as an initial point of contact for the international body serving each instrument; [72]

- provide expert knowledge of the country's successes, challenges and opportunities for implementing the instruments;

- represent the country's policies and views at an international level;

- draft policy documents, strategies and a national action plan for the national coordinating mechanism as well as the national reports required to be submitted to UNODA (UNPoA) and the ATT Secretariat (ATT);[73]

- act as a point of contact for regional bodies and neighbouring states that:
  - fosters collaboration;
  - enables effective information exchange;
  - shares best practices;

- communicate and share information with government, non-government and international organisations;

- coordinate training and awareness-raising activities with different agencies and stakeholders;

- be aware of funding or international cooperation opportunities—for example, when to submit project proposals for funds to the ATT Voluntary Trust Fund or when sponsorship funds for the meetings of States Parties are available, or to develop partnerships with possible donors.

TIP: This person may not know everything about the illicit flow of arms or the arms trade, but they should know the 'who', 'what' and 'where' in order to find out the information and have a good general knowledge of the country's conventional arms situation. The knowledge required to act as the NPC will depend on the country's arms profile.

UPDATE: The ATT States Parties have recently discussed, as part of the Working Group on Transparency and Reporting (WGTR), the matter of defining better the role of the NPC on reporting. It has also proposed that a contact list of NPCs be compiled in order to facilitate communication.

'The WGTR proposes that the 3rd Conference of States Parties mandates the ATT Secretariat to prepare a guidance document for National Points of Contact describing the role and possible tasks for that function, including that of ensuring that mandatory ATT reporting is prepared and submitted in a timely and complete fashion.' [74]

WHAT MAKES A GOOD NPC?

Although the criteria for what makes a good NPC or who should be the NPC have not been formalised, here are some possible requirements to do the job effectively:

- Have a good knowledge of the arms control systems and conventional arms challenges within the country.

- Understand the roles, responsibilities and operations of stakeholders (government, international organisations and civil society) within the country.

- Have knowledge of, or know where to find, political, legal and technical requirements related to the implementation of the instruments.

- Hold a senior position in the administration in order to be able to take part in (and preferably lead) decision-making processes and to communicate effectively on policy issues.

- Gain and maintain the confidence of all stakeholders.

- Be able to communicate with all relevant national and international stakeholders.

- Be capable of representing the state at international meetings related to the ATT and the UNPoA.[75]

IN WHICH AGENCY IS THE NPC LOCATED?

Many countries that have already established an NPC for either the ATT or the UNPoA, or both, have appointed an individual or an institution which is part of the Ministry of Foreign Affairs, the Ministry of Defence or the police.[76] The location of the ATT will differ from one state to another, and depends on government structure, size, work priorities and resources.

STATE PRACTICE: EXAMPLES OF WHERE THE NPC IS LOCATED

UNDP recommendation: The UNDP recommends that the NPC should be an institution instead of an individual so as to guarantee more stability and sustainability within the role.[77]

State	Location of NPC—UNPoA[87]	Location of NPC—ATT[79]	Individual or department/ministry
Australia	Conventional Weapons and Space Policy Section, in the International Security Division of the Department of Foreign Affairs and Trade. Responsibilities and activities for UNPoA implementation at the national level are shared at the federal and state level between different government divisions.[80]	Conventional Weapons and Space Policy Section, Department of Foreign Affairs and Trade.[81]	Individual and department
Belize	In its 2016 UNPoA report, Belize informed that its national coordinating mechanism has not yet been created and is in progress.[82]	No online report	—
Brazil	Disarmament and Sensitive Technologies Division, Ministry of Foreign Affairs[83]	Not an ATT State Party	—
Colombia	Ministry of Foreign Affairs[84]	Not an ATT State Party	Individual & ministry
Costa Rica	National Advisory Committee for the Control of Arms and Ammunition[85]	Ministry for Foreign Affairs [86]	Individual & ministry
Fiji	Ministry of Defence, National Security and Immigration[87]	Fiji is not an ATT State Party; however, the Ministries of Defence, National Security and Immigration have participated in ATT meetings and have been the main liaison with civil society[83]	Individual & ministry
The Gambia	Ministry of Defence and Ministry of Foreign Affairs[89]	Not an ATT State Party	Department
Guatemala	Multilateral Policy Directorate, Ministry of Foreign Affairs[90]	New State Party; no report available	—
Grenada	The Prime Minister's Ministry[91]	No report available online	—
Jamaica	Ministry of National Security[92]	Ministry of National Security[93]	Individual & ministry
Japan	Conventional Arms Division, Disarmament, Non-proliferation and Science Department, Ministry of Foreign Affairs[94]	Conventional Arms Division, Disarmament, Non-proliferation and Science Department, Ministry of Foreign Affairs[95]	Department
Liberia	Ministry of Defence and Ministry of Foreign Affairs; Liberia National Commission on Small Arms (LiNCSA)[97]	LiNCSA[98]	Commission
Maldives	Department of International Defence Cooperation & Policy, Ministry of Defence & National Security[99]	Not an ATT State Party	—
Nigeria	Defence Headquarters (Ministry of Defence)[100]	Unknown; report not available online. However, Ambassador Imohe, the Chairman of the Nigeria Presidential Committee on Small Arms and Light Weapons, was the President of the ATT in 2016	—
Palau	No NPC designated with UNODA[101]	Not an ATT State Party. However, Palau has completed an ATT-BAP Survey in which it names the Ministry of Interior for imports and exports, the Ministry of Finance and the Attorney General's Office.[102] Informally, Palau does have people responsible within the Ministry of State and the Ministry of Justice.	Individual & department
Thailand	Ministry of Foreign Affairs[103]	Not an ATT State Party	Individual & department
Vanuatu	Treaties & Conventions Division— Department of Foreign Affairs, International Cooperation and External Trade[104]	Not an ATT State Party, however, the Treaties & Conventions Division of the Department of Foreign Affairs, International Cooperation and External Trade have liaised with regional bodies and civil society on the ATT[105]	Individual & department
Venezuela	Although Venezuela does not have a formal coordination body or an appointed individual, the Department of Arms and Explosives of the Armed Forces is in charge of all issues and responsibilities related to SALW and the UNPoA[106]	Not an ATT State Party	Department

* For a list of UNPoA national points of contact, go to: <http://www.poa-iss.org/Poa/NationalContacts.aspx>.
** For information on ATT national points of contact, refer to each State Party's annual reports.

WHAT ARE THE CHALLENGES TO ESTABLISHING OR BEING AN NPC?

Many states have nominated and actively use their NPCs to liaise with other governments, the ATT Secretariat and UNODA. However, challenges to establishing or being an NPC have arisen. These include incorrect or missing contact details; confusion about who holds the NPC position and the appointment of an appropriate person. Each of these is detailed below.
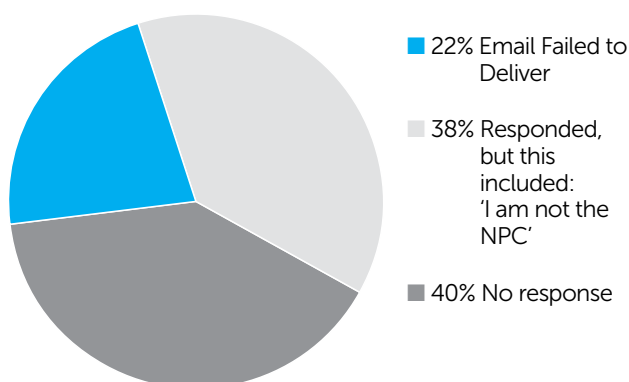
Incorrect or missing contact details

Both the ATT Secretariat and the UNODA keep a list of NPCs for each corresponding instrument in order to facilitate communication. In many cases it is unclear who the NPC for each state is. This is because:

- the state has not designated the portfolio to an individual;

- the individual is unaware that they are the responsible NPC; or

- the state or individual has not informed the ATT Secretariat or UNODA of updated details.
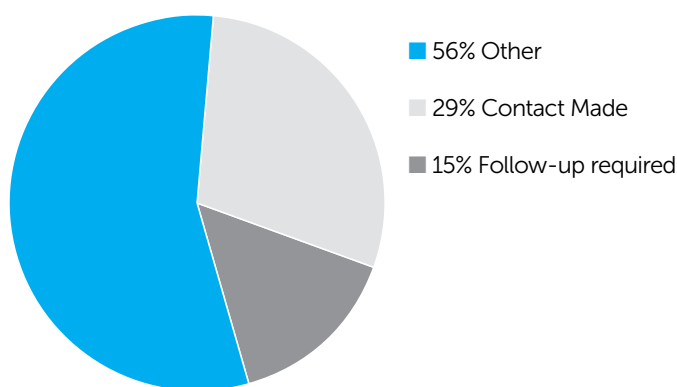
A variety of states on the UNODA website show either incomplete or out-of-date information,[107] often due to ever-changing positions of government officials.[108] This is problematic when the UN and other international bodies, regional bodies or civil society attempt to contact the responsible portfolio-holder with a view to collaborate, form partnerships, share experiences or resolve mutually relevant conventional arms challenges.[109]

In 2010 the Small Arms Survey tried to connect with 146 of the 151 points of contact listed on the UNODA PoA-ISS website.[110]

Of the 122 NPCs they emailed:[111]

Of the 126 telephone calls to 110 NPCs: [112]

- 22% Email Failed to Deliver
- 38% Responded, but this included: 'I am not the NPC'
- 40% No response

- 56% Other
- 29% Contact Made
- 15% Follow-up required

Source: Reproduced from data provided in Sarah Parker 'National Implementation of the United Nations Small Arms Programme of Action and the International Tracing Instrument: An Analysis of Reports in 2009-10' (Small Arms Survey, Working Paper, Interim Version, June 2010) 30. <http://www.poa-iss.org/MGE/Documents/Index/SAS-AnalysisofReporting.pdf>.

Confusion about who holds the position

Some countries nominate multiple NPCs for one instrument and different NPCs for different instruments. This can confuse stakeholders as to who is responsible for the implementation of which instrument. The NPC for the implementation of the UN-ITI tends to be the same individual or institution as for the implementation of the UNPoA or the ATT. Some states identify the NPCs responsible for UNPoA implementation as different from those in charge of the ITI, even if both roles are performed by the same institution.[113] For example, in 2010 Colombia had two NPCs covering the implementation of the UN_ITI, while one of these NPCs also implemented UNPoA activities.[114] Colombia has since changed this and its latest UNPoA report shows only one NPC for both the UNPoA and the UN-ITI, reporting under the Ministry of Foreign affairs.[115]

Appointing the appropriate person

Without clear guidelines on what the NPC is expected to do or criteria for the expertise and skills the NPC should have it is difficult to appoint the appropriate person. Below is a list of recommendations for overcoming the challenges presented.

Recommendations for overcoming challenges:

- Each state should register or update the details of their UNPoA NPC with UNODA and determine whether their ATT NPC is also included on the ATT Secretariat distribution list. Registering and updating the details of the NPC is important as it helps the UN, the ATT Secretariat, other governments and civil society to contact the individual responsible for coordination.

- NPCs and governments should clearly identify who is responsible for implementing the respective instruments and communicate this to stakeholders.

- Governments need to make sure the entity or individual designated as NPC has appropriate resources to adequately fulfil the role.

- The NPC should not be responsible for implementing other instruments which unduly compete for attention.

- Defining these criteria and responsibilities will clarify the role across the network of NPCs.

1.3 DEVELOPING A NATIONAL ACTION PLAN

Implementation of the ATT and the UNPoA requires an integral plan to prevent, reduce and eliminate the illicit trade in conventional SALW at the national, local and international levels. (Refer to the introductory table above for ATT and UNPoA definitions and differences.) This plan is known as a national action plan (NAP).

An important task for the national coordinating mechanism is to follow all stages of an NAP, from drafting the national strategy through implementation to monitoring and evaluation of the results and outcomes. The coordinating mechanism should draw up a plan in consultation with international partners and with cross-government partners. Before an NAP is implemented, it is usually reviewed and approved by parliament, which at the same time evaluates the resources available, the responsibilities and oversight, and considers the lessons learned from other countries.[116] It is important that the NAP allocates adequate funds to enable its activities. To so this, it must calculate a budget before parliament evaluates the plan.

Some larger states may have separate NAPs or separate implementation strategies for the ATT and the UNPoA. This could be the case particularly if they are not yet a State Party to the ATT. For some smaller states with minimal capacity, or where illicit arms come from both internal and external sources, creating an NAP to include effective implementation of both the ATT and the UNPoA is an efficient use of time and resources. This approach also allows states to analyse the entire arms flow system and identify gaps in both trading controls and internal controls.

The NAP should provide an implementation time-line that includes short, medium and/or long-term activities as well as the definition of goals for each term. There is no single model for how to set up an NAP: states have chosen many different ways to analyse, draft, implement and review an NAP which aims to implement the ATT and the UNPoA effectively.[117] Below we collate some resources to simplify the process of developing an NAP for smaller states with minimal capacity.

WHAT IS THE PURPOSE OF AN NAP?

The purpose of developing and implementing an NAP can vary from country to country, depending on each country's needs and potential financial and human resources. As a guide, here is a list of possible reasons for developing an NAP:

- Coordinate in a strategic way the different pillars of the ATT and the UNPoA.[118]

- Provide a blueprint for responsibilities and activities that will make the plan effective.[119]

- Determine the financial and human resources required to address armed violence and prevent the illicit proliferation of SALW.[120]

- Decrease the number of crimes and violent deaths, including homicides, suicides, accidents and injuries which involve the misuse of conventional arms.[121]

- Prevent criminals, terrorists and illegal armed groups from gaining access to firearms and other conventional weapons.[122]

- Prevent the diversion of SALW and other conventional arms from legal trade to the illicit market, including through the examination of legitimate distribution, effective stockpile security and certified end-use of the transfer of arms at the national and international levels.[123]

- Create awareness about the negative effects of the illicit trade in and illegal use of SALW in society, including encouraging the participation of civil society in such activities.[124]

- Successfully control and monitor legal SALW in the process of applying national laws, international norms and administrative measures.[125]

- Develop or review the national legal framework to address illicit trade, excessive stockpiling and misuse of conventional arms.[126]

- Control the collection and recovery of diverted, lost or looted conventional arms.[127]

- Provide a level of security and safety in the country, and increase it.[128]

- Develop an effective reporting system for the UNPoA and the ATT to increase the country's transparency and reliability.[129]

- Create law enforcement procedures that deal with corruption in arms transfers at both the national and the international level.[130]

- Increase capacity to detect and tackle violations of laws and international norms pertaining to implementation of the ATT.[131]

GOALS AND OBJECTIVES OF AN NAP

An NAP involves the definition of goals and strategic objectives that are:

- clear

- attainable, and

- measurable.[132]

The formulation and shaping of the NAP goals depends on a variety of factors and current government policies on arms control and non-proliferation.[134] The defined goals of an NAP need to take into account:

- the availability of financial and human resources;

- the socio-political circumstances and variations affecting the environment;

- the external changes that could affect the development and progress of planned activities;

- changes to the time-lines and deadlines set down by international agreements and processes.[135]

The objectives of an NAP could include:

- outlining the needs and focus of the country's priorities in arms control (e.g. exporter vs importer vs transit or transshipment state);[136]

- preparing all relevant legislation, regulations, administrative procedures and capacity for enforcing law and order to ensure that the obligations of the instrument are implemented effectively;[137]

- assigning a structure to a coordinating body, providing oversight of the body and identifying resources for it;

- assigning roles and responsibilities to different government entities, then determining how they should report to the central coordinating agency or NPC;

- setting time-lines and detailed milestones for action. For example, 'Set up a national import licensing system by June 2018';[138]

- reviewing state compliance with the UNPoA and the ATT;

- identifying methods for collaborating and working with the international body responsible for the instrument;

- reviewing and creating synergies with other international instruments such as the Sustainable Development Goals (SDGs);

- monitoring and evaluating the effectiveness of ATT and UNPoA implementation;

- providing an operational structure for determining administrative procedures. For example: facilitating permits, documentation, licences and end-user certificates for imports, exports, transit, brokering and transfers.[139]

TIMEFRAME OF AN NAP

There is no rule for the timeframe of an NAP. For example, an NAP could be carried out over one to five years, with 12 months being perhaps the shortest period for implementation.[140] Likewise, it needs to contain ambitious but attainable time-lines that match agreed objectives and goals.[141] Regardless of the length of an NAP, it is important that it identify appropriate timeframes for implementing activities and processes. Government officials and other stakeholders participating in implementation should be flexible enough to adapt the implementation timeframe when needed—while carrying out an assessment and a follow-up process that facilitates adaptations.[142]

MONITORING AND EVALUATION

The development of an NAP is a significant first step towards strengthening the work undertaken and the efforts made to build a comprehensive national coordinating mechanism. A strong NAP must be matched by effective implementation, which should be Modified and adapted following lessons learned and challenges identified.[143] Therefore, monitoring and evaluating the success or weaknesses of the implementation of an NAP is important in order to determine progress made and outcomes realised. Such monitoring and evaluation requires a coordinated reporting mechanism that can be used by all the stakeholders involved to report back on their work, progress and activity, and to ensure their accountability.

Regular monitoring during implementation should include a number of activities that measure whether the NAP is:[144]

- meeting the deadlines proposed in the timeframe;

- keeping in line with the budget originally set;

- easy to access, clear, and supported by the general public;

- meeting the goals and expectations of stakeholders and beneficiaries.

At the same time, the national coordinating mechanism tasked with implementing the NAP should:

- be informed of any changes and failures that occur during implementation; and

- act to overcome any weak strategies, including changing required goals, objectives and/or activities in the NAP.[145]

To measure the impact of an NAP, an evaluation is carried out once implementation has been completed. The evaluation should:

- determine whether the goals and objectives were achieved, and to what extent;

- describe the direct and indirect impacts affecting the NAP;

- categorise the participants involved, such as women, men, children, young people, and the impact on each;

- identify lessons learned to inform future implementation.[146]

In addition, the monitoring and evaluation processes require states to:

- carry out processes for regular analysis and assessment and include them as part of the NAP timeframes with deadlines and milestones;

- provide an external challenge, that is, consult NGOs to ensure that the system benefits from public consensus;

- provide parliamentary oversight;

- carry out the monitoring independently of elected politicians;

- analyse the challenges and understand the additional steps that need to be taken in order to improve implementation and achieve their goals;[147]

- make provision for constant feedback from stakeholders such as civil society and communities at the local and national levels.

STATE PRACTICE: EXAMPLE OF A MONITORING AND EVALUATION PROCESS

The following example illustrates how a state can develop criteria for monitoring and evaluating the effectiveness of its NAP:

State	Practice
Republic of Kosovo	The Republic of Kosovo used the following final indicators for the monitoring and evaluation process of its NAP (2013–2016):[148] • The number of laws and acts that were implemented after the confirmation of the strategy • Structures established • The number of agreements and cooperation commitments signed with other countries at the bilateral and multilateral levels • Monitoring and evaluation reports • The number and percentage of people informed about issues concerning incorrect use of SALW[149] • The number of illegal SALW collected • The proportion of demand for SALW • The number of reported armed violence cases • The street price of illegal firearms and other weapons • The number of legal cases related to the misuse of SALW handled by police, prosecutors and courts • The number of complementary activities implemented.[150]

WHAT ROLE DOES THE NATIONAL COORDINATING MECHANISM PLAY IN IMPLEMENTING AN NAP?

A national coordinating mechanism is responsible for the design and implementation of an NAP. At the same time, creating mechanisms at the local and municipal levels is important to support the national mechanism. In regard to the NAP, the national coordinating mechanism is responsible for:

• coordinating the implementation and building of leadership strategies to develop an NAP;[152]

• delivering and updating the NAP;[153]

• promoting a developed NAP to government entities, international and regional organisations, academia and civil society, among others;[154]

• ensuring that resources are property allocated and that tasks are not duplicated;[155]

• ensuring effective communication between all participants in the NAP;[156]

• liaising with international partners in NAP implementation and sharing best practices;[157]

• holding all NAP implementation agencies accountable for their responsibilities;[158]

• organising and coordinating effective monitoring of the NAP;[159]

• executing the final NAP evaluation to determine next steps.[160]

WHICH INDIVIDUALS, BODIES OR AGENCIES SHOULD BE INVOLVED IN THE DEVELOPMENT, IMPLEMENTATION AND EVALUATION OF THE NAP[161]

The following are examples of bodies or agencies that could or should be involved:

• National point of contact[162]

• National coordinating agency[163]

• Customs, immigration and border control agencies

• National Security Council

• Ministry of Defence

• Ministry of Foreign Affairs

• Ministry of the Interior/Internal Affairs/Home Affairs

• Ministry of Education

- Ministry of Planning
- Ministry of Finance/Economic Affairs
- Ministry of Justice
- Ministry of Health
- Ministry of Trade and Industry
- Ministries of Land, Energy and Mines
- Ministry of Gender and Youth Affairs
- Ministry of Tax and Customs
- Ministry for Tourism
- Ministry for Decentralisation
- Ministry or Department of Wildlife/Natural Resource Management
- Office of the Attorney-General
- Office of the President or Prime Minister
- Police
- Military
- Correctional or prison services
- Aviation regulators
- Anti-corruption bodies
- Intelligence services
- Parliamentary commissions
- Public health agencies
- Local government representatives
- Civil society representatives, including youth-led and women's organisations
- UN supporting agencies (as chief technical advisor, if directly supporting a national programme)

STEPS TOWARDS DEVELOPING AN NAP

The layout of an NAP is characterised by ongoing and changing processes. The plan should include the following steps or sections:[164]

1. Introduction
2. A descriptive analysis of the country context concerning conventional arms
3. Aims and goals of a national intervention for the control of conventional arms[165]
4. Objectives for the operation of the intervention
5. Review of existing and proposed legislation and international conventions
6. Availability of resources
7. List of priorities for tackling issues of conventional arms
8. Description of operational activities such as disarmament processes, stockpile management, marking and record-keeping, tracing illicit small arms and light weapons, etc.
9. Definition of participants and designation of authorities involved in implementation, with responsibilities assigned to each[166]
10. Resources required to mobilise operational activities
11. Activities required for monitoring and evaluation
12. System for developing partnerships and attracting sponsors
13. Reporting system and communications strategy.[167]

National Action Plan--A Template

This table can be used as a template for developing a National Action Plan. After making any local adaptations it should be shared with all members of the National Coordination Mechanism to ensure that each agency and ministry is on the same page. Every party and stakeholder involved--particularly NPCs--would then be guided by the agreed NAP.

This template, adapted from the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons National Action Plan template[168] and ISACS 04.10 Annex D,[169] is framed under the ATT and UNPoA instruments for elaboration. It includes functional areas and goals, objectives, tasks and activities, the national coordinating agency in charge, ongoing monitoring and evaluation, a timeframe for each activity and additional information.

International Instrument(s)	Functional Area	Goals/Objectives	Strategies/Tasks	Responsible Implementation Agency	National Coordination Agency/Body	Additional Stakeholder(s)	Monitoring and Evaluation	Time Frame including deadline(s)	Resources needed	Remarks
ATT / UNPoA	Cross-border controls (air, sea, land)	• Decrease the diversion of conventional arms to the illicit market. • Reinforce transfer/transit controls of conventional arms and their ammunition across international borders and prevent the trafficking of illicit SALW	• Develop a plan to control the illicit transit/transfer of SALW across national borders	Customs, border protection, police, military	Ministry of Foreign Affairs, Ministry of Defence, Ministry of Finance/Taxation, border protection agencies		Monitoring and evaluation should be ongoing through the cycle of the NAP, to: • Monitor against the primary indicators in relation to conventional arms	Months 1-3		
	Legislative and Regulatory Reform	• Review laws, regulations and administrative measures to • Strengthen SALW control issues including civilian access, manufacture, domestic trade, marking and record keeping, among others; • Facilitate activities under the NAP such as weapon amnesties integrated into collection programmes	• Create a committee to draft legal documentation • Examine previous SALW control legislation and identify gaps • Create a national SALW commission	Ministry of Interior, Office of the Attorney-General	Ministry of interior/ Ministry of Justice/ Attorney General's Office	All agencies that implement the regulations identified	• Prepare a report on the advance of outcomes and objectives during implementation • Submit periodic reports to the National Coordinating Agency • Coordination agency to facilitate roundtable discussions with diverse stakeholders including civil society and industry. Stakeholders provide inputs to the reports based on their own implementation experiences	Months 2-4		Include additional amnesty demands to support a plan for the collection of SALW
	Stockpile Management	• Secure national stockpiles of SALW and ammunition in general and those owned by armed forces, law enforcement agencies, SALW sellers and companies working in the private security area.		Police, military, correctional services	Ministry of Interior/ Ministry of Defence				• SALW registration software and supportive hardware for effective stockpile management	
	Collection and Destruction	• Eliminate/destroy illicit, unused and surplus arms and their ammunition... • Provide support to those affected physically, psychologically and/or economically by violence provoked with SALW		Police, military, correctional services	Ministry of Interior/ Ministry of Defence	Ministry of Interior			• Budget for preparation of weapons for smelting • Capacity building and development from international experts • High quality equipment and training in alternative techniques	
	Victim Support			Ministry of Health Ministry of Youth Ministry of Women	Ministry of Interior	Civil society, police				
	Capacity building / development									
	Community Safety Programming									

STATE PRACTICE: EXAMPLES OF STEPS TAKEN TO DEVELOP AN NAP

State	Practice
Burkina Faso, Cameroon, Côte d'Ivoire, Mali, Niger, Nigeria, South Sudan, and Tunisia[170]	ATT States Parties: Burkina Faso, Côte d'Ivoire, Mali, Niger, Nigeria ATT signatories: Cameroon Neither signatory nor State Party: South Sudan, Tunisia Project timeframe: 01/01/2015–31/12/2016 Implementing agency: Small Arms Survey (SAS) Place: Addis Ababa Participants: 22 Sponsor: UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) Description: 'Roadmaps for Harmonized PoA and ATT Implementation'[171] Goal: Enhance capacity for effective small arms control and UNPoA implementation. [172] During a two-day training session on international control instruments for SALW, the Small Arms Survey developed national roadmaps to harmonise the ATT and the UNPoA for participating countries. The purpose of the training and meetings was to develop a roadmap for implementing the UNPoA and the ATT adapted to the context, resources and limitations of each country. In 2015, the project included the participation of Nigeria and South Sudan together with other missions that helped to complete the roadmaps in 2016.[173]
Colombia[174]	ATT signatory country: 2013 ATT ratification: Not yet Adoption of the NAP: 16 March 2009 NAP authorities: Colombia's National Coordination Committee is integrated by including: • Ministry of Interior and Justice • Ministry of Foreign Affairs • Ministry of National Defence • Ministry of Commerce, Industry and Tourism • Director of the Administrative Department of Security • General Commander of the Armed Forces • National Police Director • General Director of Customs and Tax General Direction • Ministry of Defence, General Directorate of Military Industry.[175] Colombia is not yet a State Party to the ATT. However, it has reported several advances with its implementation of the UNPoA.[176] Colombia's National Coordination Committee adopted an NAP to Combat Illicit Proliferation of SALW in March 2009. The NAP was implemented by working groups established to take responsibility for formulating a national policy, institutional strengthening at the borders, capacity-building, reinforcing the registration and control of arms, peacebuilding and international cooperation.[177] Specific NAP objectives included: • elaborating a diagnosis to evaluate the general situation on SALW control;[178] • designing a national policy to combat the illicit trade in SALW in all its aspects, based on the previous diagnosis; • strengthening institutions in border areas through the elaboration of a pilot project to meet identified needs, and to monitor and control the illicit trafficking of firearms, ammunition and explosives in border areas;[179] • building the capacity of human resources through courses coordinated with the United Nations Organisation on Drugs and Crime (UNODC), and prior identification of the needs of entities;[180] • fortifying the registration and control of SALW, in particular the development of a project that contemplates the adoption of technological and operational processes for the creation of a Unified Information System for Decommissioned Weapons (SUITIA);[181] • promoting a culture of voluntary citizen disarmament, developed through a national strategy and awareness campaigns on issues of voluntary disarmament and sensitisation on armed violence;[182] • designing a national program for promoting a peace culture and peaceful solutions to differences with the active participation of local authorities in its process of elaboration and its diffusion and application. Since 2012, Colombia has been a part of national and international activities for involving cooperation and assistance with respect to the ATT. These activities include both the building of institutional capacity and providing legal, technical and financial assistance for transfer controls—including end-use controls and export risk assessment.

