



Guidelines for Establishment and Functioning of National Institutions Responsible for SALW Management and Control

RECSA



Co-operating to Disarm

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*Guidelines for Establishment and Functioning
of National Institutions Responsible for SALW
Management and Control*

Foreword to the Guidelines

The persisting proliferation of illicit small arms and light weapons (SALW) in the RECSA region continues to cause not only the loss of millions of lives but also millions of dollars in lost development opportunities.

In 2000 some RECSA member states signed the Nairobi Declaration of 2000 on the problem of the illicit proliferation of SALW in the Great Lakes Region to address SALW proliferation. Subsequently, some Member States went ahead to establish National Focal Points (NFPs) while others were established following the Nairobi Protocol which came into force in 2004. Others are yet to do so.

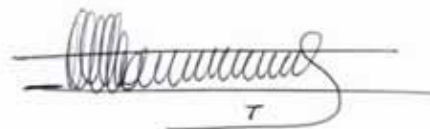
The process of establishing the NFPs has been unstructured, without clear guidelines, resulting into different modes of operation, placement, names, and staffing. On the other hand, member states have chosen different structures: full-fledged Commissions or Directorate or simply a Desk in the Ministry of Internal Affairs or Police. All this has affected the capacity of the respective Member States to implement their obligations pertaining to regional and international SALW instruments that they are signatories to.

The present guidelines provide for procedures and steps for establishing national institutions responsible for SALW management and control. They also describe the mandate and functions of the said institutions as well as their operationalization. RECSA Secretariat strongly recommends member states to establish full-fledged National Commissions. Experience has shown that where they are given the required resources these commissions perform much better than any other institution framework.

On behalf of RECSA Member States, I wish to express our deep appreciation to the African Development Bank (AfDB) for providing the financial facilitation of the development of these guidelines, under the *Technical Assistance and Capacity Building Project*

to RECSA to enhance regional and state stability through reduction of proliferation of small arms.

I hope that the member states and other stakeholders will find these guidelines useful in their efforts to build at national level the capacity to eradicate the problem of illicit SALW.



Theoneste Mutsindasyaka
Executive Secretary,
RECSA

LIST OF ACRONYMS

AFDB	African Development Bank (AfDB)
ATT	Arms Trade Treaty
CSO	Civil Society Organizations
CAR	Central African Republic
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
IFRS	International Financial Reporting Standards
IPSAS	International Public Sector Accounting Standards
ITI	International Tracing Instrument
M&E	Monitoring and Evaluation
NSC	National Steering Committee
NAP	National Action Plan
NP	Nairobi Protocol
NI	National Institution
RECSA	Regional Centre on Small Arms
UN	United Nations
UNDP	United Nations Development Programme
UNODA	United Nations Office for Disarmament Affairs
UNODC	United Nations Office for Drugs and Crime
UNPOA	United Nations Programme of Action for Small Arms and Light Weapons
UNSAC	United Nations Standing Committee on Security Questions in Central Africa
SADC	Southern African Development Community
SALW	Small Arms and Light Weapons
SARPCCO	Southern African Police Chiefs Cooperation Organization

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1 Background

RECSA is an inter-governmental body with juridical personality and enjoys diplomatic status by virtue of the Host Agreement entered into with the Government of Kenya. As an organisation, the vision of RECSA is a safe and secure sub-region in a peaceful continent free from arms proliferation. The mission is to coordinate actions against small arms and light weapons proliferation in the Great Lakes Region, Horn of Africa and the Bordering States.

The strategic pillars of RECSA intervention are based on the provisions of the Nairobi Protocol. They include: (i) Development of effective institutions for SALW control and Management; (ii) Effective promotion and facilitation of SALW management; (iii) effective information generation and provision; and (iv) preventive measures aimed at addressing the negative impact of SALW proliferation. The illicit proliferation and misuse of small arms and light weapons ranks among today's most pressing security threats in Africa and in the world generally.

