



Working Paper
Recommended Evaluation Indicators on the Implementation of the
Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms
and Light Weapons (SALW) in All Its Aspects, at the National level.
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Abstract:

Much of the research to date on implementation of the UN PoA has focused on activities and outputs. However, little if any attention has been paid to the progress made over the last 10 years towards the intended results, or outcomes, of this agreement. This working paper suggests an initial set of outcome-focused indicators for PoA measures implemented at the national level. The authors recognize that much of this information may be unavailable in many countries; however the lack of existing information can be interpreted as an indicator in itself pointing towards important areas of improvement. Additionally, many States will be unwilling and/or unable to provide data for many of the suggested indicators, highlighting the need for multiple data sources in addition to State reporting (including civil society, specialists and media amongst others).



Indicators on Preventing, combating and eradicating the illicit trade in Small Arms and Light Weapons (SALW) in all its aspects at the National Level.

“States participating in this Conference, bearing in mind the different situations, capacities and priorities of States and regions, undertake the following measures to prevent, combat and eradicate the illicit trade in SALW in all its aspects:”

Measure #2

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 unauthorized recipients.

Outcome:

States have effective control over the legal production of SALW in order to prevent:

- 1) Their illegal manufacture
- 2) Their illicit trafficking
- 3) Their diversion to unauthorized recipients

Indicators:

Has the State implemented Laws, Regulations and Administrative Procedures to exercise effective control over the production of SALW?

- Does national legislation exist that requires producers to be registered with the State?
- Is there existing legislation that details rules and procedures for production?
- How many producers of SALW are registered?
- What % of producers has been inspected per year by a relevant government agency?
- What % of producers found were in compliance?
- What % producers were fined for being out of compliance?
- What was the average fine in Local Currency?
- What % of producers were shut down?

Has the State implemented Laws, Regulations and Administrative Procedures to exercise effective control over the 1) export, 2) import, 3) transit or 4) retransfer of SALW? (See specific indicators on arms transfers below)

Measure #3

To adopt and implement, in the States that have not already done so, the necessary legislative or other measures to establish as criminal offences under their domestic law the illegal manufacture, possession, stockpiling and trade of SALW within their areas of jurisdiction, in order to ensure that those engaged in such activities can be prosecuted under appropriate national penal codes.

Outcome:

To reduce illegal manufacture, possession, stockpiling and trade in SALW through legal prosecution under national legislation



Indicators:

Has the State implemented necessary measures to domestically criminalize the illegal manufacture of SALW?

- Is there an existing law prohibiting the illicit manufacture of SALW?
- Number of illegal manufacturers identified/suspected by authorities
- Number of arrests for illegal manufacture
- Number of prosecutions of illegal manufacture

Has the State implemented necessary measures to domestically criminalize the illicit possession of SALW?

- Is there an existing law for legal firearm owners to be registered with the State?
- Is there an existing law for legal SALW to be registered with the State?
- Is there an existing national database with legal registered firearms and firearm owners?
- Number of legally registered firearm owners
- Number of arrests for possession
- Number of prosecutions of possession

Has the State implemented necessary measures to domestically criminalize the illicit stockpiling of SALW?

- Are there national guidelines and procedures for stockpiling weapons?
- Is there a national level authority responsible for verifying compliance with stockpiling safety guidelines?
- Number of arrests for illegal or inadequate stockpiling
- Number of prosecutions

Has the State implemented necessary measures to domestically criminalize the illicit trade of SALW?

(See more specific indicators below on SALW transfers)

Other:

- Is there an existing national level database with the information above?

Measure #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 SALW 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.

Outcome:

Clear coordination, exchange of information and division of responsibilities amongst relevant national agencies related to controlling:

- Manufacture of SALW
- Trafficking of SALW
- Circulation of SALW
- Brokering and trade of SALW
- Tracing of SALW
- Finance of SALW
- Collection and destruction of SALW



Indicators:

- Is there a designated body (or bodies) responsible for intra-agency coordination?
- How often do all relevant national agencies/bodies meet?
- With what frequency do agencies communicate with one another?
- Do all agencies have access to information kept or produced by each body/agency?
- Does the lack of cooperation or exchange of information hinder the work of a particular agency?
- Are there clearly delegated responsibilities amongst these agencies?
- What level official attends coordination meetings, or is responsible for intra-agency communication?
- What is the role of civil society (none, participant, observer, experts, etc.)?