State	Practice
Colombia (Continued)	Seven of the activities included tracing and marking and a further three covered inventory and stockpile management. Furthermore, Colombia has consolidated some strategic alliances with the international community to provide capacity-building for implementing participants at all levels as soon as the ATT is ratified.[183]
	Challenges faced by Colombia in implementing the ATT have encouraged Colombia to consolidate its strategic partnerships with the international community by requesting assistance in the training and capacity-building of personnel at all levels in order to start implementing the ATT efficiently once it is ratified.[184]
	Colombia has also participated in activities related to the UNPoA. For example, representatives of Colombia participated in the conference 'Armed violence and vulnerable populations: Improving arms control and violence prevention in Bolivia, Colombia, Ecuador and Peru' held in Bogota, Colombia, on 26–27 October 2016. The conference was organised by the Arias Foundation for Peace and Human Progress and the National Network of Citizen Initiatives for Peace and Against War in Colombia (REDEPAZ).[185]
	Colombia's active involvement in activities aimed at developing ATT implementation demonstrates a step towards that goal as part of Colombia´s NAP and the UNPoA.
Malawi, Tanzania, Swaziland[186]	ATT signatory country: Malawi, Tanzania, Swaziland ATT ratification: None Project timeframe: 01/02/2014–31/12/2014 Place: Swaziland, Tanzania and Malawi (only a preliminary meeting held in Lesotho due to political circumstances).[187] Implementer: Institute for Security Studies (ISS) Target countries: Tanzania, Malawi, Swaziland, (Lesotho) Description: The project aimed to provide ATT and UNPoA implementation and compliance support to promote human security in Africa by providing technical and capacity-building assistance to governmental, intergovernmental and non-governmental organisations participating in the ratification of the ATT.[188]
	Some of the activities included a Roadmap for ATT Ratification in Malawi aimed at: • creating a working group composed of experts to monitor the process of ATT ratification and adaptation;[189] • coordinating advocacy meetings for stakeholders on comprehending and implementing the ATT; and a separate meeting for officials of government ministries, including:[190] • Secretariat of Parliament • Malawi Defence Force Commander • Inspector General of Police • academic representatives; • creating and supplementing a database contact list containing information on key stakeholders;[191] • producing a draft that included activities, responsibilities and time-lines for processes following ATT ratification and adaptation.[192]
	The meetings carried out in the different countries as well as the elaboration of a Roadmap for the Ratification of the ATT in Malawi are part of the initial steps for the elaboration of an NAP that include linking the regional support of neighbouring countries. Incorporating the drafting of an NAP as part of the activities obliges countries to start developing their own strategy, including the assignation of roles and timeframes for each activity. Doing so also ensures that all processes will lead to the ratification and domestication of the ATT as part of the UNPoA at the national level.
Maldives[193]	ATT signatory country: No ATT ratification: No Project timeframe: August–September 2015[194] Place: Malé, Maldives Sponsor: Government of Maldives in partnership with UNSCAR Implementer(s): United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) and the Government of the Maldives[195] Description: UNRCPD implemented a technical and legal assistance project to support the implementation of the UNPoA and the ATT for the Maldives. The purpose of the project was to strengthen the maritime security of the Maldives by facilitating legal and technical assistance to the government for implementing the UNPoA and building its capacity as it moved towards the adoption of the ATT.[196]

State	Practice
Maldives (Continued)	Activities: The project consisted of three phases: • A consultation meeting - Over four days, international experts and representatives of the Regional Centre held consultations with stakeholders and representatives of ministries and other government institutions that work on the control of conventional arms. The objective of the meeting was to ascertain and evaluate the government's requirements for legal and technical assistance.[197] • Recommendations from experts - The process aimed to adapt national regulations for international arms transfers so they would comply with international standards. The experts examined maritime border controls, stockpile management and physical safety operations and provided recommendations on legislation, regulation and technical procedures.[198] • Final visit - Over two days, international experts introduced their evaluation and recommendations to government officials. This was to strengthen the government's capacity to control SALW and other conventional arms, mainly in the maritime space.[199] This example is a good reference because it focuses on maritime security, something that is important for the implementation of the ATT. Other states who face maritime security challenges may wish to consider the effectiveness of this project. It also provides a good example of the steps that need to be taken to develop an NAP, as well as the need to evaluate and detect the current system before an NAP can be developed. At the same time, this example provides a comprehensive view by including specific timeframes. Three days was allowed for consultation with stakeholders and experts; two months to review diverse functional areas and provide recommendations. Finally, this example also demonstrates how the incorporation of experts can be useful throughout the formulation of an NAP process.
Namibia[200]	ATT signatory country: Yes ATT ratification: No Implementing agencies: Saferworld and SaferAfrica[201] In Namibia, the civil society organisations Saferworld and SaferAfrica assisted the National Freedom Party (NFP)[202] in carrying out an integral assessment or mapping of small arms control issues in order to analyse, assess and inform the development of an NAP for SALW control. The NGOs facilitated workshops together with law enforcement agencies and CSOs in all 13 regions of Namibia and carried out a survey among more than 3,000 members of the public. Saferworld and SaferAfrica carried out capacity-building training sessions for NGOs in Namibia on issues regarding SALW and solutions that can be implemented.[203] The NAP outlines action on a range of issues, including:[204] • education and awareness-raising • stockpile management • training and capacity-building • border controls • policy and legislation. In this example, key to the development of an NPA was inclusion and training of civil society and local NGOs regarding the implementation of the NAP.[205] In 2013, Namibia carried out a regional parliamentary workshop 'Addressing the Illicit Trade in Small Arms and Light Weapons and Supporting an Arms Trade Treaty – The Role of Parliamentarians'. The workshop brought together 40 Members of Parliament from 12 African countries, who agreed to adopt the Windhoek Plan of Action designed to promote greater conformity with the UNPoA and support for the ATT.[206] Although the Windhoek Plan of Action aims to build regional capacity for the implementation of the ATT and UNPoA, Namibian parliamentarians, together with other country participants, committed themselves to executing activities at the national level as well. Here, the plan of action required parliamentarians to: • advocate constructive and positive engagement by the national government in support of a strong ATT, through meetings, correspondence and other means of communication; • promote greater awareness of the ATT among the population at the national level and the need for its swift adoption; • promote the Windhoek Plan of Action with neighbouring countries in order to support the adoption of the ATT; • ask national governments to provide adequate resources for ATT implementation; • review legal and regulatory compliance with the UNPoA and identify possible areas where national law can be formulated or improved to reach compliance;

State	Practice
Namibia (Continued)	• submit detailed national reports on the implementation of the UNPoA and the UN Register on Conventional Arms; • advocate prompt signature and ratification of the ATT by respective governments; draft and introduce legislation necessary to give it effect without undue delay.[207]
Philippines[208]	ATT signatory country: Yes ATT ratification: No Project timeframe: January–March 2017.[209] Implementing agency: UNRCPD Place: Manila/Quezon City Participants: Office of the Special Envoy on Transnational Crime, the Office of the Executive Secretary of the President, the Senate Foreign Relations Committee, the Philippine National Police and the Bureau of Customs, including the Manila International Container Terminal.[210] Description: The purpose of this project was to strengthen the national capacity of the Philippines to control transfers of SALW, including other conventional arms, and to prevent their illicit trade and diversion. It provided the government with technical and legal support to carry out the implementation of the UNPoA as well as to support its ability to ratify the ATT.[211] This would provide a strategic framework for developing an NAP. The project involved: • an evaluation process carried out in Manila from 24 to 27 January 2017 with UNRCPD representatives and the participation of a technical and a legal expert. The experts carried out desk reviews and proposed recommendations on strengthening laws, regulations, rules and administrative instructions, as well as technical procedures and practices, including standard operating procedures.[212] • the experts introducing and presenting these recommendations, evaluations and review outcomes to government representatives during the discussions in March 2017.[213] Following this workshop, in April 2017 the Office of the Special Envoy on Transnational Crime held a consultative meeting during an event called Drafting of the National Action Plan (NAP) to Combat Illicit Proliferation of Small Arms and Light Weapons (SALW) Commences.[214] The meeting served to develop an NAP to analyse and facilitate the implementation of the UNPoA on SALW. Participants included: • Bureau of Customs • Department of Foreign Affairs • Department of Trade and Industry, Strategic Trade Management Office • Philippine Coast Guard • Philippine National Police, Firearms and Explosives Office • Philippine National Police, Directorate for Plans.[215] The capacity-building activities carried out in January and the consultative meeting in April served as initial steps to continue developing a strategy for the creation of an NAP for the Philippines. This provides a notable example of how states can work with international organisations and regional bodies such as the UN and its regional centres. It also illustrates the different agencies that were involved in this initial planning stage. They include both ministries as well as implementing agencies such as the Philippine Coast Guard.
Uganda[216]	ATT signatory country: Not yet ATT ratification: Not yet Duration: National Action Plan 2011–2015 Participants: NAP implementing institutions: • Ministry of Defence • Ministry of Internal Affairs • Police • Prisons • Immigration • President's Office of the Internal Security Organisation and the External Security Organisation • Office of the Prime Minister • Ministries of Transport and Communications, Local Government, Justice, Foreign Affairs, Trade and Industry, Finance, Planning and Economic Development, Education and Sports, Information and National Guidance, Labour, Gender and Social Development • Uganda Wild Life Authority • Civil society organisations.[217]

State	Practice
Uganda (Continued)	In addition, the participants included: • Regional and district structures • Development partners • SALW end users (private security organisations, licenced SALW holders, firearm dealers, shooting clubs and others) • Ex-combatants (reporters, war veterans, etc) • Reserve forces/retirees.[218] This NAP was developed through several stages:[219] • Desk review of the performance of the previous NAP • Stakeholder consultations with key implementing institutions • Consultations with implementing structures. The focus areas of the review process included:[220] • Assessing the performance of the NAP 2005–2011 • Addressing challenges and lessons learned • Consideration of new actors relevant to the SALW process • Incorporating technological developments in management of SALW • Accommodating emerging issues • Expanding the scope of the SALW process • Review of performance by actors. This resulted in key shared interdepartmental objectives in the NAP 2011–2015. The NAP goals include:[221] • Prevent, control and reduce the proliferation of SALW • Enhance the capacity of the national focal point (NPC) in the management of SALW • Educate and sensitise the community on small arms issues • Involve a cross-section of stakeholders to contribute to the SALW control process.[222]

WORKING WITH CIVIL SOCIETY

Civil society can be a useful collaborative partner in creating a roadmap that leads to developing an NAP. Such partnerships have also taken place in the Pacific, where the Pacific Small Arms Action Group (PSAAG) developed roadmaps with Fiji, Solomon Islands and Papua New Guinea.[223]

In a two-day workshop PSAAG, the respective governments and multi-agency representatives identified gaps in current internal and external controls and highlighted priority areas that should be dealt with in the short-term goals of the NAP. To identify gaps, it was important to review the obligations of the ATT and the UNPoA with all the agencies involved in small arms control: immigration, border control, Ministry of Defence, Ministry of Foreign Affairs, the armed forces and police. PSAAG used the ATT-BAP to review requirements of the ATT and the UNPoA reporting template to review the current status of implementation.[224]

For example, as Fiji had no centralised database system it was not possible to quantify or to understand arms flows across borders. Fiji also identified a gap in current legislation, which did not take account of arms brokers.[225] Together with CAVR and PSAAG, the government developed a two-year plan to review legislation and draft legislative amendments, as well as scope a centralised database system.

These projects demonstrate the value of governments partnering with civil society organisations who use a range of tools to guide officials through gap analysis, then to identify next steps. Examples are to be found in the outcome document of the Solomon Islands workshop.[226]

Role of regional organisations and the UN in the NAP process

At the request of a host government a range of international, regional and subregional organisations may be involved in helping to develop an NAP. Their roles can be as implementing partners, donors and enablers of political support. However, the host government must take the lead by making important decisions to ensure sustainability.[227] The examples above demonstrate the types of organisation that can be involved and the manner and extent to which they can assist.

1.4 CONCLUSION AND RECOMMENDATIONS

This section has outlined the role and responsibilities of the national coordinating mechanism, the national coordinating agency and the NPC. It does so by providing suggestions about who should be involved and how, and encourages discussion by using examples. To build a strong national control system, the national coordinating mechanism requires a comprehensive NAP that closely considers the context of each state. Embedded in the section are the following recommendations to help build and improve a national coordinating mechanism to implement the ATT and the UNPoA:

1. Identify the responsible agency to coordinate the national coordinating mechanism.

2. Appoint an NPC for both the ATT and the UNPoA. If an NPC is not appointed, press for an official appointment.

3. Set up the national coordinating mechanism in a structure, such as a commission, working group or committee, to suit the government's resources, priorities and challenges in preventing the flow of illicit arms.

4. Establish methods and procedures for inter-agency coordination, including appointing a lead agency, an NPC, and developing an NAP.

5. Use internal and external partnerships to help develop and implement the NAP.

Role of stakeholders in the implementation of national control mechanisms
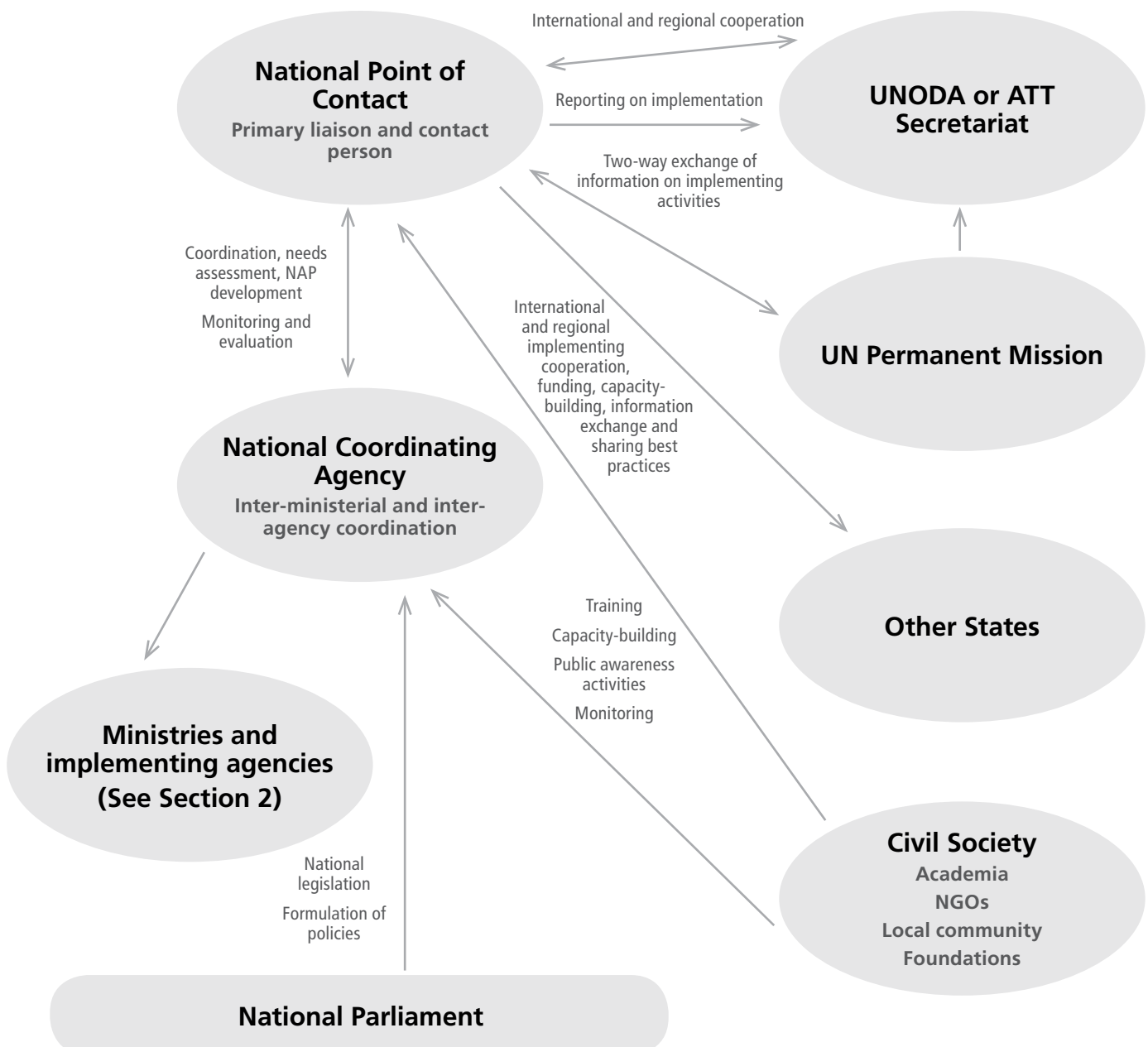
SECTION 1 ENDNOTES

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[15] ISACS (note 8) 6.

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[17] ISACS (note 8) 7.

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79 Information has been taken directly from national ATT reports or the ATT-BAP. The accuracy of this information has not been verified.

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SECTION 2: THE ROLE OF STAKEHOLDERS IN THE IMPLEMENTATION OF NATIONAL CONTROL MECHANISMS

Although specific approaches to arms control differ from country to country, there are common systems and synergies that reflect the most efficient, secure and reliable methods of controlling the supply of controlled goods. This system needs to apply a coordinated, inter-agency, governmental and societal approach if it is to effectively address all the elements of the ATT and the UNPoA together. This system will also be monitored by the international community and civil society to ensure that all parties to the ATT and UNPoA are upholding their legal or political commitments, and that cross-border challenges are addressed effectively.

As outlined in Section 1, a national control mechanism comprises several actors. This system must be coordinated in a way that allows each stakeholder to contribute their expertise. It should create a comprehensive system that allows civilian ownership and legal transfers of arms without compromising the safety and security of citizens through leaks of illicit arms. This section outlines the key role each government minister/agency/department, including implementing agencies, could play; it also describes the supportive role of civil society, industry and international organisations as they collaborate in ratification of the ATT and in implementation of both the ATT and the UNPoA.

As this section starts from the position of a small island state or a small developing state, it values a joint implementing system that combines both the ATT and UNPoA into a single, comprehensive national coordinating mechanism. Combining forces in this way makes for effective use of human and other resources. It also allows the mechanism to identify gaps in the internal and external controls on arms flows and to create a single national action plan (NAP) to strengthen the system without burdening the officials responsible for its development. We do acknowledge that some states may deal with the UNPoA and the ATT separately.

The following tables summarise the role of each stakeholder within the national coordination mechanism and show how all participants are interrelated. It is important to note that national coordination mechanisms vary from country to country, depending on issues such as the country's government structure and capacity and the resources available. See Section 1 to understand the role of each stakeholder, including the section on 'Challenges to establishing or being a National Point of Contact'.

2.1 KEY FOCUS OF A NATIONAL COORDINATING MECHANISM (NCM)

How a state may build its system will depend on the focus of its system as an importer, transit/transshipment state and/or exporter of arms. Therefore, we have divided this Section 2 into two parts: the first outlines the different procedures that each state may focus on as an importer, transit/transshipment state and/or exporter; the second looks at the role of individual agencies within a National Coordinating Mechanism (NCM).

Importantly, there are some obligations under the ATT that all States Parties must observe and some provisions under the ATT and UNPoA that all UN Member States must comply with. For example, Article 12 of the ATT requires all States Parties to maintain national records of conventional arms covered under Article 2(1) that are transferred to their territory as the final destination or that are authorised to transit through their jurisdiction.[1]

2.2 FOR IMPORTERS

The focus of many NCMs for small island states and developing states is on importing arms and implementing effective internal controls on those arms after their arrival. In this respect, both the ATT and UNPoA are relevant to importers.

States need to develop comprehensive import controls, legislation and procedures under both arms control instruments. A combined system allows states to:[2]

- control the flow of arms across their territorial borders;

- ensure adequate and secure stockpiling, marking, tracing and record-keeping procedures;

- increase knowledge, ideas and reinforce learning in the implementation of import controls. State and non-state agencies are encouraged to participate, then to share information and experience on import controls and on end-users with a poor reputation, or on companies that are not allowed to engage in international arms transactions;

- report on the implementation of controls and provide public access at the national and international levels;

- identify gaps where others with expertise may provide guidance on measures and techniques that can be applied to improve import controls at the national level;[4]

- have in place a system for coordinating international assistance to implement import controls.

Obligations for Importers under the ATT and UNPoA

The table below summarises the main principles, provisions and obligations of importing states under the ATT and UNPoA. It does not, however, cover all obligations, and obligations have been paraphrased. Therefore, reference to the ATT and UNPoA provisions are necessary to ensure full coverage of obligations.

ATT	UNPoA
Article 8: Article 8 of the ATT outlines the obligations of importing states. Importing States Parties are required to take measures to ensure that appropriate and relevant information is provided to exporting states to assist the exporting State Party to conduct its national export assessment.[5] This may include providing end-use or end-user documentation.[6] Importing states must also take measures that will allow them to regulate, where necessary, imports under their jurisdiction of conventional arms. This may include developing or maintaining an import system.[7] An importing state may also request information from the exporting state concerning any pending or actual export authorisations, when it is in the country of final destination.[8]	**I.10:**[9] Reaffirming also the right of each state to manufacture, import and retain small arms and light weapons (SALW) for its self-defence and security needs, as well as for its capacity to participate in peacekeeping operations in accordance with the Charter of the United Nations.
Articles 6 & 7: Articles 6 & 7 of the ATT outline the key responsibilities of exporter states.[10] These articles are also very important for importer states as they act as a guide to what behaviour is and is not acceptable to import arms. For example, the ATT requires exporting states to assess each transfer.[11] This requires an evaluation of the use of the arms and/or the end-users, the importing states. Articles 6 and 7 explain what criteria an exporting state may apply to make its assessment of an importer.[12] For importers, it creates a level of certainty and expectation—if there are substantial concerns that serious violations of international humanitarian law (IHL) are taking place in an importing state, they may expect that the exporter will either deny the transfer or attempt to mitigate concerns with the importer.[13]	**I.22.e:**[14] Promoting responsible action by states with a view to preventing the illicit export, import, transit and retransfer of SALW. **II.2.:**[15] To put in place, where they do not exist, adequate laws, regulations and administrative procedures to exercise effective control over the production of SALW within their areas of jurisdiction and over the export, import, transit or retransfer of such weapons, in order to prevent illegal manufacture of and illicit trafficking in SALW or their diversion to unauthorised recipients.
Article 10: Article 10 of the ATT requires all States Parties, including importing states, to regulate brokering activity in conventional arms covered under Article 2(1) that takes place within its jurisdiction. This may include requiring a brokering licence to conduct brokering activity or prohibiting brokering activity.	**II.14:**[17] Creating effective national laws or administrative procedures for the regulation of activities for SALW brokering. This should include procedures such as the registration of brokers, licensing or the authorisation of brokering transactions. It should also include adequate sanctions within the state's jurisdiction and control of actions involving illicit brokering.
Article 11: All States Parties, including importing states involved in the transfer of conventional arms covered under the treaty, must take measures to prevent the diversion of these arms.[18] Article 11 outlines these requirements further.[19]	**II.11:**[20] To establish or maintain an effective national system of export and import licensing or authorisation, as well as measures on international transit, for the transfer of all SALW with a view to combating the illicit trade in SALW.
Articles 12 & 13: All importers should have a system for record-keeping and reporting.[21]	**II.9:**[22] To ensure that comprehensive and accurate records are kept for as long as possible on the manufacture, holding and transfer of SALW under their jurisdiction. These records should be organised and maintained in such a way as to ensure that accurate information can be promptly retrieved and collated by competent national authorities.
	II.33:[23] To request the Secretary-General of the United Nations, within existing resources, through the Department for Disarmament Affairs, to collate and circulate data and information provided by states voluntarily and including national reports, on implementation by those states of the UNPoA.
Article 14: Each State Party shall take appropriate measures to enforce national laws and regulations that implement the provisions of this treaty. [24]	**II.12:**[25] To put in place and implement adequate laws, regulations and administrative procedures to ensure the effective control over the export and transit of SALW, including the use of authenticated end-user certificates and effective legal and enforcement measures.

A sizeable number of state agencies, non-state agencies, arms brokers and transport agents form part of the global supply chains in charge of shipments of conventional arms. States oversee the issuing, monitoring and assessing of all the documentation, including import licences, import certificates and end-user certificates for private companies. If import controls, including monitoring and assessing, are not efficiently implemented, and documentation is not carefully revised, the possibility for commercial entities to divert conventional arms imported becomes high.[26] The diversion of arms can create a number of problems, increasing the potential for illicit crimes and for jeopardising safety.