It is estimated that there are 875 million small arms in circulation in the world today. Of this number, civilian ownership, both legal and illegal, accounts for about 75%. Of the global estimates of small arms in circulation, over 100 million are in Africa, most of them in the hands of civilians. The black market value of small arms and light weapons stands at US\$ 1 billion. As a result of the proliferation of small arms, one person dies from armed violence every minute, while 16 become refugees. In that same minute, 15 new weapons are manufactured.¹

Tens of thousands of people are killed or wounded each year in conflicts that are exacerbated primarily by these weapons in crime-ridden areas and outside of conflict zones. According to the UN and Nairobi Protocol, small arms and light weapons are weapons that can be transported and used by one person or a small crew. Small arms include revolvers and

self-loading pistols, rifles and carbines, assault rifles, sub-machine guns, and light machine guns. Light weapons include heavy machine guns, hand-held under barrel and mounted grenade launchers, portable anti-tank and anti-aircraft guns, recoilless rifles, portable launchers of anti-tank and anti-aircraft missile systems, and mortars with calibres of less than 100 millimetres.

The manufacture, transfer and circulation of small arms and light weapons and their excessive accumulation and un-controlled spread in many regions of the world have a wide range of humanitarian and socio-economic consequences. They sustain armed conflict, abet terrorism, and facilitate cattle rustling and other serious crimes. These pose serious threat to peace, reconciliation, safety, security and stability and sustainable development at the individual, local, national, regional and international levels (UNPoA Preamble Para 2).

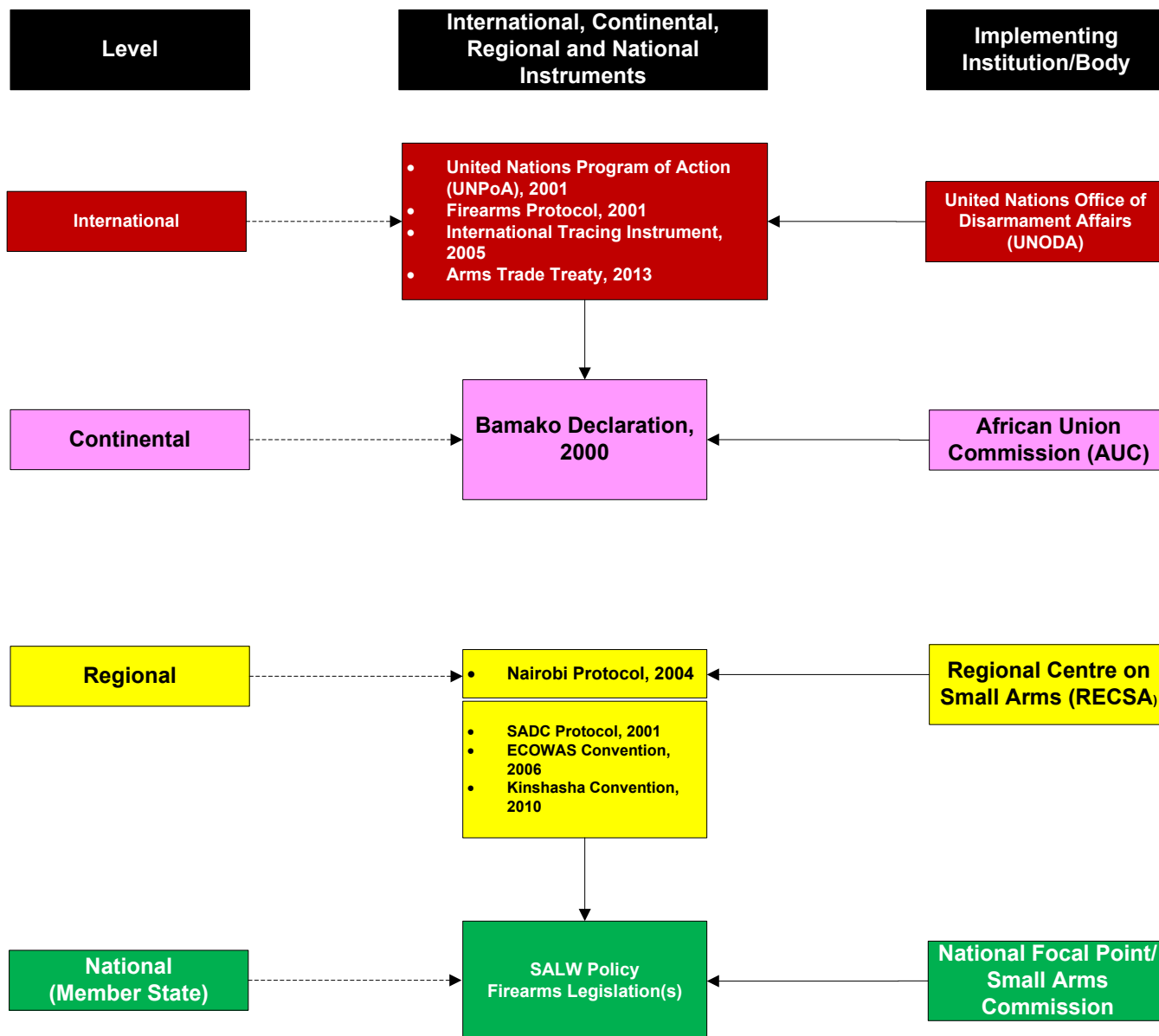
In realization of these adverse effects, the world came together in the late nineties to take action on the scourge of small arms and light weapons proliferation. The 1997 United Nations Report of the Panel of Governmental Experts on Small Arms provided the definition and framework for addressing the proliferation of small arms and light weapons.