Measure #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 Program of Action

Outcome:

There is a clear channel and transfer of information between national authorities and international forums (i.e.: UN) on the PoA

Indicators:

- Is there an established liaison?
- How often does the established liaison meet with relevant national enforcement and policy agencies/ bodies?
- What level of seniority does the liaison have?
- How many international and regional conferences, meetings and events were attended by the liaison since the creation of the PoA (2001)?

Measure #6

To identify, where applicable, groups and individuals engaged in the illegal manufacture, trade, stockpiling, transfer, possession, as well as financing for acquisition, of illicit SALW, and take action under appropriate national law against such groups and individuals.

Outcome:

States identify and prosecute individuals or groups engaging in illegal manufacture, trade, stockpiling, transfer, and possession and financing the acquisition of SALW

Indicators:

- How many groups or individuals have been identified as engaging in illegal:
 - Manufacture SALW
 - Trade of SALW
 - Stockpiling of SALW
 - Transfer of SALW
 - Possession of SALW
 - Financing acquisition of SALW
- How many investigations were conducted on each of the above?
- How many groups or individuals have been prosecuted since the creation of the PoA (2001) for each of the aforementioned crimes?



Measure #7

To ensure that henceforth licensed manufacturers apply an appropriate and reliable marking on each small arm and light weapon as an integral part of the production process. This marking should be unique and should identify the country of manufacture and also provide information that enables the national authorities of that country to identify the manufacturer and serial number so that the authorities concerned can identify and trace each weapon.

Outcome:

Legally manufactured weapons are marked and traceable to the manufacturer

Indicators:

- Is there existing legislation requiring SALW manufactures to mark weapons with serial number and manufacturer identification?
- Is there a delegated national authority responsible for enforcement of this legislation?
- How many manufactures have been inspected for required marking procedures, per year, since the creation of the PoA (2001)?
- How many manufactures have been found not in compliance since 2001?
- How many manufactures have been fined for not complying?
- How many manufactures have been shut down for non-compliance?
- How many manufactures have been prosecuted for non-compliance?
- Are there existing mechanisms for tracing illegally confiscated weapons back to their place of purchase and manufacturer?
- Are tracing information, equipment or training available to law enforcement entities?

Measure #8

To adopt where they do not exist and enforce, all the necessary measures to prevent the manufacture, stockpiling, transfer and possession of any unmarked or inadequately marked SALW.

Outcome:

Manufacture, stockpiling, transfer and possession of unmarked weapons are prevented

Indicators:

- Is there existing legislation to prohibit manufacture, stockpiling transfer and possession of unmarked weapons?
- Is there a delegated national authority responsible for the enforcement of this legislation?
- How many groups or individuals have been identified as engaging in:
 - Manufacture of unmarked SALW
 - Stockpiling of unmarked SALW
 - Transfer of unmarked SALW
 - Possession of unmarked SALW
 - Financing acquisition of unmarked SALW
- How many groups or individuals have been prosecuted since the creation of the PoA (2001) for each of the crimes above?



Measure #9

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 organized and maintained in such a way as to ensure that accurate information can be promptly retrieved and collated by competent national authorities.

Outcome:

Records on SALW manufacture, holding and transfer are held and organized effectively in a centralized and accessible location.

Indicators:

- Is there existing legislation stipulating that records be kept on the manufacture, holding and transfer of SALW?
- Are records centralized nationally?
- Do national all bodies responsible for the implementation and enforcement of this legislation have access to the database?
- Are there security procedures in place to access and enter information into the database?
- With what frequency is the database accessed for investigations?

Measure #10

To ensure responsibility for all SALW held and issued by the State and effective measures for tracing such weapons.

Outcome:

SALW issued and held by the State are accounted for and traceable

Indicators:

- Do States have regular internal audits of their SALW stockpiles
- Do States have regular external audits of their SALW stockpiles
- Do States have regular internal audits of their SALW in service
- Do States have regular external audits of their SALW in service
- Are their standardized rules and security procedures applied universally to all State stockpiles?
- Who has access to State stockpiles?
- Who approves access and through what procedures?
- Are SALW held by State military and law enforcement professionals specially marked?
- Is there existing legislation that State SALW be specially marked?
- How many SALW issued or held by the State were reported as missing or stolen per year since 2001?

Measure #11

To assess applications for export authorizations according to strict national regulations and procedures that cover all SALW and are consistent with the existing responsibilities of States under relevant international law, taking into account in particular the risk of diversion of these weapons into the illegal trade. Likewise, to establish or maintain an effective national system of export and import licensing or authorization, as well as measures on international transit, for the transfer of all SALW, with a view to combating the illicit trade in SALW.