To comply effectively with importing obligations, an importing state may develop an arms import control system. This enables an importer to have effective control over the end-users and arms in its territory, or at least to understand the challenges of diversion and misuse. Such a system requires some central elements, which are described in the table below:

COMPONENTS OF AN IMPORTING SYSTEM

A central import licensing authority	A central licensing authority issues and holds arms import licences and end-user certificates for all parties (including the military, police and other state actors). This authority can audit arms holders to check that they have the correct arms and quantities outlined in their import licence.[27] Licensing is an important way of preventing and combating diversion and ensuring the control of arms transfer and ownership.[28] In some states, there is a lack of understanding of how the arms import licensing works. Often import licences are required only for certain types of arms such as firearms.[29] The import of major systems for conventional arms might not be included because it is the state's national security forces who own them.[30] However, the ATT requires states to develop importing systems for all imported conventional arms that fall within the scope of the ATT.[31]
A customs system	A customs system is required to monitor the flow of arms across territorial borders. This includes reviewing import licences, liaising with the Import Licensing Authority to verify authorised imports and detecting illicit flows. It requires importers to have an efficient system of coordination between the Customs Authority, Import Licensing Authority and importer to ensure that import licences match quantities of arms and export licences, and to verify with exporters that the correct goods have been received by the end-user stated in the end-user certificate.[32] A comprehensive system helps customs to detect illicit arms including those which do not have the appropriate licence.
Record-keeping and reporting	ATT States Parties are required to keep records of imports and transits for a minimum of ten years,[33] whereas the UNPoA encourages countries to keep their records as long as possible.[34] More than 60% of states keep records of exports, whereas 82% of states keep records of arms imports.[35] Record-keeping allows for the control of cross-border transfers and the identification of those with lawfully licensed and registered arms. Without accurate records, states struggle to separate legal and illegal ownership of arms and to detect arms moving from the legal to the illicit space. As manual record-keeping can be time-consuming and difficult to manage, some states are unable to provide an accurate picture of the number of legal and illicit arms within their borders. The value of reporting is outlined in Section 3.
A stockpile management system	A stockpile management system refers to the procedures and activities concerning safety and security in accounting for conventional arms and their storage, transportation and handling.[36] Compared to the ATT, the UNPoA provides more details on the elements that should be considered to manage stockpiles and the destruction of surplus weapons. These include promoting 'safe, effective stockpile management and security, in particular physical security measures, for SALW'.[37] Whereas the ATT does not directly oblige states to engage in stockpile management, one of the goals of the ATT is to reduce the diversion of conventional arms. Therefore, it is important for states to embrace UNPoA provisions on managing stockpiles to avoid the diversion of arms from stockpiles across borders as an integral element of the implementation of the ATT.[38] States should also ensure that safe and accurate stockpile procedures are in place for imported arms. Stockpiling procedures may be assessed during the export risk assessment.
Enforcement measures	All states, including importing states, should have adequate enforcement personnel, with strong laws and regulations to control arms and prevent illicit activity.
Procedures for seizure, collection and destruction of illicit arms	All states, including importing states, should have procedures in place for the seizure, collection and destruction of illicit arms. Procedures include the manner in which arms will be managed, stockpiled and secured before being subjected to permanent destruction.[39] The procedures should be transparent, reliable and open to the public, to guarantee a high level of security.[40] It is in the interests of bordering states to cooperate in the stockpiling and destruction of illicit arms on either side of the border in order to prevent illicit transfers across borders.[41]

2.3 FOR TRANSIT/TRANSSHIPMENT STATES

Obligations under the ATT and the UNPoA for transit/transshipment states

This table outlines the obligations of transiting/transshipment states. However, these states must also adhere to exporter or importer obligations should they also conduct export or import transfers. For small island states, transit/transshipment obligations are usually the most relevant, as these states tend to have minimal or no imports, no exports and predominantly deal with arms during transit from an exporting state to an importing state.

ATT	UNPoA
Article 9: This article outlines the obligations required during the transit/transshipment of conventional arms covered under Article 2(1) of the treaty. Transit/transshipment states must take appropriate measures to regulate, where necessary and feasible, the transit or transshipment under their jurisdiction through their territory in accordance with relevant international laws.	**I.22.e:**[42] Promoting responsible action by states with a view to preventing the illicit export, import, transit and retransfer of SALW.
Articles 6 and 7: Article 6 requires States Parties to prohibit certain transfers.[43] (Refer to the treaty for information on prohibitions). If a transfer violates the prohibitions under Article 6, the transit of goods through a state's territory must be prohibited; for the same reason, an exporting state must deny the export of such goods.[44] Although Article 7[45] relates predominantly to exporting states, transit states may wish to request export and import licensing or seek information from the exporter regarding its assessment. This is particularly the case if additional information regarding prohibitions or risks outlined under Article 7 becomes available.	**II.2:**[46] Including appropriate laws, regulations and administrative procedures for an effective implementation of SALW production controls over the export, import, transit or retransfer of such weapons, in order to prevent illegal manufacture of and illicit trafficking in SALW, or their diversion to unauthorised recipients. **II.12:**[47] Including and implementing appropriate laws, regulations and administrative procedures for adequate control over export and transit of SALW, taking into account the use of authenticated end-user certificates and effective law-enforcement measures.
	II.11:[48] Evaluating applications for export authorisations, taking into account national regulations on SALW. Authorisations must be in compliance with a state's responsibilities under international law, and need to consider the different risks of diversion of SALW into the illegal trade. At the same time, establishing a competent national system for export and import authorisations, as well as measures for international transit for the transfer of SALW, is necessary in order to combat illicit trade.
Articles 12 and 13: All transit states should have a system for record-keeping and reporting in place for the transit of arms through their territory.[49] All states are required to compile an Initial Report and an Annual Report.[50]	**II.9:**[51] Guaranteeing exhaustive, correct and durable record-keeping on the manufacture, holding and transfer of SALW under their jurisdiction. Records must be kept and organised so that they ensure easy access to information by national authorities.

Transit/transshipment states are obliged to ensure the safe transit of arms through their territory. Therefore, they are responsible for preventing the diversion of arms while they are in their jurisdiction. Transit and transshipment controls of conventional arms help prevent the diversion of goods (by air and sea) from the initial point of departure during transshipment or during transit through a different state's territory.[52]

While transit/transshipment states do not necessarily need the same systems that exporters have, they do need to ensure a secure and comprehensive licensing and customs system by which transit/transshipment licences are issued before goods can be released for transit/transshipment. The transit system may also request information from the exporter or the importer—for example, the end-user certificate—or request information on the risk-assessment process from the exporting state if the transit state suspects that the goods may be diverted to illegal end-users.

COMPONENTS OF A TRANSIT SYSTEM

To build an effective system, states that deal predominantly with the transit/transshipment of conventional arms should have the following in place:

A central transit/ transshipment licensing authority	A transit/transshipment licensing authority issues licences for the transit/transshipment of goods across its territory. Licensing provides an important method for preventing and combating diversion and ensuring control over arms transfer and ownership.[53]
A customs and border protection system	A customs system is required to monitor the flow of arms across a territory's border. This includes reviewing transit/transshipment licences, liaising with the transit licence issuing authority to verify the authorised transit of goods and detecting illicit flows through the surveillance of goods through its waters. Transit states should: • establish effective mechanisms to supervise, check, allow, reject or seize shipments passing through their territory;[54] • ensure the monitoring and custody of arms in transit to prevent their diversion into the illicit market within a transit state; • provide measures for arms protection during their transit by road, rail or internal waterway;[55] • develop and strengthen capacity to restrict consignments that could be at risk of being diverted from recipients and that could be a threat to national security.[56] It requires transit states to have in place an efficient system of coordination between the Customs Authority, Border Protection and the Licensing Authority. It may also require close collaboration with police who provide security for goods in transit. It also requires secure storage of goods while in transit to prevent diversion. Furthermore, transit states should develop communication and information-sharing processes between states involved in the transit of arms, to prevent and warn countries of potential diversion of shipments during transit.[57] A comprehensive system helps customs to detect illicit arms which do not have the appropriate transit/ transshipment licences, or the diversion of arms while in transit. The development of these mechanisms helps states to strengthen their arms transit controls and prevent any attempt at diversion in their country or region.[58]

Factors concerning the risk of diversion during transit [59]

• High and increasing levels of legal dual-use[60] transit and transshipment trade.

• The development of an interest in obtaining dual-use goods from individuals or entities, contributing to proliferation.[61]

• Obstacles to investigation, search and seizure of suspect goods among a high volume of legitimate trade.

• Businesses having a poor image of the operation of enforcement controls.[62]

STATE PRACTICE: A CASE STUDY OF AN IMPORTING/TRANSIT STATE: BARBADOS

Barbados is confronted with the challenges of monitoring and protecting a coastline threatened by the trafficking in illicit arms. The Association of Caribbean Commissioners of Police reported that 1.6 million illegal weapons circulate in the Caribbean and that it is likely that legally imported arms have been diverted to other countries.[63] The International Security Sector Advisory Team indicated that in Barbados firearms are used in approximately 40% of all murders.[64] Barbados's areas of improvement include supplementary adoption of regional legal standards and better communication and articulation between government institutions.[65]

Although Barbados is not an arms manufacturer, it does import a limited number of conventional arms, mostly firearms, and acts as an exporter and transit/transshipment state to neighbouring islands.[66] Barbados's national legislation provides for shared responsibility between the Barbados Defence Board, the Commissioner of Police, the Customs and Excise Department, and the Civil Aviation Department in regulating imports and the transit of conventional arms into and through Barbados. Authorisation to import military equipment for the Barbados Defence Force is the responsibility of the Prime Minister.[67]

Barbados has reported the implementation of initiatives at the national level to improve its National Control Measures and implementation of the instruments. These include establishing a dedicated, specially trained unit to combat crimes involving the use of firearms.[68] The country's participation in the UNPoA has allowed more requests for tracing and timely receipt of feedback in the form of printed reports and analysis of traces.[69] At the regional level, Barbados participates in the Caribbean Community (CARICOM) Implementation Agency for Crime and Security (IMPACS), a regional integrated information network to strengthen the capacity of CARICOM Member States to identify and trace weapons and ammunition used to commit crimes.[70] Despite advances having been made, reporting remains a challenge.[71] The country's last UNPoA report was in 2003.[72] It reported 'Nil' for brokering, marking and tracing, among others.[73]

As an outcome of ratifying the ATT, Barbados reviewed its legislation to ensure compliance with treaty obligations.[74] In line with this, the government of Barbados organised a seminar in 2016 to facilitate the exchange of ideas on a number of issues, including licensing, combating illicit trade and diversion of imported SALW, physical security and stockpile management. The seminar was organised by the Ministry of Foreign Affairs and Foreign Trade and the European Union, and facilitators were representatives of the Council Working Group on Conventional Arms and the German Federal Office for Economic Affairs and Export Control. The following local agencies participated: the Ministry of Foreign Affairs and Foreign Trade, the judiciary, customs and police, as well as members of the armed forces.[75]

2.4 FOR EXPORTERS

Given that this Guide is tailored to the needs of small island states or smaller developing states that tend not to export, details of those provisions of the ATT or UNPoA are not detailed here. Instead a summary is provided, as importing and transit states should be aware of the requirements for importing and transiting goods as they relate to the exporter, for example when granting an import licence to the exporter.

A key aim of the ATT is to ensure that countries have efficient and reliable export controls in place[76] and that activities covered by the UNPoA concerning international transfer, including export, are developed efficiently.[77] Export controls systems should have:

- an independent and transparent process of assessing requests for permission to export, to ensure that a country's exports comply with the principles of the ATT, while allowing legitimate trade to prosper and to support security;[78]

- a system of law enforcement which ensures that the process is rigorous and fail-safe, while preventing the illegal export of goods;[79]

- a monitoring system to ensure that end-users of goods are acting in a manner compliant with the ATT, and to respond to changes in the political or security situation in a destination country.[80]

For states that export, it is important to have an export system which:[81]

- receives, reviews and issues export applications;[82]

- ensures that documentation and authorisations are detailed and issued prior to export;

- keeps records of export authorisations for a minimum of ten years;[83]

- makes available appropriate information about an authorisation to the importing and transit/transshipment state, subject to its national laws, policies and practices;[84]

- coordinates with other ministries and departments involved in export authorisation;

- reports to an oversight body, where applicable, and in accordance with national laws.[85]

2.5 NATIONAL LICENSING AUTHORITY/AGENCY

Most governments designate through their legislation one state agency or point of contact, often known as the national licensing authority, as the main entity responsible for examining and coordinating the response to export requests, and for granting or refusing authorisation.[86] A licensing authority can:

- review and classify controlled goods and components, so that national systems are uniform and up-to-date with latest arms technologies;[87]

- receive a licence request, assess the technical details of the goods and ensure that the paperwork (such as a signed end-user certificate) is in place. This is often in conjunction with the authorities from the importing country to verify import licences. An importer is responsible for obtaining any information from the exporter to facilitate the assessment of risks of the export;

- coordinate with other parts of the government and international community;

- revoke or suspend licences if, for example, there is a significant shift in the political or security situation in a recipient country.[88]

It is common for such an agency to coordinate with other government ministries or departments to decide on licence applications for legal exports and to monitor law-enforcement processes to prevent illegal exports.[89] It may also coordinate with other parts of the international community to understand which other countries have refused to export as obligated under the ATT. This enables all exporter countries to export and refuse the same goods, therefore providing uniformity in adherence to the ATT.[90]

While criteria to determine whether an export should be permitted may be different between different countries, if the exporter is an ATT State Party, any export must comply with the obligations under this treaty. EU States, for example, use the Consolidated Export Licensing Criteria that outline the thresholds for exporting goods according to international obligations (sanctions), human rights, internal and external conflict, state security, diversion of goods, the behaviour of the recipient country, and the economic rationality of the export.[91] In some cases, this authority is subject to oversight by the legislative body or parliament as well as to challenges by civil society.[92]

In many countries, this agency has a direct link to the businesses and individuals that wish to export controlled goods. This agency is sometimes the only authority within the decision-making process that liaises directly with companies, so that other parts of the decision-making process can remain independent and at arm's length. A typical arrangement would be that this agency holds the system for companies to apply for an export licence; it coordinates and prepares the licence for review; it issues the licence, and it monitors how much of a shipment may have left the country.

STATE PRACTICE: NATIONAL IMPORTING AND EXPORTING SYSTEMS

State	Practice
Montenegro: importer and exporter	Montenegro provides an example of the distinct roles each ministry or agency has in the import and export of arms. Montenegro's national legislation allows for the monitoring and control of imports and exports, enabling each agency to have its specific role:[93] • The Ministry of Economy (in partnership with the ministries of Foreign Affairs, Defence, Internal Affairs and other government bodies) grants permission for foreign trade in controlled goods in compliance with regulations.[94] • The Ministry of Foreign Affairs and European Integration issues an authorisation for the import–export and transit of weapons, ammunition and dual-use goods.[95] • The Ministry of Defence issues an approval for the import–export and transit of weapons, ammunition and dual-use goods.[96] • Customs of Montenegro may, in the enforcement of its jurisdiction, restrict, stop, interrupt or cancel the transport of controlled goods during the management of the control of goods. It should inform the Ministry of Economy of this action.[97] • The Ministry of Internal Affairs controls and monitors the transportation and transit of controlled goods across the border and within the territory of Montenegro.[98]
Costa Rica: non-exporter, transit state	Costa Rica is not considered an arms-exporting country; however, it does maintain national legislation for the export of arms. This is to cover circumstances such as: • travelling international competitors in sports involving shooting, who can be viewed as temporary exporters; or • the case of an individual who leaves the country and takes a firearm, who could be considered a final exporter.[99] In these two cases, the country of destination must indicate that the firearm is entering it legally. Costa Rica reports that: • a licence or authorisation must be requested by individuals or entities transferring SALW from one country to another; • it is considered a criminal offence to transfer SALW without permission or a licence.[100] Costa Rica verifies the authentication of an End-User Certificate through an 'Apostille' issued and signed by the relevant authorities during the transfer of weapons and ammunition. This procedure is intended to prevent forgery and misuse.[101] Individuals in possession of arms who are subject to an open judicial process or a background of offending cannot possess firearms. Those participating in the arms trade who present irregularities will have their commercial permit for the sale of arms suspended.[102]
Austria: an exporter	In Austria, exporters must apply for a licence for every transaction, either to the Ministry of the Economy or to the Ministry of the Interior. The Ministry of Foreign Affairs and of Defence are also consulted. The Ministry of Foreign Affairs provides foreign policy advice such as that on international humanitarian law/human rights (IHL/HR) issues, sanctions, internal or regional conflicts. Licences: • specify goods and quantities; • are time-bound, and: • outline additional requirements, for example the customs certificates of a recipient country. Licence denial must come with a reason. The exporter can take a negative decision to court, as can a non-governmental organisation (NGO) wishing to contest a published decision to export.[103]
Mexico: an importer and exporter	Among the main measures taken by Mexican authorities as part of the operative process prior to the authorisation of an arms export are: • a risk assessment; • an evaluation of the technical characteristics of the items, and • an assessment of the end-use/user and country of destination. In addition, exporters must notify the Ministry of Defence that they have already had the corresponding import permit issued by the destination country's government.[104]

SECTION 2 ENDNOTES

[1] Arms Trade Treaty (ATT) opened for signature 3 June 2013, UN (entered into force 24 December 2014) Article 12(2). <http://www.thearmstradetreaty.org/images/ATT_English.pdf>.

[2] Stockholm International Peace Research Institute (SIPRI) 'Imports control and an arms trade treaty,' (2011) 8 <http://books.sipri.org/files/misc/SIPRIBP1107b.pdf>.

[3] SIPRI (note 2) 8.

[4] SIPRI (note 2) 8.

[5] ATT Article 8(1).

[6] ATT Article 8(1).

[7] ATT Article 8(2).

[8] ATT Article 8(3).

[9] United Nations Programme of Action (UNPoA) I.10.

[10] ATT Articles 6, 7.

[11] ATT Article 7.

[12] ATT Articles 6, 7.

[13] ATT Article 7(1)(ii).

[14] UNPoA (note 9) I.22.e

[15] UNPoA (note 9) II.2

[16] ATT Article 10.

[17] UNPoA (note 9) 11.14.

[18] ATT Article 11.

[19] ATT Article 11.

[20] UNPoA (note 9) II.11.

[21] ATT Articles 12, 13.

[22] UNPoA (note 9) II.9.

[23] UNPoA (note 9) II.33.

[24] ATT Article 14.

[25] UNPoA (note 9) II.12.

[26] SIPRI (note 2) 7.

[27] SIPRI (note 2) 5.

[28] SIPRI (note 2) 6.

[29] SIPRI (note 2) 5.

[30] SIPRI (note 2) 5.

[31] ATT Article 10.

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<https://www.sipri.org/publications/2010/sipri-insights-peace-and-security/end-user-certificates-improving-standards-prevent-diversion>.

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[34] Natalie J Goldring 'The Programme of Action, the Arms Trade Treaty, and the UN Register of Conventional Arms: Seeking synergy and overcoming challenges' (International Action Network on Small Arms (IANSA) 2016) 1-2.
<http://www.forumarmstrade.org/uploads/1/9/0/8/19082495/iansa_briefing_paper_poa_att_synergies.pdf>.

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[36] South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC) 'Management of SALW programmes' (2016) 15. <http://www.poa-iss.org/KIT/KIT.aspx>.

[37] UNPoA (note 9) II.29.

[38] IANSA (note 35) 2.

[39] ATT-BAP (note 36) 33.

[40] SEESAC (note 37) 8.

[41] SEESAC (note 37) 8.

[42] UNPoA (note 9) I.22.e

[43] ATT Article 6.

[44] ATT Article 6.

[45] ATT Article 7.

[46] UNPoA (note 9) II.2.

[47] UNPoA (note 9) II.2.

[48] UNPoA (note 9) II.12.

[49] UNPoA (note 9) II.11.

[50] ATT Article 12(2).

[51] ATT Article 12(2).

[52] UNPoA (note 9) II.9.

[53] Saferworld 'International efforts to prevent diversion of arms and dual-use goods transfers: Challenges and priorities' (2017) 13. <http://www.saferworld.org.uk/oldsite/resources/view-resource/1112-international-efforts-to-prevent-diversion-of-arms-and-dual-use-goods-transfers-challenges-and-priorities>.

[54] Saferworld (note 56) 13.

[55] Saferworld (note 56) 13.

[56] Saferworld (note 56) 13.

[57] Saferworld (note 56) 13.

[58] Saferworld (note 56) 13.

[59] Saferworld (note 56) 13.

[60] Dual-use refers to the items or goods that can be used for both, civilians and the military, European Commission 'Dual-use export controls' <http://ec.europa.eu/trade/import-and-export-rules/export-from-eu/dual-use-controls/> (accessed 25 August 2017).

[61] Saferworld (note 56) 13.

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[63] International Security Sector Advisory Team (ISSAT) 'Barbados country profile' (2015). <http://issat.dcaf.ch/Learn/Resource-Library/Country-Profiles/Barbados-Country-Profile>.

[64] ISSAT (note 67).

[65] Control Arms 'Import and transit considerations in an arms trade treaty' (2012) <http://ploughshares.ca/wp-content/uploads/2012/08/ATTImportTransit1.pdf>.

[66] Control Arms (note 69).

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[75] CARICOM Today (note 78).

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[79] IANSA (note 35) 1.

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[81] Parliament UK 'The legal and regulatory framework for UK arms exports' (2017). <http://researchbriefings.parliament.uk/ResearchBriefing/Summary/SN02729>.

[82] Arms Control Association 'The Arms Trade Treaty at a glance' (2016). <https://www.armscontrol.org/factsheets/arms_trade_treaty>.

[83] ATT Article 12.

[84] Arms Control Association (note 86).

[85] Arms Control Association (note 86).

[86] SEESAC 'RMDS/G 03.20 (Guideline) SALW control and transfers legislation' (2006) 5. <http://bit.ly/2urhFbz>.

[87] Parliament UK (note 85).

[88] ATT Article 7(7); Parliament UK (note 85).

[89] Parliament UK (note 85).

[90] Parliament UK (note 85).

[91] Parliament UK (note 85).

[92] Parliament UK (note 85).

[93] Montenegro Ministry of Defence 'Import/export and transit of weapons/ammunition and dual used goods in Montenegro' (2013) 7. <http://www.rasrinitiative.org/pdfs/workshop-6/RASR-Workshop-6-PPT-Montenegro-Montenegro-MoD.pdf >.

[94] Montenegro Ministry of Defence (note 97) 7.

[95] Montenegro Ministry of Defence (note 97) 7.

[96] Montenegro Ministry of Defence (note 97) 7.

[97] Montenegro Ministry of Defence (note 97) 7.

[98] Montenegro Ministry of Defence (note 97) 7.

[99] PoA-ISS 'United Nations Conference to Review Progress Made in the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects: National Report Submitted by Costa Rica' (2016). <http://www.poa-iss.org/CASACountryProfile/PoANationalReports/2003@48@Costarica-e.pdf>.

[100] PoA-ISS (note 103) 2–3.

[101] PoA-ISS (note 103) 2–3.

[102] PoA-ISS (note 103) 2–3.

[103] ATT-BAP 'The ATT Baseline Assessment Project identifying good practice and implementation measures'. <http://www.armstrade.info/wp-content/uploads/2014/10/ATT-BAP-GoodPractice-WEB3.pdf>.

[104] ATT-BAP (note 107).

SECTION 3 KEY STAKEHOLDERS IN THE NATIONAL COORDINATING MECHANISM

As mentioned previously, the national coordinating mechanism incorporates various stakeholders into one national control system. Each stakeholder plays a key role in the system or mechanism. To what extent this stakeholder interacts with other stakeholders in the system and what their primary role is will depend on the state, taking into consideration whether it is an exporter, an importer or a transit state. Below, we outline the general role each stakeholder may play in the system. We provide examples of the practices of states as a way for other states to think about their own system, about what is effective and what challenges it presents.

This section is divided into five sub-sections that cover the role of the different stakeholders—government ministries/agencies, government implementing agencies, civil society, industry and international organisations. Section 4 deals with regional organisations and they are therefore not covered here.

SNAPSHOT: ROLE OF EACH AGENCY, DEPARTMENT AND ORGANISATION

This table summarises the roles of each agency in a national control system, which we have expanded below for quick reference, both during the ratification process and during implementation of the instruments.

GOVERNMENT MINISTRIES/DEPARTMENTS	
Agency/department/ stakeholder	**Role**

Ministry of Foreign Affairs	• Often the first point of contact for the Arms Trade Treaty (ATT) Secretariat, the United Nations Office for Disarmament Affairs (UNODA) or other states;
	
	    • Feeds essential information to other key agencies:
	
	    • funding opportunities;
	
	    • cross-border partnership opportunities;
	
	    • monitoring dates of key meetings and reporting deadlines.
	
	• Develops partnerships for cooperation and assistance.

Country's UN Permanent Mission	• Represents state positions at ATT Conferences of State Parties, UN First Committee meetings, UNPoA Biennial Meetings of States (BMSs), UNPoA Review Conferences, Meetings of Governmental Experts and preparatory conferences;
	
	    • Contributes to export assessments;
	
	    • Represents the state and attends meetings;
	
	    • Exchanges information with capital;
	
	    • Liaises with counterparts.

Ministry of Defence/ Ministry of Interior	• Participates in international meetings as experts; • Provides expertise to national stakeholders; • May act as the National Point of Contact (NPC); • Supports coordinating agencies with the promotion and coordination of activities; • Organises and presents technical materials to the coordinating body; • Participates in, monitors and influences international negotiations; • Leads the arms control measures of the administrative body; • Offers support to other authorities by providing expertise.
Office of the Attorney-General/ Ministry of Justice	• Reviews legislation and compliance with instruments; • Reviews and drafts amendments, bills and regulations; • Provides advice on legal implications of policies.

Agency/department/ stakeholder	Role
Ministry or Office of Prime Minister and Cabinet	• Sets direction of all the other ministries and coordinating bodies; • Determines the priorities of the state; • Heads up the implementing agencies; • Ratifies and agrees on the implementation of the ATT.
Parliament	• Approves national legislation; • Generates discussion tables and spaces to debate implementation strategies ; • Participates in regional and international discussion forums.

Advisory Ministries	• Provide advisory opinions and implement programmes related to armed violence and policy areas of concern:
	
	  • Ministry of Education;
	
	  • Ministry of Health;
	
	  • Ministry of Finance;
	
	  • Ministry of Children and Youth;
	
	  • Ministry of Women.

GOVERNMENT IMPLEMENTATION AGENCIES	
Agency/department/ stakeholder	**Role**
Military	• Creates a system for the storage, registration and inventory of military arms; • Constantly reviews operational stock levels against capability requirements; • Works together with the other implementing agencies.
Police and Correctional Services	• Carry out accountability processes by recording and auditing arms stored; • Submit imported arms to regular audits, inspections and servicing; • May act as the focal point for implementation; • Analyse and disseminate information among different entities and agencies; • Request training and capacity-building on national implementation of the ATT, UNPoA and other international instruments; • Communicate and report on the resources needed; • Enforce laws on conventional arms within their jurisdiction.
Customs	• Maintains links with an Export/Import Licensing Authority; • Monitors borders and controls the flow of goods; • Provides expertise in trading patterns, identifies and reports suspicious activity; • Develops cross-border collaboration.

CIVIL SOCIETY

- Ensures that implementing agencies have all the appropriate information;
- Conveys the interests and priorities of the community to national implementing agencies;
- Monitors, verifies and reports on implementation;
- Informs communities about advances and setbacks;
- Evaluates and facilitates access to external expertise;
- Advocates transparency in all aspects of the ATT;
- Creates and assists with awareness-raising activities;
- Participates in and/or requests participation in all decision-making spaces;
- Provides states with legal, technical and other expert assistance;
- Provides and requests access to training and institutional capacity-building;
- Generates policy proposals for the consideration of governments.

INDUSTRY

- Keeps informed about and observes legal requirements and procedures;
- Participates in the development of legislative, administrative and communication procedures;
- Provides expertise and research for all stakeholders;
- Develops systems to implement transparency;
- Helps with cooperation and knowledge-sharing mechanisms;
- Guides wider industrial considerations and strategies.

KEY UN AND OTHER INTERNATIONAL ORGANISATIONS

ATT Secretariat	• Receives and facilitates access and disseminates national reports; • Generates, updates and participates in information distribution lists; • Provides and arranges assistance to implementers; • Coordinates Conferences of States Parties and other events; • Carries out other duties related to the Conferences of States Parties.
CASA	• Provides a platform for developing initiatives for collaboration during implementation; • Provides research; • Facilitates capacity-building, training and technical assistance.
UNODA	• Provides states with assistance for implementation; • Reviews National Reports; • Analyses and processes information from reports; • Distributes information online; • Distributes materials and guides to the public.
UNSCAR	• Supports ATT ratification and ATT/UNPoA implementation; • Provides resources and sponsorship for the implementation of projects; • Develops effective coordination, monitoring and allocation of resources.
UNROCA (See Section 3)	• Provides reliability and transparency; • Controls and regulates weapon proliferation; • Reports on advances made.