1.1 International, Regional, and National Frameworks for SALW Control

SALW control and management framework flows from the international, continental, regional and to national level. Figure 1 below highlights this framework.

¹www.smallarmssurvey.org/weapons-and-markets.html.

Figure 1: International, Regional and National Frameworks for SALW Control and Management



1.1.1 International Level

At the global level, the following instruments have been agreed upon to guide the management and control of small arms and light weapons:

The UN Programme of Action (UNPoA), 2001

This is an international instrument that aims at developing or strengthening agreed norms and measures with a view to promoting concerted and coordinated international efforts to curb the illicit small arms and light weapons manufacture, export, import, transfer and retransfers. It provides a framework for activities to counter the illicit trade in SALW.

Firearms Protocol, 2001

This is a UN Protocol that establishes mechanisms against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and ammunition; and it supplements the United Nations Convention against Transnational Organized Crimes. The Protocol is legally binding and it complements the UNPoA. The coordination of its implementation is entrusted to the United Nations Office on Drugs and Crime (UNODC).

International Tracing Instrument, 2005

This instrument is intended to enable States to identify and trace, in a timely and reliable manner, the illicit Small Arms and Light Weapons. It emphasises three broad areas of firearms marking, record keeping and cooperation in information sharing (tracing). The instrument was developed within the policy framework established by the 2001 Programme of Action and makes reference to the 2001 Firearms Protocol.

The Arms Trade Treaty, 2013

The Arms Trade Treaty (ATT) is a multilateral treaty that aims at regulating the international trade in conventional arms, from small arms to battle tanks, combat aircraft and warships. The treaty is intended to foster peace and security by eradicating and destabilizing arms flows to conflict regions and preventing human rights abusers and violators from being supplied with arms .

At the international level, the United Nations Office for Disarmament Affairs (UNODA) coordinates all affairs related to SALW.

1.1.2 African Continental Level

At the African continental level, there is the Bamako Declaration to guide the management and control of small arms and light weapons:

The Bamako Declaration, 2000

*The Bamako Declaration on the Common African Position on the Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons*⁵ aims at promoting peace, security and sustainable development through addressing the problem of the illicit proliferation, circulation and trafficking of SALW in a comprehensive integrated sustainable and efficient manner.

The implementation of this declaration is vested with the Member States while follow-up and coordination is undertaken by the African Union Commission.

1.1.3 Regional Level

At the regional level, countries have come together to fight small arms proliferation through enactment of regional instruments as outlined below

²www.unodc.org

³www.un.org/events/international_instrument

⁴www.un.org/disarmemnet/ATT

⁵<http://2001-2009.state.gov/t/ac.../6691.htm>

The Nairobi Protocol, 2004

The Nairobi Protocol on the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States aims to;

- a) prevent, combat and eradicate the illicit manufacturing of, trafficking in, possession and use of SALW in the sub-region,
- b) prevent the excessive and destabilizing accumulation of SALW in the sub-region,
- c) promote and facilitate information sharing and cooperation between governments and the sub-region as well as between governments, inter-governmental organizations and CSO in all matters relating to illicit trafficking and proliferation of SALW
- d) promote cooperation at the sub-regional level as well as in the international forum to effectively combat the SALW problem in collaboration with relevant partners, and
- e) encourage accountability, law enforcement and efficient control and management of SALW held by state parties and civilians.

From the institutional point of view, the Nairobi Protocol, unlike other regional instruments, has an intergovernmental institution (RECSA) that is solely dedicated to coordinating its implementation.