Outcome:



All transfers of SALW must be approved or denied by a specified State agency, through standardized procedures, and are assessed based on risk of diversion and relevant international law.

Indicators:

- Does national law mandate a system of national licenses and authorization for SALW transfers?
- Is there one national body responsible for approving SALW transfers to, from and within the State?
- Are there clearly states criteria for approval?
- Do criteria prohibit transfers where there is significant risk of diversion or violation of international law?
- How many applications were made, per year, since 2001?
- What % of applications was approved?
- What % of applications was denied?
- How many cases of documented diversions have taken place since 2001?

Measure #12

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.

Outcome:

Guarantee that legally purchased, exported weapons effectively reach and remain with approved end-users

Indicators:

- Are there existing national export controls?
- What types of exports are prohibited under national law?
- Are end-user certificates used and required?
- Is receipt by approved end users verified by the State?
- In cases of diversion, are further transfers to end-users denied or put on hold?

Measure #13

To make every effort, in accordance with national laws and practices, without prejudice to the right of States to re-export SALW that they have previously imported, to notify the original exporting State in accordance with their bilateral agreements before the retransfer of those weapons.

Outcome:

For original exporting States to be notified of re-export of SALW

Indicators:

- How many cases of re-exportation have occurred?
- How many times have these cases been reported to the original export States?

Measure #14

To develop adequate national legislation or administrative procedures regulating the activities of those who engage in SALW brokering. This legislation or procedures should include measures such as registration of brokers, licensing or authorization of brokering transactions as well as the appropriate penalties for all illicit brokering activities performed within the State's jurisdiction and control.



Outcome: States have effective control over brokering activities such that brokers that facilitate SALW transfers contrary to national law will be prosecuted.

Indicators:

- Is there existing legislation on brokers and brokering activity requiring brokers to be licensed and there transactions to be authorized by the State?
- How many brokers are registered?
- How many suspected unregistered brokers are there?
- How many SALW transfers by brokers have taken place, per year, since 2001?
- How many transfers were denied ?
- How many investigations of illegal brokering have been opened, per year, since 2001?
- How many prosecutions of illegal brokers have taken place, per year, since 2001?

Measure #15

To take appropriate measures, including all legal or administrative means, against any activity that violates a United Nations Security Council arms embargo in accordance with the Charter of the United Nations.

Outcome: violations of arms embargos are prevented

Indicators:

- Do State criteria for approval of arms transfers prohibit transfers to arms embargoed countries?
- How many UNSC embargos have occurred since 2001?
- How many documented violations have occurred since 2001?
- Have sanctions been implemented against States in violation UNSC arms embargos?
- Have diplomatic relations been suspended with States in gross violation of UNSC arms embargos?

Measure #16

To ensure that all confiscated, seized or collected SALW are destroyed, subject to any legal constraints associated with the preparation of criminal prosecutions, unless another form of disposition or use has been officially authorized and provided that such weapons have been duly marked and registered.

Outcome:

Confiscated SALW are not diverted back into circulation

Indicators:

- Are confiscated SALW registered in a database?
- Are confiscated SALW kept in secured storage areas?
- Does legislation specify that confiscated weapons be destroyed within a specific time period?
- How many SALW were confiscated by authorities, per year, since 2001
- How many SALW have been destroyed since the signing of the PoA in 2001?
- How many SALW remain in storage today?
- How many SALW have been marked for reuse?

Measure #17



To ensure, subject to the respective constitutional and legal systems of States, that the armed forces, police or any other body authorized to hold SALW establish adequate and detailed standards and procedures relating to the management and security of their stocks of these weapons. These standards and procedures should, inter alia, relate to: appropriate locations for stockpiles; physical security measures; control of access to stocks; inventory management and accounting control; staff training; security, accounting and control of SALW held or transported by operational units or authorized personnel; and procedures and sanctions in the event of thefts or loss.

Outcome:

Armed forces, law enforcement and other State bodies authorized to hold SALW have security procedures that prevent theft and diversion.

Indicators:

- Have authorized SALW users evaluated the locations of their stockpiles according to national and international standards?
- Are the locations in accordance with national and international standards on stockpile management?
- What physical security measures in place to protect authorized stockpiles and inventory?
- Is there a standardized national inventory management system?
- Who has access to the system?
- Have SALW holding bodies been trained in proper control of access to stocks?
- Have SALW holding bodies been trained in proper inventory management?
- Have SALW holding bodies been trained in proper management and security of SALW?
- Has the State ensured security, accounting and control of SALW held or transported by operational units or authorized personnel?
- Has the State implemented procedures and sanctions in the event of thefts or loss of SALW?
- How many SALW have been reported stolen or lost per year, since 2001?
- In how many of these cases was there a review and changes to physical security procedures?