KEY UN AND OTHER INTERNATIONAL ORGANISATIONS

UNLIREC, UNRCPD and UNREC	• Create alliances and develop partnerships with other national and regional organisations; • Support the ratification and implementation of the UNPOA and the ATT; • Strengthen government institutional structures and implementation methods; • Provide capacity-building to governments and other implementing agencies; • Help States Parties to implement decisions and creates measures to support disarmament and non-proliferation.

3.1 GOVERNMENT MINISTRIES/DEPARTMENTS

As a Member State of the UN, each government is responsible for implementing SALW control under the UNPoA, as are ATT States Parties responsible for conventional arms control. As we have already outlined in Section 1, the National Coordinating Mechanism (NCM) plans, regulates, manages, coordinates and monitors the implementation of the UNPoA,[1] the ATT and other associated instruments. Within the NCM, each agency has the responsibility to respect and follow legislation and procedures and to provide support to the national government during implementation.[2] For example, the integration of national ministries and agencies for the assessment of arms transfer proposals is a recognised component of effective implementation; it is useful in providing a wider perspective on the context of a specific transfer.[3]

The following ministries and departments or their equivalents exercise diverse roles within the coordination system: the Ministry/Department of Foreign Affairs, Ministry of Defence/Ministry of Interior/Ministry of Police, Office of the Attorney-General/Ministry of Justice, Ministry of Prime Minister and Cabinet, plus other relevant stakeholders such as intelligence and other advisory agencies, military, police, customs and border control. Key examples of these are described below.

MINISTRY/DEPARTMENT OF FOREIGN AFFAIRS (MFA)

The MFA is usually responsible for promoting and protecting a country's interests abroad. In regard to arms control it often has several roles:

- Negotiating, agreeing to, and interpreting a country's international obligations under the ATT[4];

- Providing updates to the international community on implementation, comparing its implementation with that of others and monitoring best practice from other countries[5];

- Providing a focal point for countries to liaise with one another on key aspects such as end-user profiles, arms diversion, the number of illegal arms and their effect (for example, the MFA in one country can provide information on the number of illegal weapons in a neighbouring country, which may affect its own government[6];

- In some cases, coordinating international programmes and providing capacity and resources to assist other countries with dealing with illicit arms challenges[7];

- Assessing elements of export/import licences so that they comply with the terms of the ATT.

REPRESENTS STATE POSITIONS: The MFA is usually responsible for representing the interests of the country during negotiations, meetings and the sharing of best practices. The Ministry is likely to send a representative either from its UN Permanent Mission or from capital to attend meetings if it has the capacity to do so. In order to carry out their role effectively, the official must be adequately briefed on the country's policies, interests and implementing progress. The MFA may also represent the country during bilateral or regional meetings to discuss collaborative opportunities.

Alternatively, Foreign Affairs may choose to send an official from another ministry, depending on the expertise required at a meeting.

FIRST POINT OF CONTACT: The MFA is usually appointed as the international authority for the NCM. It is responsible for sharing information about the mechanism's vision and for making decisions at an international level, especially if an NPC has not been designated.[8] In some cases, it is the Office of the Attorney-General that functions as the NPC for everything concerning the sharing of evidence, cooperation with other states and offering international legal assistance.[9]

The MFA is usually also responsible for submitting the final reports to UNODA and the ATT Secretariat. In states with small capacity and where an NPC has not been formally instituted, the MFA—acting as the NPC—is often in charge of working with all relevant government departments to coordinate strategies for the implementation of the national action plan (NAP). It also collects information required for reporting on implementation of the UNPoA.[10]

DISSEMINATION OF INFORMATION: The MFA should feed essential information gained during international, regional and bilateral meetings to other stakeholders. Key information includes:

- **Funding opportunities:** Disseminating information on international, regional and national funding and technical assistance available.

- **Cross-border partnership opportunities:** Fostering cooperation and exchanging information and technical assistance systems, both within and between states and with international organisations, with a view to strengthening the capacities of the coordination mechanism at the national and regional levels.[11]

- **Monitoring dates of key meetings and reporting deadlines:** Reporting on the implementation of instruments to appropriate international organisations in compliance with the UNPoA or the ATT.[12] See Section 3 for information on reporting requirements.

DEVELOP PARTNERSHIPS FOR COOPERATION AND ASSISTANCE: Both the UNPoA and the ATT encourage states to create, strengthen and facilitate cooperation and partnerships at all levels among international and intergovernmental organisations and civil society.[13] This includes UN bodies, individuals, parliaments, ministries, media, sponsors, politicians and political parties, security agencies, local firearm manufacturers, firearm importers, brokers, the judiciary and civil society organisations.[14]

The MFA can also foster and establish cooperation opportunities with donor states and beneficiary states, along with mutually beneficial information exchange and best practices. It can also facilitate the introduction of an assistance provider with an agency within its system that requires capacity-building. For example, Vanuatu's Ministry of Foreign Affairs, in partnership with the Pacific Small Arms Action Group (PSAAG), has facilitated the capacity-building of its implementing agency through a UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) grant.[15] The MFAs of states with larger capacity may run their own international development programme to help other states develop export and import controls.

CONTRIBUTE TO EXPORT ASSESSMENTS (exporting states or during transit): Given this ministry's role and deep expertise in the political and security situation in recipient countries, it often makes sense for it to assess some of the criteria associated with the approval of exports. For example, understanding the human rights situation, the security situation and whether weapons are likely to be used to exacerbate civil war are key aspects related to Foreign Affairs expertise.[16] This ministry is therefore often consulted by the Exporting Licence Authority in order to contribute to a decision whether or not a licence should be approved. It can also play a role in ensuring that arms are not exported in contravention of sanctions.[17]

The MFA is also key in ensuring that there is a uniform approach across countries and that arms control is implemented equally and in a coordinated manner.[18] For example, in the European Union (EU), the MFAs of Member States coordinate with one another on export licence refusals and approvals to ensure that one Member State does not export goods that another state would have refused.[19]

State practice: Kosovo	Kosovo's MFA, in partnership with the Ministry of Interior, will ensure adequate implementation of embargoes and the European Code of Conduct of Arms Exports. The MFA will also act as the leading agency for approving and reporting on progress to relevant international organisations for the control of small arms and light weapons (SALW).[20] Likewise, the MFA, and particularly the Department of Public Safety, collaborates closely with the Ministry of Transport to harmonise the law on dangerous goods.[21]

UN PERMANENT MISSION

The UN recognises the need to work as a coherent and coordinated body in delivering effective policy, reporting, programming and advice to Member States to reduce the lack of control in the proliferation and misuse of SALW.[22] The Permanent Missions to the UN of Member States represent their country's interests at the UN as well as at international meetings on the ATT. UN Permanent Missions contribute to the NCM by:

• **Representing the state and attending international meetings**

  • Keeping informed about upcoming meetings;

  • Attending meetings on the UNPoA and the ATT in New York or in Geneva—an excellent opportunity to develop a network of likeminded states to influence policy and share best practices;

  • Depositing ratifications with the UN Office of Legal Affairs.

• **Passing information to capital**

  • Passing *notes verbales* on reporting deadlines to the appropriate point person in a country's capital city. UNODA often sends a *note verbale* to Permanent Missions based in New York, for example reminding each state of the due date for its national report on UNPoA implementation.

  • Making sure that those in capital are aware of any announcements of funding opportunities.

  TIP: it is important to ensure that all such information is passed on to the point person in capital. For this reason it is also important to have an NPC in capital so the Permanent Mission has a clear line of communication with headquarters at home.

- **Liaising with counterparts**

  - Liaising with counterparts from other governments to share information and best practices;

  - Enhancing collaboration and seeking international assistance opportunities with appropriate governments.

- **The UN Permanent Missions often face challenges, including:**

  - Securing realistic and favourable negotiating outcomes for their own countries;

  - Reaching consensus with other countries around their own negotiating position;

  - Effectively translating and reporting back on Member States' decisions to their national governments to resolve incorrect implementation;

  - Changing priorities according to the national government's views and interests.

With the ATT Secretariat based in Geneva, another major challenge faces some states. Many small island nations and developing countries in particular do not have Permanent Missions in Geneva and it is too costly to send officials from capital to meetings. These states miss receiving valuable information required to decide and negotiate a position, then to have a voice at the table.

At working group meetings on the ATT, civil society representatives, representatives from small island states and donor governments held informal discussions on the challenges of logistics, travel and the headquarters of the ATT Secretariat. Ideas to improve the process were discussed and it was recommended that states discuss their challenges with the ATT Secretariat and donor states. UNDP will attempt to improve the sponsorship process to ensure increased participation on the part of developing states.

MINISTRY OF DEFENCE/MINISTRY OF INTERIOR/MINISTRY OF POLICE

The Ministry of Defence, Ministry of Interior and/or Ministry of Police can also play key roles in the National Control Mechanism:

NATIONAL POINT OF CONTACT: In smaller countries, the Ministry of Defence often plays a larger role; it can be the NPC for either or both the ATT and the UNPoA. In some states, such as Fiji, the Ministry of Defence (MoD) is responsible for all defence conventions, including the ATT and the UNPoA.[23] Fiji's Ministry of Defence also represents the state's interests at international meetings related to defence conventions. These convene bilateral defence conventions where weapons are sold, and where both exporters and importers with expert knowledge of a state's defence treaty obligations can coordinate on the risks of exports and discuss current international arms control measures.

In some countries, the Ministry of Defence leads the arms controls of the national agency and ensures that their obligations under international agreements are implemented. Some measures—including, for example, the elaboration of annual documents for information exchange, export control issues and the capacity-building, training and practices of the defence force[24] —also fall within the remit of the Ministry of Defence.

TECHNICAL ROLE: The MoD/Ministry of Interior often provides support to other authorities within the National Control Mechanism. This includes providing policy and technical expertise, materials and assistance to fulfil ATT and UNPoA obligations. Activities under these instruments can include drafting policies and procedures for marking, tracing, stockpile management and weapon destruction or coordinating the capacity-building of armed forces. They also contribute information for ATT and UNPoA reporting.

ACT AS EXPERT OR ADVISOR: The Ministry of Defence can act as an expert or advisor and participate in, monitor and influence negotiations on the ATT and the UNPoA when the topics of discussion have a direct impact on the defence system or the capability of the defence force. As agreements on conventional arms control can have an influence on the defence system, it is important for an Ministry of Defence to follow those negotiations with a view to influencing the process.[25]

PARTNERSHIPS AND COORDINATION: The Ministry of Interior/Ministry of Defence and MFA may liaise and coordinate their work on an ad hoc basis. Such coordination should include information-sharing through regular contact with NGOs and industry, and annual meetings on conventional arms which bring together relevant ministries, law-enforcement agencies and the arms industry. These meetings encourage important discussions about developments in arms control.[26]

EXPORT RISK ASSESSMENT (exporting states or during transit): The Ministry of Defence can be the Export Licensing Authority. In Finland, for example, the Ministry of Defence is the authorising agency for activities related to export control,[27] and conducts export risk assessments as required under the ATT. If an Ministry of Defence is not the authority which monitors export risks, it is often involved in assessing licences, since its officials can advise on the likelihood that an arms transfer could threaten state security or whether the export of specific controlled goods might negatively affect the security and stability of the exporting country enough to make it an overriding risk. For transiting states, the Ministry of Defence may be able to provide nuanced knowledge of the illicit trading routes in the region.

STATE PRACTICE: ROLE OF THE MoD	
State	**Practice**
Cambodia	Cambodia has a Weapon Control Commission in each of the six military regions of the Cambodian Army. These are not directly responsible to the National Control Mechanism, but instead report to a central Weapon Control Commission in the Ministry of National Defence. This chain of communication is important to the implementation of SALW policy and management reform within the army.[28]
Colombia	In Colombia, the MoD often plays the role of Technical Secretariat of the National Control Mechanism , having a permanent position within it. It also:[29] • supports coordinating agencies through the promotion and coordination of activities with the goal of fulfilling its responsibilities;[30] • agrees on regular or exceptional meetings called by the chairman; • organises and presents to the coordination mechanism the technical materials and additional documents it needs to carry out its functions;[31] • organises and develops ready responses to requests outlined within the scope of the NCM's competence;[32] • gathers and confirms all information provided as part of the evidence material that can be requested by national or international bodies on SALW; • executes additional responsibilities as may be assigned by law, the rules of procedure or the NCM itself.[33] In its 2016 report to the UNPoA, Colombia stated that the MoD has been responsible for implementing its Logistics Information System for the past ten years.[34] This system controls inventories, the movement of goods and distribution, acquisitions and removals of materials (weapons, ammunition and explosives). Similarly, it collects and retains data which identifies weapons, batches of ammunition, parts and components of national or foreign fabrication for use by the Public Force. It also keeps information on the legal status of the goods, maintenance conditions, the place of storage or use and the end-user.[35] In addition, Colombia's MoD also has an Information System for Weapons, Ammunition and Explosives. This registers detailed information about weapons, ammunition and explosives of national or foreign manufacture in the hands of natural and legal persons.[36] The characteristics of arms are recorded: the series, type and calibre, as well as photographic records and imprints. The system also registers the personal information of the bearer or holder, which helps provide a picture of the physical and storage conditions of legal weapons circulating in the national territory. In the field of international arms manufacture and trade, the Defence Industry maintains complete records of all transactions carried out, along with the transferred elements and actors involved.[37]

OFFICE OF THE ATTORNEY-GENERAL/MINISTRY OF JUSTICE

The Ministry of Justice (MoJ) and the Attorney-General (A-G) review legal and protocol aspects of the implementation of the ATT and the UNPoA, and identify synergies and discrepancies.[38] The various roles played by the MoJ include:

REVIEWING LEGISLATION/COMPLIANCE WITH INSTRUMENTS: National legislation enables a state to apply jurisdiction over individuals and entities that manufacture, import or export, over transit and brokering transactions involving conventional arms from its own territory. Both the ATT and the UNPoA require states to implement the national legislation, regulations and administrative procedures necessary to control conventional arms activities either internally or across borders. Some states provide detailed procurements, broadening jurisdiction to cover their nationals, permanent residents and companies when they conduct arms-brokering activities in other countries, whereas others do not.[39]

The A-G's office/MoJ provides advice on the legal implications of international and domestic policies. As all states have committed to the UNPoA, its officials should ensure that legislation is implemented effectively and that it complies, then regularly identify any gaps and make necessary changes—for example by harmonising their customs, arms and defence legislation.

Because the ATT is a new legally binding instrument, each state must review its compliance before ratifying or acceding to the treaty. If gaps in legislation are identified by the MoJ or the Office of the A-G, they may request that new legislation be drafted or existing legislation be amended to ensure full compliance. The A-G may choose not to approve ratification of the treaty until new legislation is in place.

DRAFTING AMENDMENTS AND BILLS: The Office of the A-G or MoJ is responsible for drafting and/or reviewing any new legislation or amendment in relation to the ATT or the UNPoA to ensure it complies with the constitution. For the ATT, some states have drafted entirely new legislation,[40] whereas others whose existing legislation had small gaps have made amendments.[41]

In the case of the UNPoA, states may want to include new legislation that covers forensic procedures related to the possession and use of controlled goods. These could include:

- stockpile management;

- marking and tracing procedures for its armed forces;

- clarifying terms embodied in acts, such as imitation firearms or homemade weapons;

- establishing exemptions for the use of controlled goods—for example, the carriage or use of antique firearms kept for collection purposes approved by the Commissioner;[42]

- creating separate offences for the possession of prohibited weapons without an exemption.[43]

It will be the responsibility of the Office of the A-G or MoJ to draft such legislation. Any proposed changes must then be submitted to parliament for review, revision or approval.

ENFORCEMENT ENHANCEMENT: The MoJ and the A-G's Office may also have a role to play in:

- strengthening the rule of law to reduce illegal possession of conventional arms;

- integrating legislation to tackle criminality associated with conventional arms;

- improving probation and correction service controls on arms trafficking in prisons.[44]

The MoJ or the A-G's Office may also review law-enforcement and judicial issues related to conventional arms. This could be a general revision of the current legal and enforcement system or looking more specifically at an aspect of arms control such as brokering activity or licensing. They may also wish to investigate a particular matter of concern such as an increase in dealers supplying conventional arms to persons without an appropriate licence and permit. In doing so, the MoJ or Office of the A-G may consult with a broad range of key stakeholders. This review is likely to take place in conjunction with the Ministry of Interior or the Ministry of Police. (See page 58 on tools to help legislators and officials in the A-G's office identify and fill legal gaps.)

STATE PRACTICE: ROLE OF THE A-G's OFFICE/MoJ	
State	**Practice**
Brazil	Under the MoJ and subordinated to the Federal Police, Brazil operates the National Arms System (Sistema Nacional de Armas—SINARM) to manage the possession and registration of firearms and to define crimes involving civilian firearms. In parallel, the Military Firearms Management System (SIGMA), established by the Ministry of Defence, is operated by the Brazilian Army. Both registers have national jurisdiction and are mutually accessible.[45] In Brazil, the MoJ oversees a national coordinating system for firearms with authority to: • identify the characteristics and properties of controlled goods in the process of registering them;[46] • register all weapons manufactured, imported and sold in the country; • grant and renew permits to carry firearms issued by the Federal Police; • register transfers, loss or theft, robbery, and other events likely to change the registration data, including the closure of companies involved in private security and the transportation of valuables;[47] • record alterations to the characteristics or performance of firearms;[48] • incorporate existing police records into the national firearm register; • record weapon seizures, for example in police and court procedures;[49] • licence certified producers, wholesalers, retailers, exporters and importers of arms, accessories and ammunition;[50] • provide the Secretariats of Public Security of Brazilian states and of the Federal District with records and authorisations to carry controlled goods in their respective territories, and to keep the records updated.[51] The firearms registered in Brazil are: • institutional firearms of the armed forces, police, intelligence agencies and the Security Cabinet of the Presidency; • private firearms owned by officers of the armed forces, intelligence agencies and the Security Cabinet of the Presidency; • restricted firearms owned and used by public security officers; • exported firearms, ammunition and other products controlled by the Army Command; • imported firearms or firearms acquired by Brazil for testing and technical evaluation purposes; • other firearms of restricted use and obsolete firearms; • firearms owned by collectors, sport shooters, hunters and diplomatic missions.[52] In 2013, former President Dilma Rousseff vetoed a Bill that would have amended Article 6 of the Disarmament Statute. The amendment currently authorises only certain categories of professionals, as listed in the article, to carry firearms when off duty.[53] The Bill would have extended such authorisation to prison agents, prison guards, prison escort guards and port guards. According to the national government, this extension would have increased the number of firearms in circulation, therefore counteracting the national policy to combat violence and Brazil's Disarmament Statute.[54]

CASE STUDY: MoJ COLLABORATES WITH CIVIL SOCIETY	
State	**Practice**
Papua New Guinea (PNG)	Papua New Guinea's Department of Foreign Affairs organised a workshop in collaboration with PSAAG and local CSOs in 2016 to identify the nation's needs for implementing the ATT and the UNPoA. One topic was PNG's need to build capacity for considering the legal provisions of the UNPoA, including marking and tracing, and to deal with enforcement issues related to 'homemade' firearms often used in tribal conflict.[55] The meeting included strong MoJ representation. Experts at the workshop made a number of recommendations to the government of PNG, including the need to: • review and address legislative loopholes highlighted by the UNPoA, with emphasis on amending the Firearms Act to cover manufacturing, plus new brokering legislation to be enacted within the next 2–3 years;[56] • revise and identify training and enforcement challenges, including needs assessment for technical and policy assistance such as legislative review, broadening manufacturing and brokering legislation, expanding international cooperation, drafting policy, training on UNPoA standards and ATT provisions and on new technologies for marking and tracing.[57] Recommendations were also made outlining the importance of new legislation or amendments relating to the ATT.[58] An official from the MoJ presented a gap analysis on ATT compliance which showed that most provisions were already in place, while a few like brokering controls would need to be introduced. The MoJ suggested creating an ATT and UNPoA working committee together with the Departments of Prime Minister and National Executive Council, the Ministries of Foreign Affairs, Justice and the Attorney-General, Defence, Transport, Police, Immigration, Correctional Services and Customs, plus those responsible for overseeing the review of the ATT process.[59]

TOOLS TO HELP LEGISLATORS

In consultation with Pacific island states, New Zealand developed an ATT 'Model Law' to help officials comply by incorporating ATT commitments into their own legislation.[60]

The Model Law provides a framework to guide small states in all the world's regions to implement the ATT. Each part contains an analysis of the relevant ATT provisions and model legislative guidelines.[61] States Parties to the ATT are also required to implement additional commitments—including diversion prevention, reporting and international cooperation and assistance—through other measures.

The Model Law includes:

- an analysis of definitions for an ATT Implementation Act;

- provisions on export licensing and risk assessment by the relevant authority;

- provisions on import licensing;

- provisions on regulating transit and transshipment;

- provisions on registering brokers and licensing brokering activities;

- record-keeping provisions for the state, brokers and other arms importers/exporters;

- administrative tools for adopting regulations and forms for various licences, with details of the records to be kept;

- a list of controlled goods to serve as the national control list under Article 5(4) of the ATT;

- model regulations that could be adopted in conjunction with the main legislation.

Model legislation for firearm laws has also been developed in other regions of the world, including some in Africa and Latin America that relate to the UNPoA.[62] These models support the work of legislators and legal drafters by allowing them to quickly adapt provisions using their own drafting methods for inclusion in a new law.

MINISTRY OF PRIME MINISTER AND CABINET

The Prime Minister (or head of government) and Cabinet are responsible for setting the direction of all ministries and coordinating bodies. They determine the priorities government should focus on, particularly when resources are scarce; they can also outline the best coordinating mechanism according to local priorities, which can then set tasks. Cabinet usually includes the heads of several implementing agencies, and can hold ministries to account for fulfilling arms control and other objectives.[63]

It is often possible that an export or an import may be particularly important, or there may be a finely balanced argument about whether it complies with the ATT. For this reason Cabinet and the head of government should have oversight of the process, be consulted on important licences, and may also request justification for specific licences as they arise. This lends transparency to the export and import process and ensures that corruption and bad decisions are less likely to occur. As the Head of State, the Prime Minister or President also has to ratify and agree on high-level treaties such as the ATT.[64]

State practice: Trinidad and Tobago	In Trinidad and Tobago, former Prime Minister Kamla Persad-Bissessar supported and celebrated the ratification of the ATT as a way to ensure a more peaceful resolution of international conflict. The Prime Minister, with the support of the Ministry of Foreign Affairs, spearheaded the analysis and promotion of the ATT at the regional and international levels.[65] Similarly, the Ministry of the Prime Minister advocated ratification by all member states of the Caribbean Community and their full implementation of the provisions of the instrument.[66]

PARLIAMENT

Parliament plays an important institutional role in the process of implementing the ATT and the UNPoA.

The role of parliamentarians, acting as legislators and policy-makers, is essential to:

- generate discussion on implementation strategies with interest groups, civil society, capacity-building organisations and the private sector;

- encourage parliamentarians to consider the risks and expectations in implementing the ATT and the UNPoA;[67]

- formulate, implement, then conduct oversight and evaluation of national legislation.

Parliamentarians are particularly important to the effective adoption of the ATT and to its integration into the UNPoA.[68] For example, parliament may legislate:

- at the national level to ratify international treaties;

- on new laws to track and deter the illegal carrying of arms;[69]

- on amnesty, seizure and disposal programmes.

- new measures to improve arms transfer controls

Legislators must also be involved in:

- supervising the decision-making process for arms licences—including post-licence and pre-licence processes;[70]

- engaging in consultations with civil society or responding to issues raised on conventional arms issues;

- sensitising public opinion on the ATT and the UNPoA, as well as monitoring and holding the government accountable for its policies;

- ensuring transparency and accountability in the system: they should be able to request briefings on national reports on arms transfers and to raise technical and political issues relating to transfer control by pointing to specific details of potential or past arms sales;[71]

- ensuring that adequate budget and resources are allocated to implementing the ATT and the UNPoA, and approving such allocations;

- ratifying the Head of State's position on the ATT in order to give legal standing to a country's obligations, thus ensuring that implementation of the ATT continues beyond the policy decisions of a single head of state's term in office;[72]

- maintaining an open platform for the integration of activities and stakeholders working to develop effective arms control—this is particularly important at the international level.

The role of parliamentarians in tracing

The role of parliamentarians in tracing is important to achieving timely and correct implementation. Besides providing an adequate legal framework, parliamentarians use tracing as an instrument to coordinate with the government, organise public hearings, examine the implementation process and supervise the arms trade in their country.[73] At the international level, the UN International Tracing Instrument (UN-ITI) requires agreement and harmonisation as an important tool for legislators. This is so because most transactions involve more than one country.[74] However, a lack of resources has created problems for many countries, largely because some tracing equipment is expensive and out of the reach of countries with limited resources. For this reason, parliamentarians can play a key role in allocating resources as well as reviewing and reforming national legislation to facilitate tracing—both nationally and internationally.[75]

OTHER RELEVANT AGENCIES—ADVISORY AGENCIES

To ensure that implementation is effective, the National Control Mechanism is required to integrate representatives of the appropriate security and law-enforcement agencies (or their respective ministries), the most appropriate CSOs, and other relevant ministries, such as education, health and finance, which are often not included.[76] Participation in the NCM is not necessarily fixed, however: each State Party should establish its own form of membership, taking into account its capacity and resources, and the extent of any arms control challenges.

For example, in Kenya the Ministry of Mining is represented in the country's National Control Mechanism because it controls the movement and use of explosives for mining.[77] In Namibia, representatives of the Ministry of Environment and Tourism are included, since hunting tourism is a major cause of arms entering the country.[78]

Other agencies that may be involved include:

- **Ministry of Education:** Can develop arms awareness-raising programmes, including school activities to educate students about SALW issues, risks and responsibilities.[79] For example, in 2013 the UN Regional Centre for Peace and Disarmament in Asia and the Pacific launched its 'Peace and Disarmament Education Programme' in Nepal.[80] This helped Nepal's Ministry of Education to build the capacity of curriculum developers and textbook writers to integrate peace and disarmament education into Nepal's school curricular materials.[81] This project reinforced Nepal's efforts to cement peace at the national level by helping children and teachers understand and adopt non-violent ways of dealing with conflict, and ultimately to change their behaviour.[82]

- **Ministry of Finance:** As some governments involve Customs as a tax collector on imported goods, this may be a suitable partnership to develop and monitor arms import controls.[83]

- **Ministry of Health:** May take part in examining an individual's medical fitness to possess firearms in accordance with legislation,[84] informing police or the Ministry of Interior when a firearm owner is no longer considered medically fit to possess controlled goods.[85] The Ministry of Health can also provide statistics on gunshot wounds and the public health cost of treating them.