The Regional Centre on Small Arms

RECSA is an inter-governmental organisation established under Article 2 of the agreement establishing the Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States. Its mandate is to coordinate the implementation of the Nairobi Protocol and building capacity of National Focal Points.

It replaced the Nairobi Secretariat that was established in 2002 and mandated initially to implement the Nairobi Declaration.

At the time of developing these guidelines, RECSA is comprised of 15 Member States Republic of Burundi, Central African Republic, Republic of Djibouti, Republic of Congo, Democratic Republic of Congo, State of Eritrea, Federal Democratic Republic of Ethiopia, Republic of Kenya, Republic of Rwanda, Republic of South Sudan, Republic of the Sudan, United Republic of Tanzania and Republic of Uganda.

SADC Protocol, 2001

*The SADC Protocol on Control of Firearms, Ammunition and other Related Materials*⁶ signed by States in the Southern African Development Community, aims at preventing, combating and eradicating the illicit manufacturing of firearms, ammunition and other related materials, and their excessive and destabilizing accumulation, trafficking, possession and use in the region.

The implementation of this protocol is the responsibility of signatory Member States, while coordination and follow-up is by the Southern Africa Regional Police Chiefs Cooperation Organisation (SARPCCO).

ECOWAS Convention, 2006

The ECOWAS Convention on Small Arms and Light Weapons, Their Ammunition and Other Related Materials,⁷ agreed upon by States in the Economic Community of West Africa, aims at preventing and combating the excessive and destabilising accumulation of SALW within ECOWAS; and to continue the efforts for the control of SALW.

The coordination and follow-up of this Convention is entrusted with the ECOWAS Commission, while implementation is by the Member States.

⁶www.sadc.int-protocol

⁷www.ecowas.int

Kinshasa Convention 2010

*The Central African Convention for the Control of SALW, Their ammunition and all Parts and Components that can be used for their Manufacture, Repair or Assembly*⁸ (also known as the *Kinshasa Convention*), was negotiated within the framework of the UN Standing Committee on Security questions in Central Africa (UNSAC) and signed by 11 Members of the Committee. It aims at regulating small arms and light weapons and combating their illicit trade and trafficking in central Africa.

The follow-up and coordination of this Convention is vested in the ECCAS Secretary General while the implementation is with the Member States.

1.1.4 National Level

As retrospectively noted, the implementation of International and Regional SALW instruments rests with the Member States. Accordingly, different SALW instruments call for States to establish, or designate as appropriate, national coordination agencies or bodies and institutional structures responsible for guidance and management of affairs related to small arms and light weapons (UNPoA, 2001, Article II.5; Firearms Protocol, 2001, Article 13(2); ITI 2005 Para.25). Specifically, Article 16 of the Nairobi Protocol stipulates that state parties *undertake to establish National Focal Points to, inter alia, facilitate the rapid information exchange to combat cross-border small arms and light weapons trafficking.*

This calls for clear guidance on the establishment and functioning of the National Institution responsible for SALW management and control. This document aims at providing this guidance.

In addition, such guidance is to have a common framework for harmonizing/aggregating country-level approaches to regional contexts and to compare experiences and challenges across countries,

and also to be able to share lessons for best practices. This document therefore provides a uniform approach to establishment and functioning of National Institutions responsible for SALW management and control.

2 Objectives and Justification for the Guidelines

2.1 Objectives

The main objectives of the guidelines are:

- i. To justify to Member States the rationale for establishing National Institutions for Small Arms Control and Management;
- ii. To provide Member States with procedures and steps for establishing of National Institutions responsible for Small Arms Control and Management;
- iii. To provide clarity to the Member States on the mandate and functions of the National Institutions responsible for Small Arms Control and Management.

2.2 Justification

2.2.1 The need to document structured procedures

Following the Nairobi Declaration of 2000 on the problem of the illicit proliferation of SALW in the Great Lakes and Horn of Africa regions, and its coordinated agenda for action, some Member States went ahead to establish National Focal Points. Other Member States established them after the signing of the Nairobi Protocol in 2004; while others are yet to do so. However, where these have been established, the process has been unstructured, without clear guidelines, resulting into different modes of operation, placement, names, and staffing.

⁸www.unrec.org/docs/kinshasa.pdf

All this has affected in varying degrees the capacity of the respective Member States to implement their obligations pertaining to SALW instruments that they are signatories to; hence the need to document well-structured procedures to guide the establishment and functioning of national institutions.