Measure #18

To regularly review, as appropriate, subject to the respective constitutional and legal systems of States, the stocks of SALW held by armed forces, police and other authorized bodies and to ensure that such stocks declared by competent national authorities to be surplus to requirements are clearly identified, that programs for the responsible disposal, preferably through destruction, of such stocks are established and implemented and that such stocks are adequately safeguarded until disposal.

Outcome:

Surplus SALW are accounted for and disposed of preventing diversion and illicit transfers.

Indicators:

- Have State SALW surpluses been identified?
- Have States requested technical assistance to identify State SALW surplus?
- How many surplus SALW have been identified today?
- Are surplus SALW appropriately protected according to national legislation and international stockpile management standards (see above)?

Measure #19



To destroy surplus SALW designated for destruction, taking into account, inter alia, the report of the Secretary-General of the United Nations on methods of destruction of small arms, light weapons, ammunition and explosives (S/2000/1092) of 15 November 2000.

Outcome:

Surplus SALW designated for destruction have been destroyed per the methods, or other appropriate means, such as those outlined by the UNSG report (S/2000/1092)

Indicators:

- Are those responsible for destruction for SALW surpluses trained in the methods outlined in the UNSG report?
- Have surplus arms been destroyed per the methods outlined in the UNSG report?
- Have States requested technical assistance in surplus destruction?
- How many surplus SALW have been destroyed, per year, since 2001?

Measure #20

To develop and implement, including in conflict and post-conflict situations, public awareness and confidence-building programs on the problems and consequences of the illicit trade in SALW in all its aspects, including, where appropriate, the public destruction of surplus weapons and the voluntary surrender of SALW, if possible, in cooperation with civil society and non-governmental organizations, with a view to eradicating the illicit trade in SALW.

Outcome:

Public is highly informed about the dangers of SALW

Indicators:

- Have public awareness programs been conducted?
- Has the State sponsored voluntary surrender or buy-back campaigns?
- How much funding was spent on these programs?
- Has civil society been included in the design and implementation of these programs?

Measure #21

To develop and implement, where possible, effective disarmament, demobilization and reintegration (DDR) programs, including the effective collection, control, storage and destruction of SALW, particularly in post-conflict situations, unless another form of disposition or use has been duly authorized and such weapons have been marked and the alternate form of disposition or use has been recorded, and to include, where applicable, specific provisions for these programs in peace agreements.

Outcome:

Former combatants are disarmed, demobilized, and reintegrated, and their SALW do not become available to the general public

Indicators:

- How many States are recovering from war or armed conflict where ex-combatants are still armed?

Where applicable:



- How many ex-combatants are there?
- Have old command structures been demobilized?
- What % of former combatants have turned over their SALW?
- What % of SALW collected was destroyed?
- Do the amount of SALW used in conflict match the number destroyed and stored after collection?
- What % of former combatants have been through a rehabilitation program?
- What percentage of former combatants are engaged in a productive role in their communities?

Measure #22

To address the special needs of children affected by armed conflict, in particular the reunification with their family, their reintegration into civil society, and their appropriate rehabilitation.

Outcome:

Children affected by armed conflict have had their special needs addressed.

Indicators:

- Has a census been conducted to find out the number of children affected by armed conflict?
- How many children affected by armed conflict have been reunified with their families?
- How many children affected by armed conflict have participated in reunification programs?
- Is civil society involved in the design and implementation of reunification programs?

Measure #23

To make public national laws, regulations and procedures that impact on the prevention, combating and eradicating of the illicit trade in SALW in all its aspects and to submit, on a voluntary basis, to relevant regional and international organizations and in accordance with their national practices, information on, inter alia, (a) SALW confiscated or destroyed within their jurisdiction; and (b) other relevant information such as illicit trade routes and techniques of acquisition that can contribute to the eradication of the illicit trade in SALW in all its aspects.

Outcome:

Information about confiscated SALW and illegal trade is voluntarily shared with relevant regional and international bodies.

Indicators:

- Are regular reports sent to regional bodies?
- Are there regional forums for information sharing?
- How often do they meet?
- Do border control, migration agents and Federal Police share information and work together within the region?