- **Ministry of Children and Youth:** May support youth-led organisations in the prevention of armed violence and the development of peacebuilding activities, and perhaps also:

  - push for policies on matters related to youth affairs, armed violence and gun suicide;

  - facilitate and encourage cooperation between multiple stakeholders;

  - undertake research and disseminate information on the control of firearms, especially among youth and children living in vulnerable environments;

  - educate youth on the adoption of the ATT and the UNPoA and their implementation;

  - provide sponsorship and mobilise resources for initiatives to prevent armed violence, launch Disarmament, Demobilisation and Reintegration programmes and introduce peacebuilding education in both rural and urban areas.[86]

- **Ministry of Women:** May play a key role in activities aimed at preventing conflict and controlling arms. Some countries rely on synergies between different departments with gender-related mandates, while others maintain a dedicated ministry. Women's representation in government and parliament helps raise gender perspectives in decision-making and policies.[87] Building capacity on gender issues and increasing female recruitment in all ministries and departments often leads to increased national commitment to implementation of arms control.[88]

State practice: Australia	For governments, the gendered aspects of arms control are very important given the specific impacts of armed violence on women, girls and young men, especially in conflict situations.[89] In Australia, the Office for Women within the Prime Minister and Cabinet, together with the Department of Defence, the Federal Police, the A-G's department, the Ministry of Health and the Department of Foreign Affairs, all play a significant role in the implementation of peace-related issues that include women.[90]
	Likewise, working with CSOs and women's organisations is fundamental to promoting equality and to increasing women's participation in preventing and resolving conflict, building peace and ensuring relief and recovery.[91] The active participation of civil society, particularly women's rights organisations, is essential to bringing women's lived experience of armed violence into global negotiations. Australia's support of civil society engagement in the development and negotiation of the ATT and in dealing with SALW is one example of how governments can work towards the inclusion of women in decision-making.[92]
	Australia's National Action Plan on Women, Peace and Security (2012–2018) highlights the importance of involving women in controlling arms that have a specific impact on women and girls in conflict situations. Australia also supports the Caribbean Coalition for Development and Reduction of Armed Violence, building a common approach to the Arms Trade Treaty for CARICOM.[93]

3.2 GOVERNMENT IMPLEMENTING AGENCIES

Once policy is set, military, police, correctional services, customs and the arms industry are the most common institutions to implement and enforce the arms control provisions of the ATT and the UNPoA.

Clear and defined roles, mandates and responsibilities are important to strengthen collaboration and cooperation between implementing agencies. It is also important to match international norms by setting clear sanctions and strong penalties for violations of arms transfer controls.[95] These roles and responsibilities are outlined below.

MILITARY

The UNPoA emphasises the importance of maintaining strict accountability for state-owned weapons and ammunition. Management, security and custody of arms should be a clear government priority, with defence forces setting an example by applying stringent control measures on all weapons, munitions and explosives. To secure and to minimise the risk of diversion, the military requires:

- an effective system to individually identify and to accurately track each weapon;

- secure armouries and magazines wherever state-owned arms and ammunition are stored;

- unit-by-unit accountability for storage facilities, reporting regularly to central command;

- accurate central registers with strict accounting procedures, including regular inspections;

- swift and thorough investigation whenever loss, theft or other diversion occurs;[96]

- the inclusion of privately owned, drill-purpose and display weapons;[97]

- regular stock reviews to identify surplus weapons and ammunition for disposal.[98]

Military personnel who contribute to UN peacekeeping missions must also understand their obligations. For example, taking arms to another state on a peacekeeping mission is not considered an export transfer, unless weapons are left behind.[99] To ensure that peacekeepers have appropriate weaponry, contributing states may also apply for import licences with appropriate approvals.

NOTE: Military forces are also requested to provide comprehensive information to the NPC for reporting to both the ATT and the UNPoA.

POLICE

Law-enforcement agencies play a key role as lead implementers of ATT and UNPoA provisions.

ENFORCEMENT OF LAWS: Perhaps their most significant role is the enforcement of legislation to ensure the effective implementation of arms control instruments, for example possession or transfer of unlicensed firearms or arms brokering without a permit. To do this, a state must have comprehensive and consistent legislation to support police.

INVESTIGATION: Successful prosecution of crimes like trafficking illicit goods across borders often relies on forensic analysis, as customs, police and other agencies establish the evidence required in court.[100] This process can be difficult for small island states and developing countries which do not have the requisite technology, or face delays waiting for results.

NATIONAL POINT OF CONTACT/FOCAL POINT: In some developing countries, the national police or border security agency must also act as focal point for UNPoA implementation.[101] For example in Saint Vincent and the Grenadines, the Police Force within the Ministry of National Security acts as national coordinating agency, controlling conventional arms in partnership with other government departments (see page 14).[102]

ANALYSIS AND DISSEMINATION OF INFORMATION: Police and border protection agencies commonly analyse and exchange arms control information, which can also be reported to parliament.[103] If rapid, efficient and regular, this flow of intelligence makes a vital contribution to any national coordinating mechanism. Evidence-based policy advice for officials and drafters of legislation is particularly important to ensure realistic solutions to arms control challenges. In many cases, police and customs authorities sign an agreement of understanding to ensure the open exchange of information.[104] For example, Fiji police, military, and border protection agencies regularly exchange information on firearm proliferation and related issues in order to prevent criminal activities.[105]

TRAINING AND CAPACITY-BUILDING: Police are responsible for requesting training and capacity-building on arms control instruments from the national coordinating agency—in particular, to close any identified gaps. Keeping up-to-date on international standards and advances in the ATT and the UNPoA is essential to develop action plans to ensure compliance with state obligations. Likewise, police must effectively communicate their needs in order to carry out these activities.

IMPORTS, STORAGE AND AUDITING: To import weapons for use by law enforcement agencies, an arms dealer may conduct customs procedures on their behalf, and should leave a clear audit trail to each storage facility. As most police forces do not permit regular-duty officers to retain service weapons while off duty, police stations must also function as armouries and ammunition magazines.[106] To prevent diversion and theft, rigorous accountability is required to record access and to regularly audit all weapons stored, including in-transit and confiscated firearms, and those sent for repair.[107]

NOTE: Police are also requested to provide comprehensive information to the NPC for reporting to both the ATT and the UNPoA.

State	Practice
Samoa	Samoa's Police Powers Amendment Bill of 2017 firmly restricts the use of weapons.[108] Routinely unarmed, in most cases Samoan police may only deploy firearms with ministerial approval, for example:

• when it is believed that a suspect is armed;

• when the life of a police officer executing a warrant may be threatened;

• when the minister 'has reason to believe that the safety of the public is under threat';

• or when 'the arming is otherwise in accordance with relevant police internal orders or rules'.[109]

This amendment came 11 months after an Ombudsman's Report which looked into a 'watershed moment in the history of Samoa', in which police used firearms in a public place to carry out the pre-planned arrest of an individual.[110] The report recommended that:

'Section 13 of the Police Powers Act to be reviewed by the Ministry of Police, in consultation with the Office of the Attorney-General, to prescribe a clearer process and parameters for issuing authorisations for the use of firearms, and the inclusion of a provision and guidelines for use of firearms in urgent situations without prior ministerial approval. Such provision should include a clear accounting process for justification after each use of firearms by police.'[111]

The Ombudsman emphasised that:

'It must be made clear that circumstances do exist where Police require the use of firearms for their own safety and the safety of the public, and this investigation is not suggesting for one moment the total banning of firearms by the police. It is more concerned with ensuring that their use is limited to proper and rightful use within the law.'[112]

In 2016, a two-month arms amnesty collected 322 firearms and rounds of ammunition. Along with other items found by police in raids and other circumstances, the arms were publicly destroyed using a heavy machine. The amnesty was funded in part by the Australian Federal Police.[113]

State	Practice
Kosovo	In Kosovo, the Ministry of Internal Affairs is responsible, through its police force, for the control of arms, ammunition and explosive materials.[114] Police cooperation and coordination with customs and border control is fundamental to combating illegal activities that endanger national safety. The Department of Safety within the Ministry of Foreign Affairs operates jointly with the Ministry of Transport to administer and enforce laws on dangerous goods.[115]

CUSTOMS AND BORDER PATROL

The role of customs and border control agencies in importing and transit states are outlined above (see page 41). In other circumstances, their role can be broader.

Customs authorities administer laws concerning the import, export and transit of goods, including the revision of transport procedures such as goods transportability and the modes of entry and exit from a specific sector. As an implementing agency for a government which observes the ATT and the UNPoA, they have four main roles:

- work closely with the export and/or import licensing authority;
- monitor the borders and control the flow of goods in both directions;
- provide expertise in trading patterns, border monitoring and suspicious activity;
- develop effective cross-border collaborations.

LINK WITH EXPORT/IMPORT LICENSING AUTHORITY: While customs services are not often involved in the assessment of arms transfer licences, they are critical in controlling both imports and exports at ports, and putting in place control mechanisms to ensure that illegal exports are minimised. They are usually linked to the Export Licensing Authority to share information on which companies have licences and for what quantities, and to update the licences when the goods have been shipped, so that over-shipping does not occur. Customs is also involved in collection of any import/export taxes on arms.[116]

To help import licensing authorities, many states share licensing data electronically with customs officials and border posts.[117] However, many small island states and developing countries have no access to such systems, making it impractical to effectively monitor their own borders. States in this position may prioritise obtaining software and training, perhaps through funding mechanisms such as UNSCAR and the ATT Voluntary Trust Fund.

MONITOR BORDERS AND CONTROL THE FLOW OF GOODS: Police, customs and border control agencies are ideally placed to monitor, search and detain goods and personnel on entry and exit.[118] Yet although cargo and document inspection is crucial, training and expertise in correct identification, especially of parts and components of arms, is often lacking.[119] Officers need clear legislation and procedures to carry out their duties in a uniform manner. For a prosecution to succeed, and in partnership with police, customs must often delve into details of an arms transfer and understand the documents, company records and profiles of the individuals involved.

SHARE EXPERTISE IN TRADING PATTERNS/IDENTIFY SUSPICIOUS ACTIVITY: Customs officials are often the first to see indications of arms diversion, and must therefore understand their state's obligations under the ATT, and be kept up to date on UNPoA implementation. Although few small island states and developing states possess adequate resources to effectively monitor vast oceans, they retain great advantages in local knowledge and community-led surveillance methods. For these reasons, sharing best practice between small states with similar problems can be more advantageous than attempting to mirror the sophisticated techniques of better-resourced states.

CROSS-BORDER COLLABORATION: Customs is often also involved in cross-border coordination with neighbouring countries to ensure that illegal exporters in one country are not free to operate in another, and that borders are controlled adequately on both sides to prevent diversion. The UNPoA emphasises the importance of developing states cooperating, exchanging experiences and offering training to law-enforcement officials—including customs, police, intelligence and arms control officials—at the national, regional and international levels to combat the illicit arms trade.[120] For this reason, to implement more effective customs controls, it is important to have the support of different organisations providing assistance and cooperation. (See page **X** for more information.)

For example, the World Customs Organisation and Interpol both provide and facilitate assistance to, and cooperation between law-enforcement, customs and other border control agencies. These activities are key to strengthening countries' capabilities to implement their conventional arms transfer controls.[121] The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies produces guidelines on best practices to cover aspects of controlling transfers and dual-use goods and conventional arms. These guidelines are publicly accessible and can be used by states seeking to make their national systems comply with the ATT requirements.[122]

CAPACITY GAPS: HINDERING CUSTOMS WORK

Despite the important role customs officers play in the implementation of the ATT and the UNPoA, they often lack the technical expertise and equipment required to identify the strategic potential of transports. It is necessary to provide authorities with capacity-building and increased knowledge on trading systems and patterns as well as on treaty obligations. Officers must be provided with materials and manuals to guide them in their work, and training to carry out their tasks effectively. In countries with more resources, officers commonly have access to electronic risk-assessment systems and will also be able to direct technical questions to an organised network of experts.[123] In countries with fewer resources, customs officers lack even the basic tools to inspect cargo—whether it is in a container or a truck storage area—such as torches and mirrors to look under vehicles. Items like scanners and X-ray equipment can make a big difference to implementing the ATT and the UNPoA effectively.[124]

3.3 CIVIL SOCIETY

For the national coordinating mechanism, CSOs) function as a link to local communities that are directly affected by illicit flows of conventional arms:[125] In recent years a variety of international, national and regional organisations and CSOs have been involved in activities such as collaboration, coordination and assistance focused on the ATT and the UNPoA to:

- provide the NCM and implementing agencies with community-level information on illicit arms challenges, helping to develop effective and pertinent solutions to local problems;[126]

- transmit the interests and priorities of communities to the NCM, ensuring that community concerns are considered and issues are resolved;[127]

- inform communities about implementation and advances achieved by the NCM;[128]

- create awareness-raising activities that emphasise the importance of states strengthening their arms controls to prevent diversion of conventional arms to the illicit market;[129]

- advocate transparency in all aspects of the ATT, including detailed reports by the state regarding the extent and scope of arms interdictions, destruction, imports and exports; [130]

- participate and/or request participation in all the meetings, forums and processes related to the strategic implementation of the ATT and the UNPoA;[131]

- provide states with legal, technical and knowledge assistance concerning arms transfers or arms control;

- monitor, evaluate and report on implementation advances and the progress of the ATT and the UNPoA, and assess the effectiveness of arms control activities, including export and import controls;[132]

- generate policy proposals to governments at all levels, both locally and nationally;[133]

- provide guidance in developing appropriate laws and compliance with the ATT and the UNPoA.[134]

Conversely, NCMs may collaborate with civil society in programmes and development initiatives that create awareness and support the state's activities to reduce illicit flows of arms.[135]

CSO PRACTICE: EXAMPLES OF CSOs AIDING THE NCM	
CSO	**Practice**
Parliamentarians for Global Action (PGA), a non-profit, independent international network of legislators	In 2014, PGA carried out a regional parliamentary workshop in Argentina to encourage ratification and implementation of the ATT. It focussed on transfer controls, international instruments and the promotion of regional cooperation. The workshop provided assistance materials and a forum to discuss, analyse and understand the different components of the ATT.[136]
Saferworld, an international peace-building organisation	In 2015, Saferworld held a meeting in Costa Rica with the participation of its Expert Group on ATT Implementation to discuss ways to control brokering, transfer and transshipment, as well as strategies to reduce arms diversion.[137]
Small Arms Survey, an international research and policy think tank	The Small Arms Survey provides information on SALW to government and other agencies. In just one example, the Survey's 2015 publication 'Behind the curve: New technologies, new control challenges' highlighted recent developments in conventional arms. The report discusses the increasing use of polymers in SALW production and identification technologies to help trace new models of weapons.[139]
Nonviolence International Southeast Asia	In 2017, Nonviolence International Southeast Asia, together with the Centre for Political Studies (Pusat Penelitian Politik) and the Indonesia Institute of Sciences, carried out round-table discussions on 'Arms Trade Treaty Universalization and Implementation in Asia'.[140] The discussions were part of series of meetings in several Association of Southeast Asian Nations (ASEAN) member states between NGO representatives, academics and practitioners with Ambassador Klaus Korhonen, President of the Third Conference of States Parties of the ATT, and the Head of the ATT Secretariat, Mr Dumisani Dladla. The meetings were an opportunity to reach out to potential States Parties and to engage in dialogue about issues concerning the ATT. The discussions canvassed illicit arms sales in conflict regions, the need to engage more stakeholders and generate more awareness, the support of NGOs at the local level, and women's participation.[141]

3.4 INDUSTRY

The NCM should ideally also include industry representatives. Arms manufacturers, dealers and their trade associations are key to efficient implementation as they produce weapons for both domestic use and for export.[142] An effective relationship between government and the defence industry is essential to developing a national control system for arms transfers. This includes responsibilities on both sides, with three broad areas of concern: legal requirements, communication procedures and transparency.

LEGAL REQUIREMENTS: Industry is required to follow national laws and regulations regarding transfers of conventional arms. These requirements and obligations—including national strategic trade control laws and policies—must be outlined and explained in a continuing, joint industry–government dialogue in order to avoid violations. Likewise, industry should be consulted on how legislation will affect processes and procedures or have economic implications. Normally, industry is approached by the licensing authority to share information about trade-control requirements.[143]

COMMUNICATION PROCEDURES: Governments must fulfil legal requirements to inform industry about its obligations to register or apply for licences, keep records and inform authorities.[144] States communicate with industry through publications, websites, face to face and through trade associations to:

- ensure that all stakeholders involved in national implementation of transfer controls are clear about the processes, procedures and legislation;

- facilitate information and guidance on how to develop an Internal Compliance Programme.[145] The government offers recommendations about the content and structure of the ICP and acts as the authority in charge of certification.[146] These processes help to build trust between companies and government agencies;[147]

- help industry provide voluntary information to governments when a company has violated the law unintentionally;[148]

- increase transparency between different institutions, such as trade associations;

- open spaces for industry to participate in the development of new proposals on transfer control legislation and control lists.[149]

TRANSPARENCY: Materials, tools and procedures should be developed to build a cooperative working relationship between government and industry. To promote transparency and consistency for industry a government may:

- develop official websites that make licensing and regulation procedures publicly available, and produce guides and manuals outlining licensing processes and responsibilities;

- implement practical procedures and activities such as making periodic visits to companies, carrying out workshops and conferences for defence equipment manufacturers, exporters, importers, and brokers; and

- establish protocols for cooperation with local chambers of commerce.[150]

In the interests of trust and cooperation, the relationship between government and industry must be mutually transparent and promote collaboration.

As part of building this industry–government relationship, capacity-building activities should be provided to defence companies to develop a comprehensive knowledge of the elements included in the ATT and the UNPoA.[151] In this, governments and the defence industry should consider several elements when collaborating on ATT and UNPoA implementation:

- Cooperation and knowledge-sharing mechanisms must be developed between national governments, international mechanisms and the private sector in order to guarantee comprehensive implementation.[152]

- The UN and its Member States should ensure they are up to date with the way the Defence Industry (both national and international) works, and employ industry experts to advise on technological developments.[153]

- To help bring the private sector on board, states need to clarify the long- and short-term benefits to industry associated with ATT and UNPoA implementation.[154]

- The private sector needs to adjust its policies and operational framework, to cope efficiently and effectively with the ATT obligations. These adjustments will allow industry to be more flexible in response to changes in regulatory frameworks, and be more competitive as the ATT is ratified by more countries.[155]

3.5 KEY UN AGENCIES AND INTERNATIONAL ORGANISATIONS

The ATT emphasises the important role that international organisations play in supporting States Parties with implementation.[156] The ATT encourages countries to request, offer or receive support from the UN, international, regional, subregional or national organisations, NGOs, or bilaterally.[157] International cooperation, information-sharing and support to states with low capacity or expertise will be key to reinforcing national controls on international arms transfers.[158]

The UNPoA recognises the international community's responsibility to prevent, combat and eradicate illicit trade, and acknowledges that dealing with this issue generates multiple and diverse challenges to ensure security, conflict-prevention and -resolution, crime-prevention, and humanitarian, health and developmental dimensions.[159]

ATT SECRETARIAT

The ATT Secretariat is an independent, Geneva-based institution established under Article 18 of the ATT to assist States Parties in the implementation of the treaty. It provides governments with expertise and a forum for exchanging best practices, and its responsibilities include the following:

- facilitate, receive and disseminate national reports from States Parties;[161]

- update and disseminate the list of NPCs to States Parties;[162]

- provide States Parties with assistance to implement the ATT as required, and promote international cooperation;[163]

- organise and provide the resources for annual ATT Conferences of States Parties and other ATT-related events;[164]

- carry out other duties related to the Conferences of States Parties.[165]

The contact details of the ATT Secretariat are:[166]

Address:

7bis Avenue de la Paix
WMO building, 2nd floor
1211 Geneva
Switzerland
Website: <www.thearmstradetreaty.org>
Email: <info@thearmstradetreaty.org>

Staff:

Mr Dumisani Dladla, Head of the ATT Secretariat
Ms Sarah Parker, Policy Support Officer
Mr Stefan Ott, Administration Support Officer

UNITED NATIONS

Apart from the ATT Secretariat, the UN also plays a key role in the implementation of the ATT and the UNPoA at the international level. A list of some of the most influential UN actors is presented below, including some examples to illustrate the type of support they offer.

UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)

UNDP, through the Bureau for Conflict Prevention and Recovery, plays a leading role in helping countries to reduce illicit arms flows and to improve SALW controls. UNDP also addresses the needs of former combatants and other armed groups through programmes that provide diverse possibilities and development opportunities and build capacity at all levels to promote human security and reduce armed violence.[167] In this context, UNDP fully supports the efforts of the UN Coordinating Action on Small Arms (CASA) to formulate and implement a multidisciplinary, comprehensive approach to the problem of SALW proliferation.[168] UNDP has supported national governments in more than 30 countries in Africa, Asia, Latin America and Europe to:

- develop sound legislative provisions for strict SALW control;

- support national commissions by providing training and capacity-building aimed at developing NAPs on SALW;

- implement commitments on the marking and tracing of small arms and put into operation best practices on stockpile management; and

- strengthen the capacity of security agencies to collect, register or destroy illicit arms.[169]

CASA

CASA is the UN's small arms coordination mechanism. With UNODA as CASA's appointed focal point, its members provide broad expertise to offer an integral and comprehensive framework to all aspects of arms control, including crime, terrorism, sustainable development, human rights, gender, youth, health and humanitarian issues. CASA provides a platform to develop initiatives and collaboration, helping Member States to implement arms instruments effectively.[170] Initiatives include research, capacity-building projects, training workshops and technical assistance and, more recently, the development of international standards for small arms controls.[171]

UN OFFICE FOR DISARMAMENT AFFAIRS (UNODA)

UNODA, in collaboration with the UN Regional Centre for Peace (UNREC), the UN Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) and the UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC), is the agency responsible for providing states with assistance to implement the UNPoA. UNODA reviews states' national reports on their UNPoA implementation, analyses information, helps determine a state's needs and distributes this information through its online platform, the UNPoA Implementation Support System (POA-ISS)[172]. The POA-ISS platform also offers a series of guides and tool-kits to assist with UNPoA implementation.[173]

UN TRUST FACILITY SUPPORTING COOPERATION ON ARMS REGULATION (UNSCAR)

UNSCAR and its ten donor nations support the ratification and implementation of the ATT and UNPoA by providing sponsorship and resources to a diverse range of projects. UNSCAR encourages effective coordination and monitoring and the allocation of adequate resources to ensure the efficiency of aid, improved sustainability and better tracking.[175]

UN REGIONAL OFFICES

UN Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD)	
Description	**Example activity**
The UN Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) focuses on conventional arms control, especially UNPoA implementation and the ratification and implementation of the ATT.[177] The Centre works in particular to create and strengthen alliances with regional organisations such as ASEAN,[178] the Pacific Islands Forum (PIF)[179] and the South Asian Association for Regional Cooperation.[180] Such partnerships help governments confront risks involving illicit SALW, develop their capacities to prevent and reduce armed violence, and strengthen their competencies to develop disarmament outreach programmes and awareness activities.	Regional Legal Assistance Workshop on the Implementation of the Arms Trade Treaty[181] This workshop was carried out with the support of the Government of the Kingdom of Cambodia and the Government of Australia in Siem Reap. Its purpose was to provide legal knowledge to states on how to carry out the process of ratification and accession to the ATT once adopted by Member States. Activities included evaluating commitments involved in the ATT, then measuring impacts and potential challenges to addressing them in national legislation.[182] The workshop included government experts, policy-makers and those working on national legislation. International legal experts shared relevant information on legal aspects and the mechanisms for assistance in ATT implementation.[183]

UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC)[184]

Description	Example activity
UNLIREC's Arms Trade Treaty Implementation Course assists states to widen their understanding of ATT obligations, strengthens government institutions and methods to assist with ATT implementation and fortifies their arms transfer control systems and legislation. UNLIREC also runs capacity-building programmes to help states comply with international arms stockpile standards, including the elimination of recovered, decommissioned and surplus firearms and ammunition.[185]	Arms Trade Treaty Implementation Course Duration: 1–4 March 2016 Place: Montevideo, Uruguay Implementer(s): United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC)/Uruguay Ministry of Foreign Affairs Facilitator: Colonel Daniel Farías, Chief of the National Arms Register and the Arms and Weapons Service of the Ministry of National Defence Sponsor(s): Government of Germany Participants: • Ministry of Foreign Affairs • Ministries of National Defence and Interior • Customs Department • National Anti-Asset Laundering Secretary • Attorney-General's Office. Description The course aimed to provide states with the tools necessary to implement the ATT effectively and to assess appropriate arms control transfer mechanisms aimed at preventing illegal diversion.[186] The four-day course was divided into seven focus areas:[187] • Transfer control • National legislation • International instruments • Regional cooperation • SALW • Final control user • Risk evaluation. During the course, participants aimed to analyse: 'the regional conventional arms trade, classify arms under the application of the treaty, test their knowledge of the regulatory provisions that need to be applied; familiarise themselves with end-use and end-user documentation, and simulate the decision-making process from the perspective of the national supervisory authority'.[188]

United Nations Regional Centre for Peace and Disarmament in Africa (UNREC)[189]	
Description	**Example activity**
UNREC supports African Member States and intergovernmental organisations in their disarmament and non-proliferation efforts, through capacity-building and technical assistance.[190] It focuses on four major thematic areas: SALW; Conventional Arms; WMD; and Security Sector Reform.[191]	Ratification and Implementation of the Arms Trade Treaty.[192] Implementing agency: United Nations Regional Centre for Peace and Disarmament in Africa.[193] Project timeframe: 1 January 2015–31 December 2015 Target region: Africa (includes West Africa and island states) Goal: Support the ratification and future implementation of the ATT and improve understanding of the treaty.[194] UNREC organised three workshops on ATT signature and ratification for African states: 1. One workshop on the human rights and gender aspects of the ATT published an outcome document titled 'Implementation of ATT Obligations relating to Human Rights and Gender-Based Violence'. Recommendations from the workshop were published as an advocacy toolkit: 'Gender Dimensions of the Arms Trade Treaty'.[195] 2. Another workshop resulted in a paper entitled 'Synergies and Complementaries between the ATT, the ECOWAS Convention on SALW, the UNPoA and Other Disarmament Instruments'.[196] 3. In 2015 the Centre organised a third workshop to bring together government representatives from all six African small island developing states (SIDS), the African Union (AU), the Regional Disarmament Branch of the UN Office for Disarmament Affairs and the Institute for Security Studies (ISS Africa). This identified small-state needs and challenges regarding the implementation of the ATT, looking at measures to deal with specific challenges.[197]

3.6 CONCLUSION AND RECOMMENDATIONS

This section set out to provide detailed information on the role of various stakeholders within a national coordinating mechanism. Its intention is to provide examples as discussion points on how to build effective coordination systems and to ensure that each stakeholder has a clear and considered role in the system. In conclusion, the following actions are recommended:

- ensure that the focus of any NAP considers the type of arms transfers the country is faced with, and the priority areas of the government;

- ensure that all stakeholders have a clear understanding of their role in the larger NCM;

- coordinate both regular meetings and multi-agency and bilateral communication;

- consult and collaborate with civil society, industry, and regional and international organisations where feasible and valuable.

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102 UNIDIR (note 10) 27.