The current placement of National Institutions in the Member States can be categorized into three distinct groups: Independent Entity, Departments/ Directorates and Individual Points of Contact. Table 1 presents an overview of variations in the existing national structures responsible for SALW Management and Control in RECSA Member States.

Table 1: Overview of variations in the existing national structures responsible for SALW Management and Control

Member State	Status	Year of Establishment	Current Placement	Full Time/ Part-Time	Level of Autonomy
Burundi	Independent Institution	2003	Ministry of Public Security	Full-Time (Fully functioning Entity)	Fully Autonomous
CAR	Point of Contact	2011	Office of the Prime Minister	Part-Time	N/A
Djibouti	Point of Contact	2004	Ministry of Interior	Part-Time	N/A
DRC	Independent Institution	2008	Ministry of Interior and Security	Full-Time (Fully functioning Entity)	Fully Autonomous
Eritrea	Point of Contact	2005	National Police	Part-Time	N/A
Ethiopia	Point of Contact	2004	Federal Police	Part-Time	N/A
Kenya	Directorate	2002	Ministry of Interior	Full-Time (Fully functioning Directorate)	Semi-autonomous
RoC	Point of Contact	2009	Ministry of Interior	Part-Time	N/A
Rwanda	Directorate	2003	Ministry of Internal Security	Full-Time (Fully functioning Directorate)	Semi-autonomous
Seychelles	Point of Contact	2004	National Police	Part-Time	N/A
Somalia	Point of Contact	2006	Ministry of National Security	Part-Time	N/A
South Sudan	Independent Institution (Bureau)	2008	Ministry of Interior	Full-Time (Fully functioning Entity)	Fully Autonomous
Sudan	Department	2004	National Police	Full-Time (Fully functioning Department)	Semi-autonomous

Tanzania	Department	2001	National Police	Full-Time (Fully functioning Department)	Semi-autonomous
Uganda	Department	2001	Ministry of Internal Affairs	Full-Time (Fully functioning Department)	Semi-autonomous

Source: Primary Data

2.2.2 Building Capacity at the National Level

The effective implementation of SALW instruments is dependent on the available capacity at the national level to interpret the instruments to specific national contexts. This includes designing and implementation of appropriate programs, mobilizing resources and nation-wide participation among others.

The experience of RECSA over the last decade has shown that there are frequent transfers of office bearers in the existing National Focal Points, hence the need for continued capacity building.

This document therefore provides clear guidelines on SALW frameworks, establishment and functioning of the national structures responsible for Small Arms Control, as well as stakeholder involvement and management.

3 National Institution for SALW Management and Control

3.1 Rationale for a National Institution

The proliferation and illicit trafficking of SALW is a complex and multidimensional problem that affects the state, individuals and communities. Given the array of people and activities involved at the local, national, regional and international levels in combating SALW proliferation, it is crucial that small arms control efforts are coordinated by governments at the national level.

Unfortunately, the lack of effective coordination and information sharing between the many government departments and agencies that have a role to play in small arms control is often a significant barrier to tackling small arms-related problems and implementing regional and international small arms agreements. A National SALW Institution is therefore needed in each Member State to act as a coordinating body and focal point.

Besides, the establishment of a National SALW Institution is a legal obligation for the countries which are party to those legally binding instruments and treaties which include a commitment to establish a national coordinating mechanism.

3.2 Mandate of the National Institution

The mandate of the National Institution as derived from the international and regional instruments is to ensure coherence and effective coordination in the management of small arms and light weapons by ensuring that all relevant parts of the government work together with national and international partners to conceive, direct, monitor and evaluate relevant, efficient and effective SALW control measures.