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SECTION 4: STREAMLINING REPORTING—EFFECTIVE COORDINATION BETWEEN AGENCIES

This section aims to improve collaboration and coordination between government agencies that have committed to produce reports for the Arms Trade Treaty (ATT) and the United Nations Programme of Action (UNPoA). It starts by discussing the trends in reporting for both the ATT and the UNPoA, and then provides a few case studies that illustrate how states are adhering to those trends. It then outlines the specific reporting requirements for each instrument and indicates when reports are necessary and who is responsible for submitting them. After that, it describes best practices for reporting and highlights some of the potential pitfalls and how to avoid them. It concludes by summarising the information into a proposed yearly schedule of reporting that aims to help improve reporting practices.

4.1 SNAPSHOT: REPORTING TRENDS

This section traces recent developments in reporting—changes in reporting requirements, the mechanisms for changing reporting requirements and the reporting habits of selected states. Beyond simply giving the context for why reporting matters and why the requirements are what they are, explaining the current trends in reporting should help states to prepare for any future challenges in meeting reporting obligations. In this way, this section is more than a guide to certain UNPoA and ATT forms: it is aimed at improving the coordination and submission of reports.

TRENDS IN UNPoA REPORTING

National reports on the UNPoA help UN Member States to provide valuable information that will be used later for making decisions about arms and their transfer. For example, the grant-making body, the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR), takes a state's reporting needs into consideration when deciding which grants to approve.[1] Similarly, the Biennial Meetings of States (BMS) and the Meetings of Governmental Experts (MGE) use these reports to analyse and examine the effectiveness of current mechanisms.[2]

These reports are submitted every second year to the UN General Assembly in consultation with the Secretary-General. The UNPoA generates materials that the UN and its Member States find useful for developing programmes and activities when implementing the instrument. Moreover, the UN Secretary-General has the capacity to execute the recommendations outlined in UNPoA reports. The UNPoA reporting system was developed through a variety of meetings; in addition, an online portal was developed to streamline the reporting process and to ensure the uniformity of reports.[3] 366

- The 2016 national reports covering 2014–2015 were submitted on 31 March 2016 in advance of the Sixth Biennial Meeting of States (BMS6).[4] These reports can be found at <www.poa-iss.org/national reportlist.aspx>.

- The deadline for 2016–2017 reports will be 12 February 2018.[5]

According to the Small Arms Survey, UNPoA reporting decreased significantly between 2008 and 2015.[6] However, more recent data (as seen below) shows a very slight reversal of this trend. The Small Arms Survey further reports that:

'The new reporting template made available to states in 2011 makes it easier for them to submit reports, but it has led them to provide less information and fewer details, while the opportunity to use national reports to share best practices and experiences on small arms control measures has been restricted.'[7]

Source: Pacific Small Arms Action Group 'Arms and Ammunition in Oceania: A Guide for Pacific Governments' (2015) 52[8]

ADDITIONAL UPDATES FROM THE UNPoA: MEETINGS WHERE STATES PROVIDE BOTH FORMAL AND INFORMAL REPORTS

BIENNIAL MEETINGS OF STATES (BMS)

The UN General Assembly began BMS conferences in 2002 to review the national, regional and global implementation of the UNPoA every two years.[9] The meetings provide a platform for representatives of governments, intergovernmental organisations and civil society to discuss and 'consider the national, regional, and global implementation' of the UNPoA.[10]

The meetings aim to execute the administrative requirements needed in UNPoA and analyse the effectiveness of the implementation by Member States of both UNPoA and the application of the UN International Tracing Instrument (UN-ITI). They also deal with other matters concerning the coordination of UNPoA.[11] BMS6 was held in New York from 6 to 10 June 2016; it was the last meeting to be held before the six-yearly 2018 3rd Review Conference (RevCon3); in the outcome document, states stressed these three main points:

1. The need to implement the UNPoA 'through regional and subregional arrangements and organisations and at the global level, and in the light of the 2030 Agenda for Sustainable Development'.[14]

2. How recent developments in small arms and light weapons (SALW) technology have an impact on the UN-ITI.

3. How to ensure 'international cooperation and assistance for the full and effective implementation of the PoA and the UN-ITI, including capacity-building'.[15]

MEETINGS OF GOVERNMENTAL EXPERTS (MGE)

The MGEs have been held every four years since 2011 for a period of one week to follow up on and assess the measures and current advances achieved through the implementation of the UNPoA.[14] The MGEs also serve to guide the development of the UNPoA in the future. Compared to the BMS, the MGE consists of Member States who are nominated to act as Vice-Chairs plus a careful selection of international members with proven expertise in marking, record-keeping and tracing and experience in cooperating in these areas.[16] The MGE makes recommendations on issues regarding:

• technological deficiencies between states;

• strategies for effectively marking ammunition and weapons;

• the manufacture and tracking of illegal weapons; and

• the formulation of activities that help to introduce greater precision during documentation and reporting.[17]

The BMS takes into account the reports of the MGE in order to develop strategies of action for the UNPoA.[18]

REVIEW CONFERENCES

The need for a Review Conference emerged after the fifth anniversary of the establishment of the UNPoA.[19] The first review conference was held from 26 June to 7 July 2006 to review the progress of the UNPoA and to set up a study on its effectiveness.[20] This meeting aimed to 'review implementation of the Programme of Action … [and] neither to revise or expand it, nor prohibit citizens of any country from possessing authorised firearms'.[21]

An additional Review Conference was held from 27 August to 7 September 2012 to build upon the 2006 recommendations.[22] Regarding reporting specifically, the Second Review Conference:

'Reaffirm[ed] the utility of synchronizing voluntary national reporting of the UNPoA with biennial meetings of States and review conferences as a means to increase the submission rate and improve the utility of reports, as well as to contribute substantively to meeting discussions.'[23]

The Third Review Conference is scheduled for 2018. More updates on RevCon3 , including the agenda and documents, will be uploaded at: <https://www.un.org/disarmament/convarms/revcon3/>.

As with the world as a whole, UNPoA reporting in the Pacific has seen a very slight decline. The following table shows which Pacific countries have and have not submitted their UNPoA reports:[24]

	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	Total number of reporting periods (15)
Australia	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	No	Yes	No	Yes	12
Federated States of Micronesia	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	0
Fiji	No	No	Yes	No	No	No	Yes	No	No	No	No	No	No	No	Yes	3
Kiribati	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	0
Nauru	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	0
New Zealand	No	Yes	Yes	Yes	No	Yes	Yes	No	Yes	No	Yes	No	No	No	Yes	8
Palau	No	No	No	No	No	No	No	No	No	No	No	No	N/A	N/A	N/A	N/A
Papua New Guinea (PNG)	No	No	No	Yes	No	No	No	No	No	No	Yes	No	No	No	No	2
Republic of Marshall Islands	No	Yes	Yes	No	No	No	No	No	No	No	No	No	Yes	No	No	3
Samoa	No	No	No	No	No	No	No	No	No	No	No	No	No	No	Yes	1
Solomon Islands	No	Yes	Yes	No	No	No	No	No	No	No	No	No	No	No	No	2
Tonga	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	0
Tuvalu	No	No	No	No	No	No	No	No	No	No	No	No	No	No	No	0
Vanuatu	No	No	No	No	No	No	No	No	No	No	No	No	No	No	Yes	1
Total number of reports per year	**1**	**4**	**5**	**3**	**1**	**2**	**3**	**1**	**2**	**0**	**3**	**0**	**2**	**0**	**5**	

UNPoA reporting in the Pacific; Three-year moving average

— Total number of reports per year   — Three Year Moving Average
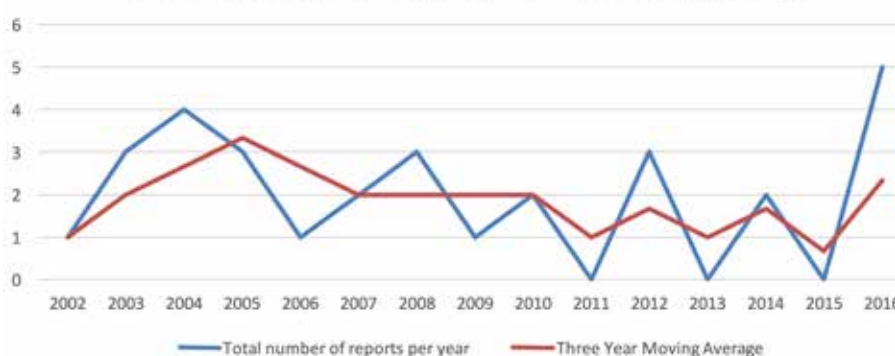
As this table shows, UNPoA reporting is irregular among Pacific states, but a three-year moving average shows that reporting remains relatively constant, if slightly decreasing over time, with an increase in the most recent year. The 2016 increase shown in the graph above corresponds to the introduction of a new structured programme by the Pacific Small Arms Action Group (PSAAG), which developed Shadow Reports and Reporting Packs and encouraged states to review Shadow Reports during national workshops.

Individual case studies: UNPoA reporting in the Pacific

- **Fiji:** In 2016 Fiji completed its first UNPoA report since 2008 with the assistance of PSAAG.[25] During a workshop with this regional civil society network in 2016, military, police, customs and immigration representatives and officials from the Ministries of Foreign Affairs and Defence reviewed a Shadow Report compiled by PSAAG. The process of doing this helped government and implementing agency officials identify gaps in their current systems.[26] For example, the Fijian government expressed:

> 'the urgent need to formalise the establishment of a National Focal Point, which will be responsible [for] taking relevant issues forward that relate to the UNPoA and the ATT'

This formal recognition was seen as necessary because an NPC currently exists in Fiji only as an informal practice.[27] The acknowledgement of such a need is evidence of an awareness that UNPoA reporting is a useful tool for identifying gaps in small arms capabilities and for building the capacity to enforce arms-related legislation.

- **Vanuatu:** Vanuatu submitted its first UNPoA report in 2016 with the assistance of PSAAG. This state has designated an NPC and although its legal system is not yet synchronised to the UNPoA, it has expressed a need for international assistance with 'developing laws to strengthen the import of SALW and ammunitions'.[28]

- **Solomon Islands:** Solomon Islands has not submitted a UNPoA report since 2004. Because of the country's civil conflict from 1998 to 2003—much of which was fuelled by looted small arms—there is significant interest in increasing its UNPoA compliance. The Solomon Islands' experience with the UNPoA is likewise influenced by its experience with the Regional Assistance Mission to the Solomon Islands (RAMSI) peacekeeping force, which only recently left the country.[29] However, without such regional support, compliance and reporting may suffer in the next few years as even RAMSI was unsure whether it had documented all the firearms present in the country.[30]

- **New Zealand:** New Zealand has consistently submitted both UNPoA reports and annual ATT reports. Although its well-resourced Ministry of Foreign Affairs and Trade simplifies the reporting process, it has nevertheless acted as a figurehead for ATT-compliant legislation in the Pacific via its Model ATT Law.[31]

How are other small island states faring with their reporting?

- **The Dominican Republic:** The Dominican Republic consistently submitted UNPoA reports every two years from 2008 to 2016. Despite enduring many of the same issues as Pacific states—large maritime boundaries, relatively low capacity for small arms monitoring, etc.—it has consistently managed to document and report its progress towards full UNPoA implementation. In this way it has demonstrated that efficient reporting is possible for smaller states in a similar position to succeed by applying a coordinated approach. By reporting consistently, the Dominican Republic has been able to continually monitor the strengths and challenges in its internal arms controls.

- **Jamaica:** Jamaica experiences low capacity, has large maritime boundaries and submitted UNPoA reports in 2005, 2008, 2014 and 2016. Although this state has not reported every year, it does regularly provide an overall picture of its arms control implementation.

- **St Lucia:** St Lucia has not yet submitted a UNPoA report. This could be largely due to a lack of awareness and/or capacity challenges, but to examine such examples research is required to identify reporting hurdles in the context of low resources.

SNAPSHOT: TRENDS IN ATT REPORTING

National reports on the Arms Trade Treaty provide the ATT Secretariat with verification that the terms of the treaty are being followed. They also facilitate decision-making by the Secretariat.[32] States Parties are required to submit two different reports: Initial and Annual.

1. **Initial Report:** Within a year of the ATT going into effect for a State Party, the government is required to submit an Initial Report detailing the state's efforts to implement the ATT, 'including national laws, national control lists, and other regulatory and administrative measures'.[33] States Parties should also provide the ATT Secretariat with updates of any new measures taken to implement the ATT, when appropriate.[34]

2. **Annual Report:** States Parties must submit reports annually to the ATT Secretariat by 31 May for the preceding calendar year; these reports outline any authorised or actual exports and imports of conventional arms under treaty Article 2(1).[35] The reports are used at the annual Conferences of States Parties, which consider alterations and interpretations to the ATT and also provide oversight to the Secretariat.

ATT reports also increase transparency in conventional arms exports and imports, which is beneficial to both governments and civil society organisations (CSOs). Transparency helps to build trust among states but also between a government and its citizens. A standard reporting template can be found on the ATT Secretariat's website;[36] its use is encouraged but not mandatory.[37] These templates are seen as useful in making 'different national reports more comparable and easier to use for analytical purposes at the national level'; it also reduces the administrative burden on States Parties.[38]

ADDITIONAL UPDATES FROM THE ATT

CONFERENCES OF STATES PARTIES

Annual Conferences of State Parties (CSPs) have taken place since the treaty entered into force. The first was convened in August 2015,[39] the second in August 2016,[40] and the third in September of 2017. The function of each CSP is to:

- review the implementation of the ATT, including developments in the field of conventional arms;

- consider and adopt recommendations regarding the implementation and operation of the treaty, in particular the promotion of its universality;

- consider amendments to the treaty in accordance with Article 20;

- consider issues arising from the interpretation of the treaty;

- consider and decide on the tasks and budget of the ATT Secretariat;

- consider the establishment of any subsidiary bodies as may be necessary to improve the functioning of the treaty.[41]

INFORMAL WORKING GROUP ON REPORTING

This ATT Working Group on Reporting, now known as the Working Group on Transparency and Reporting (WGTR), was convened following the First Conference of States Parties to create a draft reporting template. The Second Conference of States Parties in August 2016 supported the template drafted by this working group, noting that 'templates may facilitate their reporting task as well as subsequent use of the information contained [within the reports] in Treaty work'.[42] Since CSP2, the WGTR has held three meetings. At the latest meeting, it presented a draft proposal of tasks for the upcoming year that included:

- conducting exchanges of lessons learned at the national level concerning ATT reporting;

- continuing to develop the treaty's IT platform to identify enhanced transparency opportunities; and

- considering the possibility of harnessing information generated by mandatory reporting.[43]

ARMS TRADE TREATY BASELINE ASSESSMENT PROJECT (ATT-BAP)

The ATT-BAP is a non-governmental project which 'helps States identify the requirements necessary to effectively implement the ATT'. The project establishes the baseline against which to monitor the effectiveness of the ATT and highlights both the specific capacity gaps and needs and the resources, of individual states and regions.'[44]

The ATT-BAP produces guidelines for reporting in a number of different languages.[45] It also develops other valuable research products, such as analyses of the specific barriers to reporting that exist in different regions.[46] For example, a recent report by ATT-BAP reviews the challenges to reporting in the Asia-Pacific region—common challenges include limitations in record-keeping and reporting systems.[47] In the past two years, ATT-BAP has worked with both Caribbean and Pacific states to use the ATT Baseline Survey to review a state's current system and compliance with the ATT.

EXAMPLE OF ATT REPORTING

TIP: Only a selection of states have been reviewed as examples and this table does not represent an overall picture of ATT reporting trends.

Country*	ATT Status	ATT-BAP Report	Initial Report	2015 Annual Report	2016 Annual Report
Pacific States					
Australia	State Party	Yes	Yes	Yes	No
Fiji	Non-State Party, non-signatory	Yes	N/A	N/A	N/A
New Zealand	State Party	No	Yes	Yes	Yes
Palau	Signatory	Yes	N/A	N/A	N/A
Samoa	State Party	No	Yes	Yes	No
Solomon Islands	Non-State Party, non-signatory	Yes	N/A	N/A	N/A
Tuvalu	State Party	No	No	No	No
Vanuatu	Signatory	Yes	N/A	N/A	N/A
Caribbean States					
Antigua and Barbuda	State Party	Yes (Private)	No	No	No
Haiti	Non-State Party, non-signatory	No	N/A	N/A	N/A
Jamaica	State Party	Yes	Yes	Yes	No
Trinidad and Tobago	State Party	Yes	Yes	No	No
Central and South America					
Costa Rica	State Party	Yes	Yes	Yes	No
Colombia	Signatory	No	N/A	N/A	N/A
El Salvador	State Party	Yes (Private)	Yes	Yes	Yes
Uruguay	State Party	No	Yes	Yes	Yes
Asia					
Cambodia	Signatory	No	N/A	N/A	N/A
Japan	State Party	Yes	Yes	Yes	Yes
Philippines	Signatory	Yes (Private)	N/A	N/A	N/A
Thailand	Signatory	No	N/A	N/A	N/A
Africa					
Liberia	State Party	Yes	Yes	Yes (Private)	No
Sierra Leone	State Party	No	Yes	Yes	Yes
South Africa	State Party	Yes	Yes	Yes	Yes
Tanzania	Non-State Party, non-signatory		N/A	N/A	N/A

* Information from <http://www.thearmstradetreaty.org/index.php/en/2017-01-18-12-27-42/reports> (accessed 25 July 2017).

Without an analysis of all ATT reporting, no conclusions can be formed; however, this table provides a snapshot across regions. Many states here have submitted their initial report, many have submitted their first annual report, but there was a decrease in the number of states submitting in 2016. This may be because the reporting deadline had passed only two months before the table was compiled. In the Pacific, some non-States Parties did however submit a Baseline Assessment report to the ATT-BAP. This is due to collaborations between the Centre for Armed Violence Reduction (CAVR) and the ATT-BAP project in which the Baseline Assessment process was used to identify gaps in current ATT compliance prior to ratifying/acceding to the treaty.

CASE STUDIES IN ATT REPORTING:

- **Fiji:** Fiji has not signed or acceded to the ATT.[48] However, it has completed an ATT-BAP Survey to identify the compliance gaps in its current system. Once Fiji accedes to the treaty, it will be able to submit its first ATT report as other states have done or use the information compiled for its Baseline Report. In this way, the ATT-BAP project has acted as a tool both to identify current compliance with the ATT and to compile information for its first formal report, should it accede to the treaty.

- **The Dominican Republic:** The Dominican Republic has familiar barriers to ATT implementation; large maritime boundaries and relatively low capacity for monitoring. The state also has limited capacity for implementation, and there are challenges to gathering information from relevant agencies. Despite this, the Republic did submit an ATT Initial Report, a 2015 Annual Report, and an ATT-BAP Baseline Assessment report. As a result, all stakeholders now have a clear picture of the national control system in the Dominican Republic.

4.2 THE VALUE OF REPORTING

Reporting is one of the most important components of both the UNPoA and the ATT. The value of accurate, transparent and efficient publication of information is felt at the national, regional and international levels, as indicated below.

Reporting at the national level

- helps to identify both the current state of an arms control system and the gaps within it;

- promotes inter-agency coordination, relationship-building and collaboration;

- perhaps most importantly, accurate reporting is very useful when developing a national action plan (NAP), as mentioned in Section 1.

Reporting at the regional level

- facilitates transparency and therefore cooperation: if one country is worried that transparency may negatively affect its national security, it may be more willing to implement the relevant portions of the ATT and the UNPoA if its neighbours are doing so;

- can also facilitate cross-border collaborative opportunities by developing an understanding of the regional situation regarding small arms. After all, without broad knowledge of small arms in each region, it is near-impossible to develop programmes to deal with any problems.

Reporting at the international level

- promotes transparency among states in the international trade in arms;

- transmits best practices and lessons learned to the ATT Secretariat.[49] By compiling this information, the Secretariat is in a better position to advise other states who intend to implement the provisions of the ATT;

- can be used by civil society and others to identify gaps and vulnerabilities in the arms trade;

- helps identify opportunities for cooperation and assistance, bridging regional divides.

VALUE OF ATT REPORTING

Initial Report

'An initial report serves to demonstrate a State Party's commitment to the Treaty and ability to fulfil the obligations undertaken. It also provides examples of different approaches to implementing Treaty obligations at the national level, thereby serving as food for thought input to national implementation work and in the longer term perhaps to the development of guidance for acceding States.'

Annual Report

'An annual report serves to demonstrate a State Party's adherence to Treaty obligations regarding the responsible regulation of the international transfer of controlled items. It also allows States Parties to enhance their awareness of arms flows in their own regions and globally. Such transparency has a confidence-building effect, acts as an early warning signal of potential conflict risks and can serve to strengthen conflict-prevention efforts. The information generated by annual reports also represents valuable input to the risk assessment processes of national licensing systems.'[50]

• Report to the Second Conference of States Parties of the ATT Working Group on Reporting Templates

ATT REPORTING: A GUIDELINE FROM BELGIUM

Recognising the confusion that can sometimes arise from states' ATT reporting obligations, Belgium has published a draft Question and Answer (Q&A) Document about ATT reporting in the form of a series of questions and answers. For example, to the question 'What information should the ATT annual report contain?' the draft Belgian Q&A states that 'The treaty requires States Parties to report *"authorized or actual exports and imports"* … of *"conventional arms covered under Article 2(1)"*'. However, it is optional to include a description of the arms.[51] Guideline like these can serve as useful resources to answer detailed, technical questions about ATT reporting.

Working Group on Transparency and Reporting, Annex C Draft Report to CSP3 'Draft: Reporting Authorized or Actual Exports and Imports of Conventional Arms under the ATT. Question & Answer'

4.3 WHAT ARE THE REPORTING OBLIGATIONS?

Instrument	Reporting obligations	Can I use the same data from another report or process?	Can I report a nil report?*
ATT	Baseline (Article 13(1))[52]	Yes, you can use the information collected using the ATT Baseline Assessment Survey if you have already completed the survey. To find out more see <www.armstrade.info>. You can also use information included in a current UNPoA Report.[53]	Yes
ATT	Annual Report Article 13(3)[54]	Yes, you can use the same or similar information. The ATT annual reporting consists mostly of the exports and imports of arms, similar to the UN Register reporting.[55] The ATT-BAP identifies the information from other reports that can be used, including the UN Register.[56]	Yes
ATT	Diversion (voluntary)[57]	No, different information.	Yes, as the report is voluntary only.
UNPoA	Biennial[58]	Partially; you can use similar information but via the online portal.	Yes. To submit a Nil Report, it is preferable to log in to the online system. Previous reports that have been submitted through the online system will be available to update and resubmit.
UN Register	Voluntary[59]	Yes, similar information as for the ATT.	Yes
1540	Mandatory initial country report plus supplemental action plans.[60]	No, information is more focused on nuclear, biological and chemical weaponry.	No

* For an explanation of a nil report, see the box on page 84.

UN REGISTER OF CONVENTIONAL ARMS

The UN Register of Conventional Arms (UNRoCA) is a voluntary system by which states report both their imports and exports of conventional arms to a single database.[61] This has the benefits of increasing transparency in the arms trade and making intentional diversion more difficult—if State A claims to export arms to State B, but the states' records do not match, then there is reason to be suspicious. The register aims to promote international peace and security, and to control and regulate the multiplication of arms.

The register is included in this Guide because it contains some of the same or similar information required by the ATT annual reports.[62] In the absence of effective cooperation between the NPCs for each instrument, efforts may be duplicated. The ATT provisions apply to the seven categories of weapon covered by UNRoCA[63] as well as to SALW.[64] UNRoCA annual reports are submitted using the same annual deadline as the ATT States Parties reports as a strategy for promoting synergy between the two instruments; it also helps to prevent an increase in record-keeping and reporting responsibilities for those countries that participate in both processes. The reports include data on countries' arms transfers, military holdings, domestic purchases and relevant policies.[65]

THE ATT's THIRD REPORT: DIVERSION

Although under the ATT, reports on diversion are currently voluntary,[66] some states have expressed an interest in a more formal reporting system on the diversion of conventional arms. The ATT encourages states to share:

'information on illicit activities including corruption, international trafficking routes, illicit brokers, sources of illicit supply, methods of concealment, common points of dispatch, or destinations used by organised groups engaged in diversion.'[67]

Mexico has drafted a reporting mechanism and template to 'address diversion challenges and for the joint development of relevant actions to prevent diversion or mitigation measures to tackle diversion.'[68] In essence, the reporting mechanism is meant to enable states to share information quickly about situations where they have determined there is a risk of diversion. This proposal was considered at the Conference of States Parties in September 2017.

4.4 WHAT IS A NIL REPORT?

For certain instruments, states can submit a Nil Report. This means that the state reports on an absence of activities. For example, a state could submit an ATT Annual Report pursuant to Article 13(3), but report the absence of any progress towards ATT implementation or the absence of any exports/imports.

Where reporting is voluntary, states generally do not submit a Nil Report—instead, not reporting at all. However, this is not encouraged: even if they do not have data to report, states should submit a Nil Report where feasible. This ensures that the information— nil reporting or no change—is recorded to assess trends and process other important information.

4.5 HOW TO REPORT FOR EACH INSTRUMENT

Each instrument is reported on differently and to different bodies. The table below outlines the reporting deadline, how to report and to whom, for the major arms control instruments:

Instrument	Reporting deadline	How to report	To whom you report
ATT	Initial Report For those who ratified the treaty before it entered into force: 23 December 2015. For those who ratified or acceded after the treaty entered into force: Within 15 months from ratification or accession. Once a state deposits its instrument of ratification, accession, approval or acceptance, the treaty enters into force for that state three months later. The State Party then has 12 months in which to submit its initial report.[69] Annual Report—31 May every year	By filling out the ATT reporting template or a State Party's own report and submitting it to the Secretariat. Reporting templates are available at <http://www.thearmstradetreaty.org/index.php/en/2017-01-18-12-27-42/reporting-requirements>.[70] NB: The reporting template is encouraged but not mandatory; some states have submitted their ATT-BAP Survey as their Initial Report.[71]	The ATT Secretariat at <info@thearmstradetreaty.org>.
UNPoA	Every two years—usually 31 May of the year of the BMS or Review Conference	Via the online reporting tool, available at <http://www.un-arm.org/smallarms/reporting/>. To do so, an NPC or other designated government official must have the user name and password for the online system. These were originally sent to the Permanent Mission in New York and the NPC as reported to UNODA. For questions, you can contact <conventionalarms-unoda@un.org>.[72] Small island states and small developing states (SIDS) are encouraged to report using the online UNPoA system because the report will stay in the system and every two years an official can simply obtain the previous report online and resubmit it with any new information.	UNODA
UN Register	Annual Report—31 May every year [73]	Via the online reporting tool available at <https://www.unroca.org/reporting/login>.	UNODA
1540	Six months from the adoption of Resolution 1540.[74]	Direct correspondence and updates to the chairman (<sc-1540-Committee@un.org>).	Chairman of the Resolution 1540 Committee

* Although this implementation guide focuses on the ATT and the UNPoA, questions often arise about the UN Register and Resolution 1540 reports while discussing ATT and UNPoA reports. At times, particularly for small island states, it is the same individual or agency responsible for reporting for all defence and disarmament conventions.[75]

UNPoA ONLINE NATIONAL REPORTING TOOL

Source: <http://www.un-arm.org/smallarms/reporting/>

4.6 WHO IS RESPONSIBLE FOR REPORTING?

While in most cases the NPC is responsible for reporting on each of the instruments to the appropriate international organisation, other government ministries, agencies and departments may need to contribute and verify information for the report. The table below outlines who is the responsible coordinating party and what other agencies/ministries and departments may need to contribute to reports.

On occasion, states have been supported by third-party actors, usually NGOs, in preparing UNPoA reports. For example, PSAAG has prepared a number of 'Shadow Reports' for Pacific Island states. These are sent to government officials prior to the due date for UNPoA reporting. States may use these reports as a guide when reviewing their own collected information, making adaptations and providing alternatives based on information that might not be publicly available. This reduces the reporting burden for the policy-makers in question. Similarly, PSAAG has used a number of strategic workshops in Fiji, the Solomon Islands and PNG to help stakeholders to draft UNPoA reports and ATT Baseline Assessment reports.

However, while civil society can assist governments to compile their reports, only the state itself can submit official reports to comply with its ATT and UNPoA obligations.

Instrument	Responsible coordinating party	Agency/ministry/department contributors
ATT	Designated NPC for the ATT	Ministries of defence and trade, security agencies, export licensing, customs and border control authorities, the military and law-enforcement agencies (in some cases the Police Commissioner issues permits)
UNPoA	Designated NPC for the UNPoA	Ministries of defence, justice and trade, security agencies, export licensing, customs and border control authorities, the military, law-enforcement agencies and correctional services
UN Register	Designated NPC, via the state's Permanent Mission to the UN	Ministry of defence, export licensing and security agencies
1540 Committee	Designated NPC, via the state's Permanent Mission to the UN	Nuclear regulatory committees (if applicable), department of public health and ministry of defence

EXAMPLES OF PARTIES RESPONSIBLE FOR NATIONAL REPORTING FOR VARIOUS ARMS-RELATED INSTRUMENTS

TIP: The table below includes a selection of states from various regions to highlight examples of national reporting bodies. By no means does it provide all possible examples of national agencies responsible for reporting. However, to find out more about each state and their reporting practice, see their national reports for each instrument.

Instrument or country	New Zealand[76]	Samoa	Dominican Republic	Trinidad and Tobago	Philippines	Japan	Costa Rica
ATT	A disarmament officer at the International Security and Disarmament Division of the Ministry of Foreign Affairs and Trade submitted New Zealand's Annual Report on ATT compliance.[77]	The CEO of the Samoan Ministry of Foreign Affairs and Trade submitted the country's Annual Report on ATT compliance.[78]	The Deputy Minister for Arms Control, of the Ministry of the Interior and Police, submitted the Dominican Republic's ATT reports.[79]	The Trinidad and Tobago Police Service is responsible for ATT processes, including reporting.[80]	No State Party	The Ministry of Foreign Affairs submitted the 2015 ATT report.[81]	A representative from the Ministry of Foreign Affairs[82]
UNPoA	A disarmament officer at the International Security and Disarmament Division of the Ministry of Foreign Affairs and Trade submitted New Zealand's annual report to the UNPoA's online national reporting tool.[83]	The Samoan Ministry of Foreign Affairs and Trade submitted the country's national UNPoA report.[84]	An ad hoc commission of the Ministry of the Interior and Police submitted the country's UNPoA report.[85]	The country's Strategic Services Agency, a part of the Ministry of National Security, is responsible for submitting UNPoA reports.[86]	The Office of the Special Envoy on Transnational Crime is responsible for submitting UNPoA reports.[87]	The Conventional Arms Division of the Ministry of Foreign Affairs submitted the UNPoA report.[88]	The Comité Consultivo Nacional para el Control de Armas y Municiones, submitted the report.[89]
UN Register of Conventional Arms	It is unclear who submitted New Zealand's report to the UN Register of Conventional Arms.	Samoa has not submitted a report to the UN Register of Conventional Arms.[90]	The Dominican Republic has not submitted a report to the UN Register of Conventional	Arms.[91]	Trinidad and Tobago has not submitted a report to the UN Register of Conventional Arms.[92]		
1540	The Director of the International Security and Disarmament Division of the Ministry of Foreign Affairs and Trade, via the Permanent Mission to the UN submitted New Zealand's report to Committee 1540.[93]	The Permanent Mission of Samoa to the UN submitted the country's report to Committee 1540.[94]	The Permanent Representative of the Dominican Republic to the UN submitted the country's 1540 report.[95]	The Permanent Mission of Trinidad and Tobago to the UN submitted the country's 1540 report.[96]	The Permanent Mission of the Philippines to the UN submitted the country's 1540 report.[97]	The Permanent Mission of Japan to the UN submitted the country's 1540 report.[98]	The Permanent Mission of Costa Rica to the UN submitted the country's 1540 report.[99]

As the above table demonstrates, there are a variety of both differences and similarities in how countries address their reporting requirements. For the ATT, New Zealand and Samoa use resources from their foreign ministries as NPCs, whereas Barbados and Trinidad and Tobago use implementing or, in these two cases, policing agencies. Interestingly, this difference is mirrored for NPCs reporting under the UNPoA, which is arguably a more domestically focused instrument. Whereas New Zealand is the only state to have submitted a report to the Register of Conventional Arms, all four countries used their Permanent Missions to the UN to submit their reports to the 1540 committee.

4.7 HOW TO ENSURE EFFECTIVE COORDINATION/INFORMATION MANAGEMENT AND COLLECTION

This section deals with both the elements of an effective reporting system and some of the shared challenges faced by small island states and developing states. Because of the myriad reporting responsibilities of the different instruments, demands can accumulate quickly. These multiple requirements are especially problematic for smaller states that may have very limited resources to dedicate to reporting. The recommendations in this section are intended to help overcome many of the challenges of reporting systems.

COMPONENTS OF A GREAT REPORTING SYSTEM

The principal components of an efficient and effective reporting system are marking and tracing; record-keeping; inter-agency dialogue and cooperation; and open and honest reporting. Each of these is detailed below.

1. **MARKING AND TRACING:** Both marking and tracing are small arms control measures included as commitments under the UNPoA.[100] They require states to mark uniquely all small arms produced in a state or imported by it. Such markings must identify both the country of origin and the manufacturer, and must include a unique serial number.[102] Under the UNPoA, non-arms-producing countries, such as the majority of small island states and small developing states, must 'ensure that confiscated, seized or collected SALW are duly marked and registered if not destroyed'.[103] Such marking is beneficial to states because it expedites effective inventories and enables states to trace the source of illegal small arms.

   For example, small arms markings have been used to significant effect in the Central African Republic (CAR) to identify Sudanese militias responsible for elephant poaching by comparing discarded ammunition casings.[104] The most effective framework for such marking and tracing is included in the International Tracing Instrument (UN-ITI). Marking and tracing helps with reporting because it allows states to precisely identify those arms found within its borders. Even though marking and tracing is not required under the ATT, having on record the appropriate markings of the exporting state and being able to check them on import helps detect transferred legal arms which have later leaked into the illicit market. This procedure makes an important contribution to ATT reporting.

2. **RECORD-KEEPING:** Under the UNPoA, states commit to ensuring that comprehensive and accurate records are kept for as long as possible on the manufacture, holding and transfer of small arms and light weapons under their jurisdiction.'[105] The three most important components of effective record-keeping are that the collected data be:

   • both comprehensive and accurate;

   • preferably centralised, or at least consistent between different responsible agencies;

   • accessible to all relevant authorities, with summaries publicly available.

   These aspects of a reporting system streamline its usage, making it easy to gather and access information. For example in the ammunition tracing case in CAR mentioned above, manufacturer's markings would have been useless to authorities if the database on confiscations and ammunition was incomplete, or if the investigators could not access the database due to bureaucratic or logistical barriers. For this reason, a searchable online database that can be accessed by all relevant authorities is the gold standard in record-keeping. Similarly, the ATT requires states to keep detailed national records of both authorised and actual arms imports and exports.[106] Although the record-keeping requirements for the ATT are less focused on stocks of domestic weapons, the two record-keeping systems are complementary—each set of information greatly enhances the value of the other.

3. **INTER-AGENCY DIALOGUE AND COOPERATION:** Within a country, inter-agency dialogue and cooperation are essential for the smooth functioning of a reporting system. Marking and tracing is difficult without collaboration and transparency, especially if there is no shared standard for data collection methods. Record-keeping becomes pointless when the records are not available to those who need them in a centralised or easy accessible system; and reporting is less likely to be complete when not all relevant agencies contribute comparable data.

   Effective inter-agency dialogue facilities communication between agencies: for example, dialogue is easier when lower-level members of agencies can talk directly to one another rather than having to communicate via their superiors. Similarly, when a searchable set of records exists, having effective inter-agency dialogue and cooperation in place implies that members of all the relevant agencies can search the common database, or at the very least have those searches executed on their behalf.

4. **OPEN AND HONEST REPORTING:** Under both the ATT and the UNPoA, states are required to report regularly in order to document their progress in implementing each treaty.[107] Beyond simply providing a record of which states are honouring their commitments, reporting helps implementing countries to identify both gaps in their systems and their capabilities. By reporting openly and honestly, donor states can match their funds to areas that have been identified as needing improvement in the case of states which require assistance to fully implement their ATT and UNPoA commitments. UNSCAR, for instance, takes 'into account needs identified by States in national reports to… the PoA and ATT' when disbursing its funds.[108]

4.8 REPORTING CHALLENGES AND HOW TO OVERCOME THEM:

Reporting challenges can take a number of forms, four of which are described here: using manual systems; reporting fatigue; a lack of capacity; and the lack of an identifiable, designated portfolio-holder. Each of these is detailed below, with suggestions for overcoming each challenge.

1. MANUAL SYSTEMS: Paper-and-pencil record-keeping poses two major challenges to effective reporting:

- they increase the administrative burden, requiring writing, hand delivery, physical filing, and so on;

- they restrict government officers' access to reports if they lack the means to visit a centralised archive.

Overcoming the challenge: Although it has an initial cost, transferring these records to a centralised, computerised system will resolve these problems, and must become cheaper in the course of time. States without access to such resources can apply to the ATT Voluntary Trust Fund (VTF), which is what Samoa has done to create its first centralised arms database and automated reporting system. States can also coordinate with CSOs to submit proposals to UNSCAR, which Fiji has done to help centralise its scattered record system. Governments can also approach donor states, or states with which they have bilateral relationships for assistance to upgrade their system.

2. REPORTING FATIGUE: Reporting fatigue occurs when an undue administrative burden falls on authorities responsible for implementing the state's commitments. For example, if a lone NPC is responsible for drafting both ATT and UNPoA reports—in addition to UN Registry of Conventional Arms and Committee 1540 and other responsibilities—reporting may fall behind.

Overcoming the challenge: The solution to this problem is either to streamline the reporting process by making information easier to access, or to spread responsibilities over a greater number of individuals. At the same time, it is important to have a clear plan of action across agencies, one that should be included in the NAP. Avoiding duplication can also minimise reporting fatigue. NPCs must be aware of the information required for each report, so they ask other agencies for that information only once.

3. CAPACITY: Some Pacific states may have contrasting or conflicting priorities that prevent sufficient resources being allocated to small arms issues. For instance, in their report on a workshop given by PSAAG, the government of Fiji identified a need for improved customs systems at the country's ports as an impediment to implementing a more effective arms policy.[109] The lack of such systems hampered customs inspections at the ports, potentially allowing in unauthorised firearms that could render Fiji's reports inaccurate. A lack of human capacity is another potential problem—where there is just one person compiling reports for all the conventional arms instruments, that one person could easily become overwhelmed.

Overcoming the challenge: Donor support can be an effective antidote to capacity problems, although ineffective reporting could in fact prevent donors from matching funds to needs. In the absence of donor support, a state which places a higher priority on small arms control can increase its capacity to implement such controls. In regard to a lack of human capacity, one solution is to streamline the reporting system by establishing an annual information exchange between contributing agencies—potentially a working group or committee comprising representatives from multiple agencies responsible for reporting.

TIP: Alternatively, CSOs could collaborate to produce 'shadow reports', which can then be either adopted or revised. While this option may not be sustainable without resources, it can help to set up the initial report on the online UNPoA system. This will then be available for simple amendment from one reporting period to the next.

4. NO PORTFOLIO-HOLDER: Not having a portfolio-holder goes beyond the lack of a clearly identifiable NPC (although the portfolio-holder and the NPC are generally one and the same). The lack of a portfolio-holder means that it is unclear which governmental agencies ought to be responsible for implementing small arms transfers, and this can lead to duplication of effort and poor inter-agency communication.

Overcoming the challenge: Creating a portfolio holder who bears ultimate responsibility for small arms policy can alleviate this burden.

SUMMARY: REPORTING TIMELINE FOR EACH REPORTING REQUIREMENT

Instrument	Deadline for reporting	Who is responsible for reporting?	To whom should the reports be directed?
ATT	Baseline—within a year of the entry into force for the specific State Party. Approximately 15 months from the deposit of the ratification or accession instrument. Annual Report—31 May every year	Designated NPC for the ATT	ATT Secretariat
UNPoA	Every two years	Designated NPC for the UNPoA	UNODA
UN Register of Conventional Arms	Annual Report—31 May every year	Member country's Permanent Mission to the UN	UNODA
1540	Six months from the adoption of Resolution 1540	Designated NPC, via the Permanent Mission to the UN	Chairman of the 1540 Committee

4.9 PROPOSED TIMELINE FOR EFFECTIVE REPORTING

To improve inter-agency coordination, the government could set up a Working Group or Committee for Reporting that is coordinated by the NPC. Below is a proposed time-line for such a working group to coordinate the collection of the information required in ATT and UNPoA reports. Should a government choose not to set up a Working Group or Committee for Reporting, a similar time-line could be followed through bilateral, multi-agency and ad hoc meetings. Such a committee is suggested because:

- each contributing agency would have a representative delegated to attend and liaise with the NPC about the collection of information for reporting;
- it would institutionalise the reporting process so that each year the agencies are aware of their role and the approximate deadlines when assisting with reporting.

This section has outlined the trends in effective reporting as well as best practices. Both the ATT and the UNPoA are living documents; the former is also relatively recent, meaning that the templates and systems for reporting are still evolving. These forms are relatively settled now, but could change in the future.

As such, the objective of this section has been to provide a guide to successful reporting practices in general, as opposed to the specifics of any given instrument (although it also covers the specifics of the ATT and UNPoA).

Month	Task—NPC	Task—Contributing agency
January	Send compiled draft UNPoA report to contributing agencies for revision	Re-verify the information in the final report
February	Submit UNPoA report (NB: reporting deadline can change)	—
March	Send reminder to contributing agencies of the ATT and Register reporting deadlines and required information	—
April	Send draft ATT Report and UN Register report to contributing agencies for revision	Re-verify the information in the final report
May	Submit ATT report by 31 May Submit UN Register Report by 31 May	—
June	—	—
July	Send reminder for Reporting Working Group or Committee meeting	—
August	Make arrangements for first Working Group or Committee meeting	Confirm attendance at Working Group or Committee meeting
September	NPC coordinates first Reporting Working Group or Committee in order to: • review upcoming reporting dates and obligations; • consult with contributing agency about time required to collect information; • establish a clear reporting work-plan. (NB: If the following year is a UNPoA reporting year, pay particular attention to the reporting deadline and focus on collecting data for the UNPoA)	Send representative(s) to Reporting Working Group or Committee meeting: • attend committee reporting; • report back to superiors and other officials as appropriate; • outline clearly the information that must be collected; • designate the collection of information to the appropriate officials.
October	Send a reminder of the need to submit data to agency, and the deadlines	Follow up with NPC on any questions regarding data required and collection dates
November	Collect appropriate data from different agencies	Submit required information to NPC for UNPoA Reports
December	Review information provided by contributing agencies and collate into report.	

4.10 RECOMMENDATIONS

Arising out of this section on the effective streamlining of reporting, the following recommendations can be made:

- effective communication and inter-agency cooperation are essential to reduce duplication of effort, and also to ensuring that information is shared efficiently. By increasing cooperation, states can greatly increase their ability to meet the requirements of small arms instruments, despite setbacks;

- delegating responsibility for liaising on reporting with the NPC to a representative from each agency facilitates communication;

- the NPC must take a leading coordinating role, and it is important that other contributing agencies are aware of both their respective roles in the reporting and the deadlines by which the appropriate reports must be submitted.

Coordination and inter-agency cooperation can be facilitated by establishing an annual calendar of reporting, and also by maintaining a working group or committee on reporting, which will serve to institutionalise the reporting process.

SECTION 4 ENDNOTES

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[10] United Nations 'Report of the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects,' 9–20 July 2001, A/CONF.192/15, Article 4(1b). <http://www.un.org/events/smallarms2006/pdf/N0150720.pdf>.

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[12] NMUN-NY (note 3) 7. (is there not a better UN resource for this?)

[13] Sixth Biennial Meeting of States on the Programme of Action: Outcome Document, A/CONF.192/BMS/2016/2 9. <https://www.un.org/disarmament/bms6/>.

[14] Sixth Biennial Meeting of States on the Programme of Action (note 13) 17.

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SECTION 5: DEVELOPING A STRONG REGIONAL NETWORK OF NATIONAL POINTS OF CONTACT

States commit to creating National Points of Contact (NPCs) when they accede to the Arms Trade Treaty (ATT)[1] or implement the United Nations Programme of Action (UNPoA).[2] According to the UNPoA, the purpose of an NPC is 'to contact to act as liaison between States on matters relating to the implementation of the Programme of Action'.[3] NPCs are more than just a requirement; points of contact at the national level facilitate the creation of regional and international networks between states. These networks provide significant benefits to the states in question. This section outlines what a regional network is, the benefits of regional NPC networks, and some best practices for establishing or maintaining a regional network effective for ATT and UNPoA implementation.

5.1 WHAT ARE REGIONAL NETWORKS OF NPCS?

Regional networks of NPCs are organised groupings of NPCs that cooperate to enhance policy and coordination. Regional networks of NPCs can use existing networks created by regional or subregional organisations or governments themselves: in such case a new network framework or structure does not need to be developed. The network can be housed and coordinated by existing regional organisations. However, for a network of NPCs to function effectively, it is essential that each government represented within the network nominates an NPC and that the regional network is coordinated by a central body or with rotation by states. This is exemplified in the network set up by governments in the Pacific:

> 'Establishing, designating and maintaining national points of contact on the ATT and UNPoA in the Pacific play an essential role in facilitating cooperation and international assistance. Similarly, establishing, designating or maintaining regional points of contact under the UNPoA and ATT assists states to cooperate. The Pacific should continue to ensure that national and regional points of contact are maintained in order to ensure strong bilateral, subregional and regional cooperation.'[4]

Arms and Ammunition in Oceania: A Guide for Pacific Governments

5.2 WHAT CAN REGIONAL NETWORKS DO?

Regional networks of NPCs act to increase the effectiveness of national and regional arms control policy and infrastructure in six distinct ways, in that they:

- enable policy coordination;
- help to build a regional consensus on conventional arms;
- facilitate collaborative partnerships for effective implementation;
- deal with region-specific problems collectively;
- build ATT and UNPoA capacity;
- disseminate best practice and knowledge of conventional arms.

THEY ENABLE POLICY COORDINATION: By increasing policy coordination, states can magnify their influence in international negotiations on conventional arms. A great example of this process in action is the role played by the Caribbean Community (CARICOM) in the negotiations on the ATT. Although no CARICOM states are major arms exporters, the region's desire to reduce armed violence was reflected in a strong regional consensus on what ought to be included in the ATT.[5] CARICOM states unanimously supported UN General Assembly Resolution 61/89, 'Towards an Arms Trade Treaty.'[6] This diplomatic networking allowed the CARICOM states to exert influence on negotiations for the ATT and meant that their concerns for sub-national armed violence were reflected in the final document. Networking together enabled them to express a more powerful diplomatic intent on the world stage. This kind of collaboration on conventional arms issues is possible only when NPCs serve as national nodes in a regional network.

Even though both the ATT and the UNPoA have been negotiated, states continue to build infrastructure and administrative procedures at Conferences of States Parties or other meetings. Such infrastructure and procedures can affect practices at both a national and a regional level. It is therefore important to have collaborative regional representation where it may affect the region or where it may affect each state in the region in a similar manner. For example, at the First Conference of States Parties Switzerland was chosen as the location of the ATT Secretariat over Trinidad and Tobago by only a few votes.[7] Both signatory and non-signatory states, including a large number from the Pacific and Southeast Asia were not able to influence this decision, as they hadn't yet joined the ATT table. This has ramifications for small island states and developing states as it can prevent, and is preventing, some of them from being represented at international meetings because of the high travel costs involved.

THEY HELP TO BUILD A REGIONAL CONSENSUS ON CONVENTIONAL ARMS: As mentioned above, CARICOM has shown remarkable success in using a regional network of representatives to transfer its policy consensus into diplomatic influence. However, by facilitating dialogue between the relevant stakeholders in different states, the regional network also helped create a regional consensus on conventional arms in the first place. A similar practice was initiated by the Pacific island states, which introduced a Common Pacific Position at the ATT negotiations after establishing regional consensus on the trade in arms.[8] Being able to identify the appropriate national representative provides a valuable service in that it simplifies communication between different states: without knowing who or which agency to speak to, states would be much more challenged in coordinating their policy positions. Beyond the international stage, a regional consensus may build a harmonisation of arms policies in neighbouring countries, which may reduce the burden of trans-border policing.

THEY FACILITATE COLLABORATIVE PARTNERSHIPS FOR EFFECTIVE IMPLEMENTATION: Nominating and delegating responsibility to a government official as an NPC helps to make communication between NPCs from neighbouring and other states smoother. If such a nominee is not clearly introduced to both the ATT Secretariat (NPC for the ATT) and the Office of Disarmament Affairs (NPC for the UNPoA), neither the head organisations nor other states will be able to easily contact the responsible individual within a state. This hinders everyone's ability to develop collaborative relationships that assist both individual states and the region. Nominating an NPC eases communication between states and regionally, and makes it easier to develop collaborative partnerships, to identify challenges with conventional arms and to promote cooperation in implementing joint solutions.

For example, in 2013 a joint operation between the Australian Federal Police, Customs, the US Drug Enforcement Agency and South Pacific authorities led to the seizure of 750 kilograms of cocaine on a yacht in Vanuatu.[9] Specialist customs experts were needed to uncover the drugs hidden in rocks and concrete.[10] Discovering this shipment has been highlighted as a fine example of the successes achieved when international law-enforcement authorities collaborate—which can easily be seen as a parallel to gun-trafficking. Strong regional networks with effective communication and collaborative practices enhance regional and national implementation of global instruments and facilitate dealing jointly with transnational crime.

THEY DEAL WITH REGION-SPECIFIC PROBLEMS COLLECTIVELY: A regional NPC can help facilitate regional policy by identifying gaps in regional systems and building regional work plans. Some arms control issues are national, while others are regional. The arms trade is international and the flow of illicit arms is a transnational crime as dealers use multiple jurisdictions to hide the illicit flows. To reduce illicit flows in a region, requires strong border controls. Among small island states and developing states, it can be a more efficient use of resources if regions deal with their joint challenges together, or with the assistance of more resource-rich states.

In 2003 for example, officials collaborated at the Pacific Islands Forum to implement the Regional Assistance Mission to the Solomon Islands, at the request of the Solomon Islands to assist with tensions and armed violence in their country.[11] Another example is how a regional network of NPCs can assist in tracing arms. In the Caribbean, because some states have identified NPCs, this has facilitated the tracing of illicit arms from one island to the other.[12] In this way, a regional network of NPCs became a tool for strengthening regional implementation challenges.

THEY BUILD ATT AND UNPoA CAPACITY: Regional networks of NPCs can build state capacity to implement the ATT and the UNPoA. Working together can reduce the cost and the use of resources to improve both national and regional systems. It can be difficult for each state in the region to obtain assistance for the same common challenges, but a network of NPCs can come together at regional workshops to identify current national and local challenges. They can receive training, resources and tools at a regional meeting or workshop that will help them to deal with a common problem. When the NPC network is coordinated by a regional organisation it can coordinate assistance, provide training and advance the capacity of all states at once.

Both the Pacific[13] and the Caribbean[14] regions have recently held regional workshops to build the individual capacity of states by providing information on arms instruments and problems faced. As a useful tool, New Zealand commissioned a Model Law that could be adapted for and adopted by Pacific states who ratified or acceded to the ATT.[15] They subsequently introduced a draft Model National Control List for the Pacific at the most recent regional meeting.[16] CARICOM has followed suit, drafting a Model Law for Caribbean states and introduced it to national implementing agencies, once again at a regional meeting of the network (see page 100 for more details).[17]

Although some international donors may act directly to provide assistance towards ATT and UNPoA implementation, many prefer to act through regional networks to save costs and reduce administrative burdens. These networks generally have greater 'on-the-ground' knowledge of conventional arms challenges in local areas, and have pre-existing contacts (including but not limited to NPCs). UNSCAR, for example, targets a portion of its money towards projects that '[a]ddress synergies between international and regional instruments on arms regulation'.[18] In practical terms, this means that regional networks can be an effective instrument for channelling donor money to reduce regional capacity challenges.

NPCs are essential to this process because they are generally responsible for identifying areas in need of improvement through various reporting networks. NPCs also help to maintain the 'on-the-ground' knowledge and subnational connections that make regional networks so effective in the first place. In short, regional networks can collectively identify opportunities for improved capacity throughout a region. NPCs are also essential to identifying appropriate donor funds to help build such capacity regionally.

THEY CAN DISSEMINATE BEST PRACTICES FOR AND KNOWLEDGE OF CONVENTIONAL ARMS: The above points have focused on the external effects of regional NPC networks such as enhancing diplomatic capital or increasing flows from donors. However, NPC networks also provide utility to internal state institutions, in that they disseminate best practices and general knowledge on conventional arms to relevant domestic stakeholders. At regional meetings or through digital networking tools, regional networks can share their own lessons learnt and best practices. This is particularly useful when states share similar arms control systems.

For example, Samoa was the first Pacific island to ratify the ATT.[19] At a subregional workshop in Vanuatu hosted by the Melanesian Spearhead Group, a subregional organisation comprised of Fiji, Vanuatu, Papua New Guinea, Solomon Islands and the Front de Liberation Nationale Kanak Socialiste of New Caledonia, Samoa presented on its process of drafting new legislation on the ATT.[20] Similarly, at a national workshop in Papua New Guinea, a representative from Fiji presented on how they had used the ATT Baseline Survey (ATT-BAS) to help identify gaps in their current arms control system. Because these nations are all small island states with minimal resources, their ability to translate lessons to each other tends to be easier.

While regionally-based actors may have the best 'on-the-ground' knowledge, other international actors may have broader awareness of best practices for conventional arms control, or the most recent research on various policies. Via the regional network, NPCs can transmit this policy-relevant knowledge from the external actors to internal actors, and sometimes vice versa.

SCALING UP NETWORKS OF NPCs

Regional networks of NPCs can prove very useful on a variety of different scales:

- **BILATERAL:** These networks can be very useful for harmonising legislation across borders or for coordinating enforcement. They are particularly useful for small island states—such as the Pacific or the Caribbean—because their long maritime borders can be difficult to police. For example, NPCs could facilitate enforcement of the maritime border between the Bougainville Province of Papua New Guinea and the northern sections of the Solomon Islands, a potential smuggling route for illicit arms.[21]

- **SUBREGIONAL:** At a subregional level, states can address issues and coordinate policy responses on a more local scale. For example, because of its limited geographical mandate, the Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States (RECSA) can sponsor workshops to harmonise local legislation and convene workshops to create a subregional consensus on arms issues.[22] These subregional networks are also likely to possess even more "on the ground" knowledge than regional networks with a wider geographical remit.