3.3 Organizational Structure of the National Institution

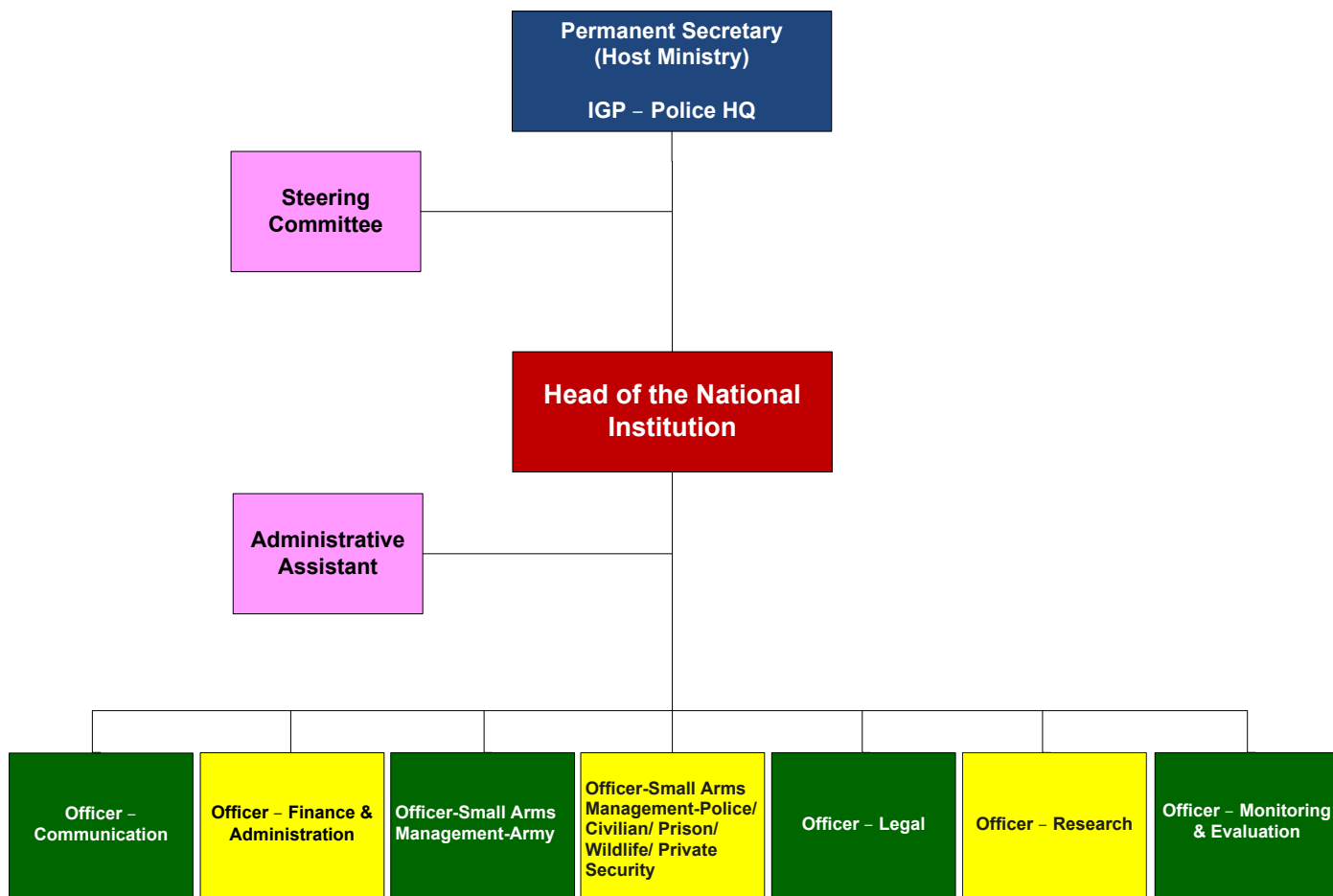
The implementation of SALW intervention measures requires a multi-disciplinary team to deliver on the mandate of the National Institution. The team should comprise, as a minimum, the Head of the Institution,

and experts in the areas of Communication, Finance and Administration, Small Arms Control, Legal Affairs, Research and Monitoring and Evaluation. Figure 2 below presents the minimum staffing

requirement for the National Institution. The respective roles and responsibilities for the staff at the National Institution are provided in Annex 1.

Figure 2: Minimum Staffing Requirements for the National Institution

NFP Directorate/Commission Organisational Structure



Note: Where the resources are inadequate, the officers to the National Institution could be seconded from relevant ministries.

3.4 Linkage with National Organs

There is need to link the national structure with other relevant national organs and stakeholders for coherence and effective coordination.

3.4.1 National Small Arms Steering Committee

The National Small Arms Steering Committee (NSASC) is a guiding organ for the National Institution on policy and program implementation. Members of the NSASC shall be appointed for a renewable tenure of a period ranging from 3 to 5 years. In its first meeting, the members shall elect a chairperson and vice-chairperson amongst themselves, while the position of the Secretary shall always be designated to the Head of the National Institution of Small Arms and Light Weapons. The NSASC shall meet quarterly for purposes of providing policy and program guidelines or any other time as need arises.