- **REGIONAL:** These networks are likely to possess the most funding, as well as the most broadly-based knowledge of conventional arms issues, even if it comes at the cost of deep familiarity with local specifics. Often these organisations act as umbrella groups for subregional organisations or thematically specialised organisations. The African Union (AU), for example, is a major sponsor of the subregional RECSA and the more specifically focused AU Mechanism for Police Cooperation.

Each of these types of network has both advantages and drawbacks; they work best as an overlapping mosaic of NPC networks. The various types of regional, subregional and bilateral collaboration should be considered during any drafting of a National Action Plan (NAP).

5.3 EXAMPLES AND BEST PRACTICES OF NPC NETWORKS

Unfortunately, terms such as 'NPC network' or 'subregional cooperation' can appear extremely abstract when spoken of in general terms. This section provides a substantial list of examples of four different types of organisation or network:

- regional and subregional organisations;

- customs networks;

- legal networks, and

- transnational crime-fighting networks.

These pre-existing networks can either act as a home base for regional NPC networks on the ATT and UNPoA, such as large regional organisations or they can be used as tools to improve or assist the implementation of these instruments, such as customs networks which have expertise on border controls. Though at times they overlap, all these organisations illustrate how creating networks of NPCs can both promote action and improve capacity on conventional arms issues.

REGIONAL/SUBREGIONAL ORGANISATIONS

Regional and subregional organisations are groupings of states, at least partially based on geography, that come together to cooperate and collaborate on policy matters of regional interest. They often have different subcommittees or working groups that address specific policy matters. Regional organisations offer a number of benefits such as:

- establishing and maintaining relationships among regional stakeholders;

- providing a platform for regional collaboration, information exchange and sharing of best practices;[24]

- building regional consensus on key policy issues;

- making effective use of pooled financial and human resources to benefit members.

Of the networks and organisations discussed in this section, regional and subregional groups tend to have the largest portfolios of resources because of their broad regional scope and larger membership. They also tend to have strong connections to global organisations such as the UN.[25]

THE CARIBBEAN COMMUNITY

As mentioned above, CARICOM is a regional organisation of 20 Caribbean states which both coordinates domestic policy within Caribbean states and helps present a unified Caribbean perspective at international negotiations. By using a regional network to build a consensus on small arms-related issues, CARICOM wielded an influence on ATT negotiations well beyond their size in population. The 15 members of CARICOM make up less than 8% of the 193 UN Member States, and no CARICOM state approaches being a military or economic power.

The Caribbean was originally interested in an arms trade treaty for similar reasons as the Pacific: arms were increasingly penetrating the countries' vast and hard-to-patrol maritime borders.[26] The Caribbean's location between the United States of America's large drug market and drug-producing areas of South America meant that it was a highway for drug trafficking.[27] With the narcotics trade came guns and armed violence, but individually the small island states lacked the capacity to combat it.

From this starting point, the CARICOM states were some of the most involved on the preparatory committees for the ATT, and hosted several regional workshops to 'brief state officials and civil society representatives from the subregion on the treaty process and provide opportunities for CARICOM and its members to develop common positions on treaty negotiations'.[28] As also mentioned above, CARICOM countries were sufficiently involved to the point that Trinidad and Tobago only narrowly lost the vote to host the ATT Secretariat.[29]

Once the ATT was implemented, CARICOM continued its record of engagement. Many states in the Caribbean have designated NPCs. CARICOM itself has made use of its Implementation Agency for Crime and Security (IMPACS) as a regional resource for SALW negotiations, as well as CARICOM's NPC for the UNPoA.[31] An ATT which heavily focused on SALW and armed violence—rather than exclusively large-scale conventional weapons—is the direct result of CARICOM's negotiating tactics.[32]

Once CARICOM had ratified the ATT, it continued to build capacity among member states via CARICOM IMPACS. For example, CARICOM implemented a grant from the European Union to 'strengthen the technical and human capacity of the CARICOM region to prevent, detect and minimise the opportunity for illegal activity at the borders and on land and to enable higher conviction rates'.[33] This grant implementation demonstrates the continued importance of regional institutions to facilitate regional coordination to overcome challenges to arms control issues.

The take-away from this example is that effective networking of NPCs and the expenditure of diplomatic capital lead to a whole which is greater than the sum of its parts. Without diplomatic efforts, the voices of national representatives would have been much more muted on the international stage; without a regional networks, CARICOM states would have been less able to combine diplomatic efforts. The result of this synergy was an ATT heavily reflective of Caribbean interests.

THE AFRICAN UNION

Consisting of every state on the continent of Africa, the African Union (AU) is, by both landmass and population, an order of magnitude larger than CARICOM. Moreover, there is no doubt that the proliferation of small arms and light weapons (SALW) in Africa brings severe problems. The availability of firearms can cause a small-scale conflict between pastoralists and herders to grow into armed violence.[35] Small arms proliferation also facilitates the militarised poaching which has decimated the continent's wildlife.[36]

Though different African states have different experiences on small arms issues, the AU nevertheless found enough shared ground to produce a common position on the ATT negotiations.[37] As in Caribbean states, this position highlighted the importance of SALW and armed violence by non-state actors.[38] Such negotiations again highlight the important role of diplomacy in creating spaces for NPCs to act.

Equally significantly, the AU has created a dense web of formal networks and organisations cooperating to reduce armed violence on the continent. RECSA, as mentioned above, focuses on building state capacity to reduce small arms violence in the Great Lakes region.[39] RECSA has also played an important role in motivating nearby states to accede to the ATT and implement the UNPoA.[40] The African Mechanism for Police Cooperation (AFRIPOL) aims to establish regional cooperation by police chiefs to combat trans-border threats.[41] This network also brings together key stakeholders, namely police chiefs, to combat arms trafficking and transnational crime. Even groups such as the Economic Community of West African States (ECOWAS) have adopted a common position on small arms, further opening space for NPC cooperation.[42] Equally importantly, this dense web of institutions has provided ample opportunity for continued arms control capacity-building among AU Member States.

As with CARICOM, the lesson learned from the AU is that regional networks and diplomatic efforts have an important synergy. Diplomatic engagement with small arms issues created dense webs of overlapping organisations with the same focus. Though these overlapping organisations may send different national representatives, each state's UNPoA and ATT NPC can use these organisations to encourage the effective flow of information across the networks. Similarly, the networks can funnel donor money, policy knowledge, and best practices back to the states. In short, both regional networks of NPCs and diplomatic efforts work best when combined and coordinated.

CUSTOMS NETWORKS

Customs organisations also have a major role to play in the fight against small arms proliferation, and they are another type of NPC network. Without effectively stopping the flow of SALW across borders, a country's small arms policy is likely to fail. National customs organisations are particularly important in areas with porous borders, such as the large maritime boundaries of Pacific Island states. Customs officials often possess speciality expertise in the concealment of illicit goods as well as knowledge of regular flows of goods and possible points of vulnerability for illicit activity. Such organisations can harmonise customs standards in neighbouring states, reducing the enforcement burden across their shared borders. They can also promote capacity-building, especially if some states in the organisation have resources to share.

OCEANIA CUSTOMS ORGANISATION (OCO)

The OCO is a grouping of national Pacific customs organisations that aims 'to help administrations align with customs international standards and best practice, leading to greater economic prosperity and increased border security'.[43] OCO's predecessor organisation, the Customs Head of Administration Regional Meeting (CHARM) began meeting in 1986; in 1998, the OCO supplanted it because the Member States 'were looking for more assistance than the existing structure

and arrangements were able to provide'.[44] OCO still maintains its regular series of conferences and meetings, allowing national points of contact—either customs organisations or law-enforcement bodies—to meet in person and to act. Other regional organisations, such as the Pacific Agreement on Closer Economic Relations (PACER) were also present at these meetings, allowing for even greater networking among NPCs.[45]

These meetings facilitate one of the key roles of OCO, sharing both resources and customs-related best practices.[46] Both roles relate to arms control issues. For instance, OCO was one of the key organisations in drafting the Nadi Framework and the Pacific Model Weapons Control Bill, draft small arms legislation which shared best practices for a Pacific context.[47] Again, the NPC presence is necessary: without the individual or body responsible for coordinating small arms policy, OCO would be unable to match donor funding to needs, and would be unable to transmit best practices from the experiences of people who are on the ground in Pacific countries working to curb the flow of illicit arms.

The lesson from OCO is that NPC networks work best when supported by a variety of meetings and conferences which allow them to exchange viewpoints and best practices. Though the NPCs would still be useful in isolation, NPC networks can also capitalise on existing expertise networks through frequent meetings and engagements. This strengthens both the networks of NPCs, their national implementation and the Customs Organisation, as illustrated by the evolution of CHARM into the current OCO. This change took place because national representatives could discuss issues in person, and formulate solutions based on their diverse viewpoints.

THE CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA (CITES)

CITES is an international treaty organisation intended to further international cooperation to protect endangered and threatened species. Though not directly focused on arms issues, CITES demonstrates many best practices in networking NPCs. It also indirectly addresses arms control issues in highlighting the devastating impact that small arms proliferation has on wildlife populations in many African states.[48]

The CITES secretariat engages in the day-to-day administration of the network, but the most important decisions are made at Conferences of the Parties every three years.[49] These conferences are important, as they bring together the NPCs to make both administrative changes to CITES and changes to the flora and fauna included under the various articles. For example, the 2016 conference implemented the requirement of 'National Ivory Action Plans' for states deemed at risk of either exporting or importing illegal ivory; these plans, often developed by the CITES NPCs, have greatly enhanced the clarity of the respective states' anti-ivory law-enforcement measures.[50]

Without regular meetings and conferences, NPCs would be unable to propose updates to the CITES framework and methods. By providing space for NPCs to network and share ideas, CITES managed to improve itself. Similarly, using CITES as a mechanism for coordination, these NPCs could combat transnational problems such as ivory smuggling more effectively than they would by themselves. The lesson is once again that NPC networks are strengthened by regular meetings, conferences and other linkages.

LEGAL NETWORKS

Legal networks are networks of legal professionals from different states who come together to formulate policy and advise each other. Many of these networks, such as the Pacific Island Law Officers' Network (PILON), are regionally constructed; others are globally constructed based on issue area. Regardless, their advantage is their intimate knowledge of laws and legislative drafting in target countries, both in their formulation and their implementation. They can provide expertise during the policy-making process as it relates to the law, and assist in the drafting of legislation.

PACIFIC ISLAND LAW OFFICERS' NETWORK (PILON)

PILON is a legal organisation that brings together 'Attorneys-General, Solicitors-General and senior Crown Counsel or representatives of each [law officer]' in the Pacific.[51] Because illicit arms proliferation is detrimental to law and order, PILON has previously addressed weapon issues at relevant international negotiations. For example, PILON members promoted the ATT during negotiations, providing important support outside a country's NPC for the ATT.[52]

The PILON forums also provide a valuable resource for legislators and policy-makers to share knowledge and views about SALW issues. As legal officers, these legislators' remits are more domestic than foreign, so the PILON forums allow them to engage with a regional network directly, instead of working through their country's NPC for other regional organisations. However, they also provide the NPC for ATT and UNPoA support to promote the implementation of strong legislation for both instruments.

Because PILON allows for relevant stakeholders to engage directly, it demonstrates the value of regional networks in disseminating knowledge to policymakers within a country. PILON representatives can support ATT and UNPoA NPCs by distributing information to their leaders and stakeholders in their specific areas of legal expertise.

The previous examples have discussed best practices related to foreign affairs: how NPC networks work best when combined by diplomatic effort and how NPC networks are enhanced by regular meetings or capitalising of network expertise. The PILON example illustrates the internal best practices of such networks. By enhancing the resources of individual legislators who might not otherwise have access to international forums, the knowledge sharing and information dissemination roles of NPC networks are enhanced.

MODEL LEGISLATION

States can work through regional organisations to provide broader and widespread benefits. Both States and regional organisations have developed model legislation to address ATT implementation. By providing draft legislation, the networks demonstrate regionally situated best practices, which can be directly translated into the target countries' legislation or adapted accordingly. One example is the Pacific Arms Trade Treaty Model Law, drafted by New Zealand in consultation with Pacific island states, which demonstrates how to 'implement the ATT to assist in identifying and translating ATT commitments into national legislation in a Pacific context'.[53] The Model Law has been introduced and promoted through regional organisations, for example at a regional workshop in Samoa in 2016. Similarly, CARICOM IMPACS has worked to draft model legislation for the Caribbean to address regional policy gaps.[54]

These tools could be further utilised through legal networks—the regional NPC networks most familiar with the technical aspects of international and domestic laws on conventional arms. They can effectively leverage their advantage by promoting the value of draft model legislation in a regional and domestic context. By doing so, they effectively use their resources to tackle common problems. Similar tools can be developed and promoted through other networks.

PARLIAMENTARY FORUM ON SMALL ARMS AND LIGHT WEAPONS

The Parliamentary Forum on SALW is a network of legislators, founded in 1999, working independently from their country's foreign ministries and NPCs. Though they are not technically a network of NPCs, they can provide support to NPC networks. The Forum's goal is to provide parliamentarians

'with a common ground for sharing information and experiences, which enables them to apply their knowledge and generate debate on SALW issues in their respective home countries. This in turn may result in concrete legislative and policy changes in countries where such changes are needed.'[55]

The Forum conducts a variety of seminars and workshops aimed at increasing international consensus on small arms issues and increasing awareness of the international instruments designed to combat SALW proliferation. It also encourages inter-parliamentary dialogue via regularly scheduled assemblies and regional meetings, while aiming to encourage participation by civil society organisations (CSOs).[56]

Through these practices, the forum shows the value of engaging directly with policy-makers and stakeholders. The NPC can use such effective and existing networks to promote efficient international policy coordination and effective dissemination of knowledge and best practices. These groups could be particularly valuable during the domestic creation of an NAP, as such a process is likely to involve the legislators directly. The lesson once again is that sometimes NPC regional networks can accomplish different goals by engaging directly with 'on-the-ground' practitioners and politicians. By collaborating with other networks, NPCs can use politicians as allies to support policy recommendations and effective implementation of arms instruments.

TRANSNATIONAL CRIME-FIGHTING NETWORK

Transnational crime-fighting networks are linkages of law-enforcement officers across states. Their comparative advantage is that the representatives in the network are generally law-enforcement agencies, and so have an 'on-the-ground' view of arms control issues in their countries. Generally, these are the agencies which directly enforce the arms control instruments, so they have the best perspective on how to implement them.

ASEANAPOL

The police network of the Association of South East Asian Nations (ASEANAPOL) is a crime-fighting network which incorporates SALW problems into much of its work. It specifically brings together its NPCs/national representatives (all of whom are from the police forces of its Member States) to build capacity and '[f]oster mutual assistance and cooperation amongst members'[57] through a regular series of workshops and meetings. It has also demonstrated a strong interest in the law-enforcement implications of the UNPoA, recently hosting a multinational event which included 'hands-on training using the reporting mechanisms of the UNPoA and the UN International Tracing Instrument (UN-ITI)'.[58]

ASEANAPOL is important because it demonstrates how multiple agencies can play a significant role in international issues. For example, though most other networks use ministries of defence or ministries of foreign affairs as NPCs, ASEANAPOL and other transnational crime-fighting networks use law enforcement organisations. As these NPCs have such an advantage in their specialist field, it makes sense for them to coordinate directly. For example, ASEANAPOL has previously conducted multiple joint investigations into credit card fraud in the region; if called upon, these same joint investigations could trace cross-border small arms smuggling in ASEAN states.[59]

The lesson to be learnt from ASEANAPOL is that each domestic organisation—ministries of foreign affairs, law-enforcement officers, customs organisations, etc—each have expertise to bring to bear. The important thing is that the organisation with the correct expertise takes charge of certain issues while coordinating with ATT and UNPoA NPCs on relevant conventional arms issues. Finally, beyond the multinational implementation of these conventional arms instruments, police networks such as ASEANAPOL can provide valuable input for the development of national and regional action plans developed by ATT and UNPoA NPCs. Though only one agency or individual can be designated as the NPC for each instrument, states should bear in mind that other existing networks and agencies have something important to bring to the table. Using their expertise can in fact help ATT and UNPoA NPCs achieve their goals more effectively.

POLICE COMMUNITY OF THE AMERICAS (AMERIPOL)

AMERIPOL is a hemispheric network of police organisations which aims to promote cooperation and share knowledge in the Americas. Countering the illicit traffic in arms, ammunition, and explosives is one of its explicit goals.[60] Unlike ASEANAPOL, however, its list of NPCs/national representatives reveals the policy preferences of its Member States. The NPCs of ASEANAPOL were all national police organisations; most member organisations of AMERIPOL are national enforcement agencies, but the United States nominated its Drug Enforcement Administration (DEA) as its NPC for AMERIPOL.[61] Some states have nominated more than one organisation, for example Argentina, which listed its coast guard, national police, border and airport guards separately.[62]

These nominations show how states have selected their NPCs strategically. Through its 'War on Drugs', the United States has long been involved with the fight against transnational drug smuggling in South and Central America. By choosing the DEA as its NPC, an agency with a substantial on-the-ground presence in the relevant countries,[63] the United States signalled its intent to use AMERIPOL to advance its particular interests in the area.

Though distinct from the ASEANAPOL example, the instance of AMERIPOL again illustrates the importance of choosing 'the right agency for the job'. The DEA may be an unconventional choice for the role of NPC, but it had a comparative advantage in the specific kind of international cooperation the United States wished to promote via AMERIPOL. Moreover, the United States recognised that an international police network like ASEANAPOL could be an effective conduit for international coordination to combat transnational crime and arms smuggling (as arms smuggling and drug smuggling go hand in hand). Therefore, when a state nominates its NPC who will ultimately engage in regional NPC responsibilities, the state should consider who is best for this role to implement the UNPoA and the ATT both nationally and regionally. Again, the lesson is that different networks can be effective at addressing specific policy problems, and that international police networks are an effective choice for combating transnational crime. The ATT and the UNPoA should capitalise on their expertise by collaborating with the police networks where possible.

SUMMARY TABLE

Organisation/network	Type of Organisation	Lesson to be learnt
CARICOM	Regional organisation	NPC networks can facilitate diplomatic efforts, and vice versa.
AU	Regional organisation	Diplomatic effort can create a denser web of NPC networks, allowing the later to function more efficiently.
OCO	Customs network	Regular meetings and conferences strengthen NPC networks. NPCs should capitalise on expertise of existing regional networks.
CITES	Customs organisation	Regular meetings and conferences allow NPC networks to innovate.
PILON	Legal network	NPC networks can disseminate information and best practices within Member States. NPCs can use existing regional networks to support the national implementation of the ATT and the UNPoA.
Parliamentary Forum on Small Arms	Legislative network	Existing networks can act as tools for NPCs to promote and progress domestic policy.
ASEANAPOL	Police network	Different NPC networks can fulfil different functions, and different NPCs have different advantages. Different networks can provide input into national and regional action plans.
AMERIPOL	Police network	NPC selection should reflect a state's policy preferences and interests and should consider the role of the NPC at both a national and a regional level.

5.4 STRUCTURING A NETWORK: WHO TAKES CHARGE?

Although NPC networks are undoubtedly useful, as demonstrated above, they do not come into existence on their own. The examples above brought a variety of paths into existence:

- CARICOM, the AU and CITES originated from international negotiations and treaties at the state level;

- OCO and AMERIPOL evolved from pre-existing meetings, which eventually created secretariats to implement their goals effectively;

- ASEANAPOL was created by a pre-existing regional organisation (ASEAN);

- Parliamentary Forum on Small Arms was founded as a result of a series of parliamentary initiatives.

No matter how these networks were founded, they have all tended towards a strong central secretariat, which is desirable for many reasons. For one thing, it reduces the administrative burden for NPCs because they no longer have to manage programmes sponsored or implemented by the network. A stronger central secretariat also allows for more effective programming: by devoting more attention to any sponsored project, it can ensure that implementation matches the original vision.[64]

Despite their differences in origins, all the above international networks eventually tended towards the same structure: a centralised secretariat. That said, the strength of the secretariat depends on the function of the organisation—the AU, for example, requires a stronger secretariat than PILON because it's a much larger organisation with more members.

ATT and UNPoA NPCs are delegated by states to liaise at the international level. They are also responsible for liaising at the regional level. Forming a network of regional NPCs can help to implement the ATT and the UNPoA. Rather than establish a new network, NPCs can use existing networks, either to host the NPC regional network of the ATT and the UNPoA or as supporters to promote their goals. To streamline the process, it makes sense for the NPC regional network to be hosted by a pre-existing network or regional organisation with a strong secretariat. For example, a Pacific regional network of NPCs is hosted by the Pacific Islands Forum.

Alternatively, the network could be hosted by an existing regional network that has particular expertise in combating conventional arms issues that affect the region. For example, as the Pacific island states focus on the transit and transhipment of arms rather than exporting or importing arms, it may be valuable for the NPC network to be hosted by OCO. Caribbean states already have CARICOM as a natural host for such an organisation. Other regions may decide to set up a separate network that takes turns between states in the region to coordinate its activity. It is therefore important for NPCs within a region to come together to discuss how they can best set up an effective network with minimal resource contracts.

KEY TO DEVELOPING AN EFFECTIVE REGIONAL NETWORK

Once the infrastructure and the secretariat/host of the regional network of national NPCs have been established, for a network to be effective both individual states and the network itself must ensure that:

- state commitment and political will for the network continues to exist;

- consistent and regular communication takes place between members of the network;

- the contact details of changing NPCs are updated with the network secretariat/host;

- regular meetings and exchanges of information take place between the network—this can be through either workshops or online sharing tools;

- adequate funding is available to sustain the network, either through state contributions or donor assistance.

To achieve these ends, states or regional organisations may want to consider hiring a staff member at the regional secretariat to coordinate the work of the network. This was proposed during a subregional workshop with the Melanesian Spearhead Group in 2015.[65] Reporting to the ATT and UNPoA proves valuable for regional networks in this situation as it enables the network to identify areas of cooperation and builds confidence between the NPCs in the network.

Information distributed by regional networks

Once a regional network of ATT and UNPoA NPCs is established, the coordinating organisation or state should distribute information regularly to ensure that the ATT and UNPoA are implemented effectively at the national, regional and international levels. The network coordinating body should distribute information about:

- upcoming international meetings;

- bilateral and multilateral cooperation opportunities;

- funding options;

- ATT and UNPoA reporting deadlines;

- the policy consensus or policy preference of states at upcoming international meetings.

Communication within the regional NPC network does not need to be costly. If a staff member of a regional organisation has been tasked with disseminating information throughout the network, they can use tools such as a newsletter on MailChimp, Facebook and/or Twitter. Another valuable tool for updating NPCs on important information and for exchanging information between NPCs is a simple list server.

TIP: The key is ensuring that the most up-to-date contact details are provided to the network coordinating individual or body.

5.5 DEVELOPING A REGIONAL WORK-PLAN OR STRATEGY

Section 1 of this guide showed how to develop an NAP for effective implementation of the ATT and the UNPoA. A similar process can also take place at a regional or subregional level to tackle local challenges and gaps. (See Section 1 for 'Steps to Developing a National Plan'.) A regional action plan might require the following action to be taken at the national and regional levels as part of an overall regional strategy.

An example work-plan in action

In 2015, the Pacific Small Arms Action Group (PSAAG) and the Melanesian Spearhead Group (MSG) held a workshop for more than 20 representatives from MSG Member States. Representatives included military officers, customs officials and delegates from the Ministry of Foreign Affairs. The aim of the workshop was to build the capacity of the representatives in the subregion to implement the UNPoA. It focused particularly on reporting and the progress being made by each state towards ATT ratification and accession.

A number of key findings were identified during the workshop:

- among implementing officials, particularly customs officers, there was strong support for the ATT;

- many saw the value of the UNPoA in tackling some SALW issues to augment the ATT; and

- representatives appreciated the development of tools such as the ATT Model Law and the ATT Baseline Survey (ATT-BAP) project.

At the workshop, the representatives identified key regional challenges:

- vast oceans and the region's lack of capacity in monitoring them for arms flows;

- managing unregulated homemade weapons and others flowing across their borders;

- using manual systems for record-keeping, marking and tracing;

- the delay in nominating a responsible officer to compile required reports.

As an outcome of having identified gaps, officials worked together to discuss ways to resolve such challenges regionally and nationally. As outlined in the workshop outcome document, the officials proposed that at the national level states should:

- identify one focal person per country to coordinate with MSG;

- hold workshops at a national level to bring together all the relevant agencies to discuss the implementation of the ATT and the UNPoA;

- conduct an ATT-BAS survey with all relevant agencies to identify gaps preventing the ratification of, or accession to the ATT;

- introduce the ISACS to a wider group of government officials, particularly those within relevant implementation agencies; and

- review current legislation and compliance with the ATT and the UNPoA.

At a regional level, representatives at the workshop also:

- called for the establishment of a regional focal point responsible for coordinating the arms control network of MSG Member States, sharing information such as reporting deadlines;

- supported MSG taking a lead role in coordinating the policy positions of Members States in order to represent larger voting blocs in future;

- encouraged wider Pacific engagement with other Pacific states outside the Melanesian region and with the Pacific Islands Forum (PIF);

- proposed establishing a working group of NPCs who to be coordinated by MSG, facilitating donor assistance and collaboration;

- suggested looking at other existing frameworks and organisations, such as OCO, to promote common laws and systems throughout the region.

Since 2015, MSG has collaborated with PSAAG to jointly pursue national action plans. MSG and PSAAG will hold another meeting late in 2017 to solidify these into a regional action plan.

The above information was taken from: Pacific Small Arms Action Group 'Advancing the ATT and UNPoA in the Pacific, a workshop hosted by PSAAG and MSG, 1–2 September 2015'.[66]

5.6 REGIONAL NETWORKS OF NPCS: A SUMMARY

This section has described what regional NPC networks are and who should implement them, explained why they are valuable, and given examples that demonstrate best practices. There are several ways in which NPC networks can make regional and national arms control policy more effective:

- they enable coordination on matters of policy;

- they help build a regional consensus on conventional arms;

- they facilitate collaborative partnerships for effective implementation;

- they build capacity to implement the ATT and the UNPoA;

- they deal with region-specific problems collectively;

- they disseminate and share best practices and conventional arms knowledge.

5.7 RECOMMENDATIONS

From various examples, we can draw the following best practices for NPC networks:

- NPC networks work best when combined with diplomatic initiatives;

- regular meetings and conferences are important to improve and maintain NPC networks;

- NPC networks disseminate and share practices best when they engage with a variety of domestic policy-makers and other pre-existing regional networks of experts;

- NPCs can use different regional networks to fulfil a variety of roles through collaborative efforts;

- states/regions should choose a regional network or organisation that coordinates a network of NPCs in implementing the ATT and the UNPoA, a network that is strategically based on the group's policy goals.

Although most NPC networks will tend to favour a stronger centralised secretariat over time, it is most efficient to assign the responsibility of initiating or maintaining the network to the most logical NPC for the network.

SECTION 5 ENDNOTES

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