Roles of National Small Arms Steering Committee

- Identify and prioritize common areas of intervention in line with Nairobi Protocol
- Support the NSASC in resource mobilization and advocacy programs
- Review progress reports before being presented to various stakeholders
- Review the Institution's annual work plan and budget
- Identify and endorse complimentary multi prolonged strategies to be undertaken by Institution
- Advise on internal and external coordination with other relevant issues in other Ministries.

Composition of the National Small Arms Steering Committee

The NSASC draws its membership from ministries and departments within the government that have a direct role in arms control and management. The members of the NSASC are nominated by the respective ministries/institutions constituting the Small Arms Steering Committee. The respective institutions/ministries include the following:

Law Enforcement Agencies: These are the ministry agencies that enforce existing laws and regulations pertaining to small arms and light weapons and related issues and should always be represented on the NSASC. These include: Police, Customs, Immigrations, Judiciary, and Gendarmerie (where applicable)

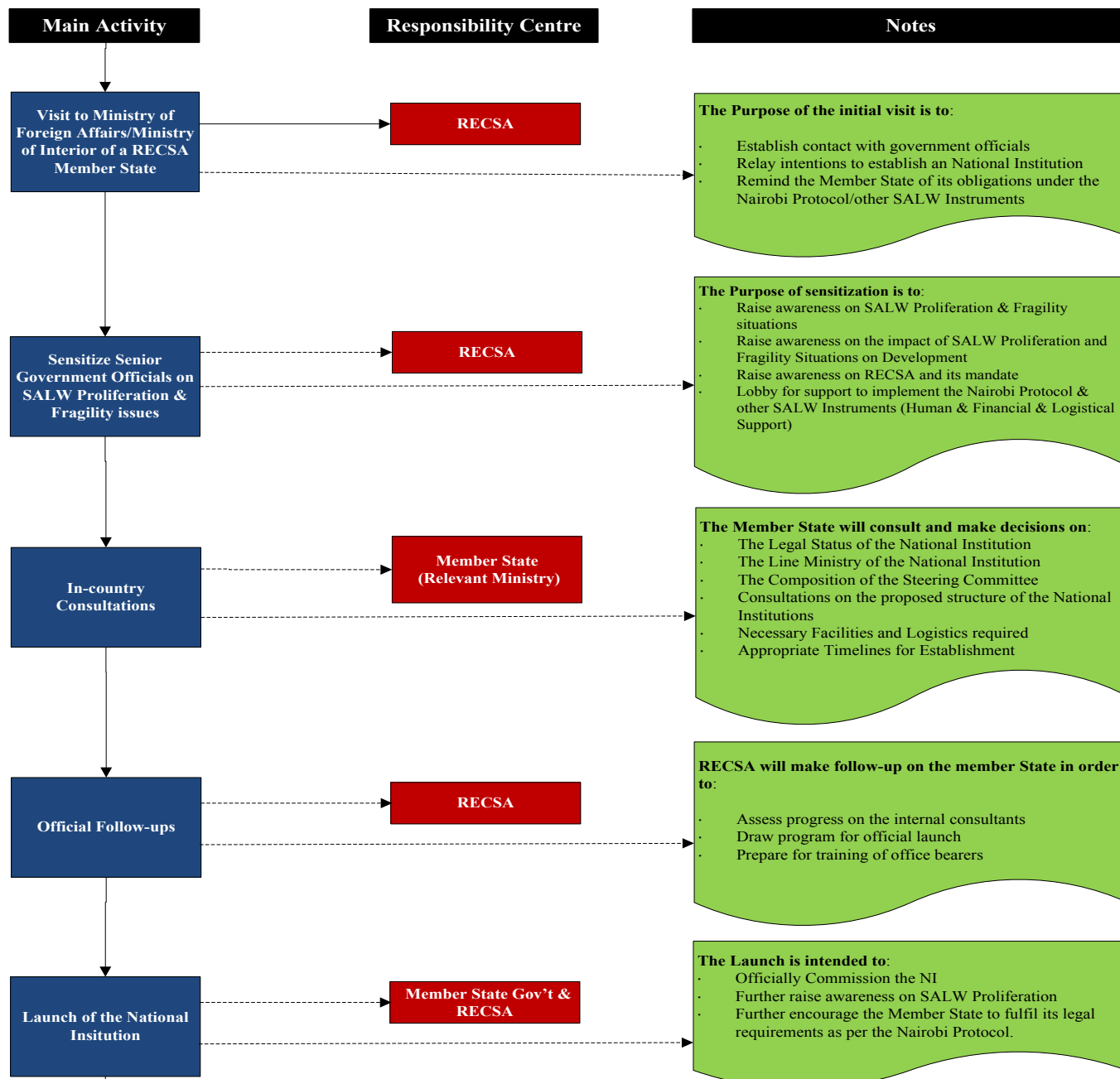
Security Agencies: Other Security Forces and Agencies have got important roles to play in the prevention, eradication and combating of the proliferation of SALW in the Sub-region, and should therefore be included in the NSASC. These include: Defense, Intelligence and Prisons/ Correctional Services.

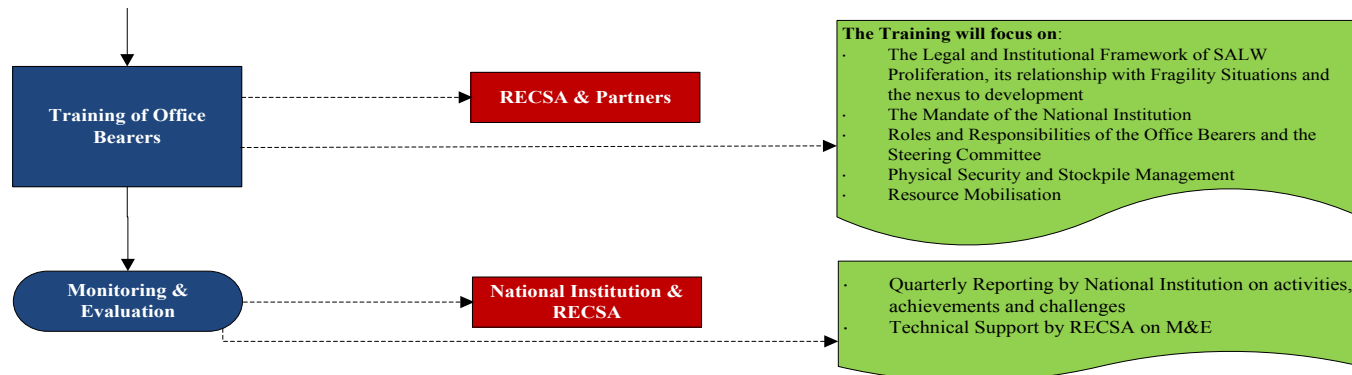
Other ministries, departments and agencies that may be part of the NSASC are listed in Table 2.

No.	Ministry/Institution	Reason for Inclusion
1.	Office of the Head of State or Government	Matters of SALW are very critical to the security, stability and development of the country and hence require the highest level of political support.
2.	Justice/State Law Office	SALW Management and control requires the harmonization of national legislation with regional and international instruments, interpretation and drafting of relevant laws and regulations.
3.	Mines/Mineral Resources	Explosives are categorized among SALW. As such, their use in mining activities requires the authority of the ministry in charge of mining.
4.	Trade and Industry	The ministry is in charge of trade regulation. As such, SALW import and export needs to comply with the national and international standards.
5.	Environment/Wild Life Service	SALW are used in the illegal exploitation of fauna and flora. The responsible ministry should thus be involved in Small Arms control.
6.	Planning and Finance	Implementation of interventions for Small Arms control and management should be integrated in national medium and long-term development plans and requires budgetary support.
7.	Customs, Immigration and Port Authorities	These authorities manage the gazetted entry and exit points for people and goods. Their involvement in the fight against SALW proliferation and control is very vital.
8.	Education	Awareness creation and outreach to the different sections of society especially the youth noting that the youth are mostly critical players in crime, and armed conflicts.
9.	Information	The ministry has a role related to public awareness on issues related to SALW
10.	Ministry of Foreign Affairs	It is responsible for all international collaborations and is the custodian of all Protocols and Treaties

4 Process and Procedures for Establishing a National Institution responsible for SALW Control and Management

The process of establishing a National Institution for Small Arms Control and Management involves Seven (07) successive stages, as illustrated in Figure 3 below:





5 Functions of the National Institution

While the mandate of the National Institution is broadly to ensure coherence and effective coordination in the management of small arms and light weapons, the Institution has specific functions as outlined and explained in Figure 4⁹ below and explained in the subsequent sections.

Functions of National Institutions

Figure 4



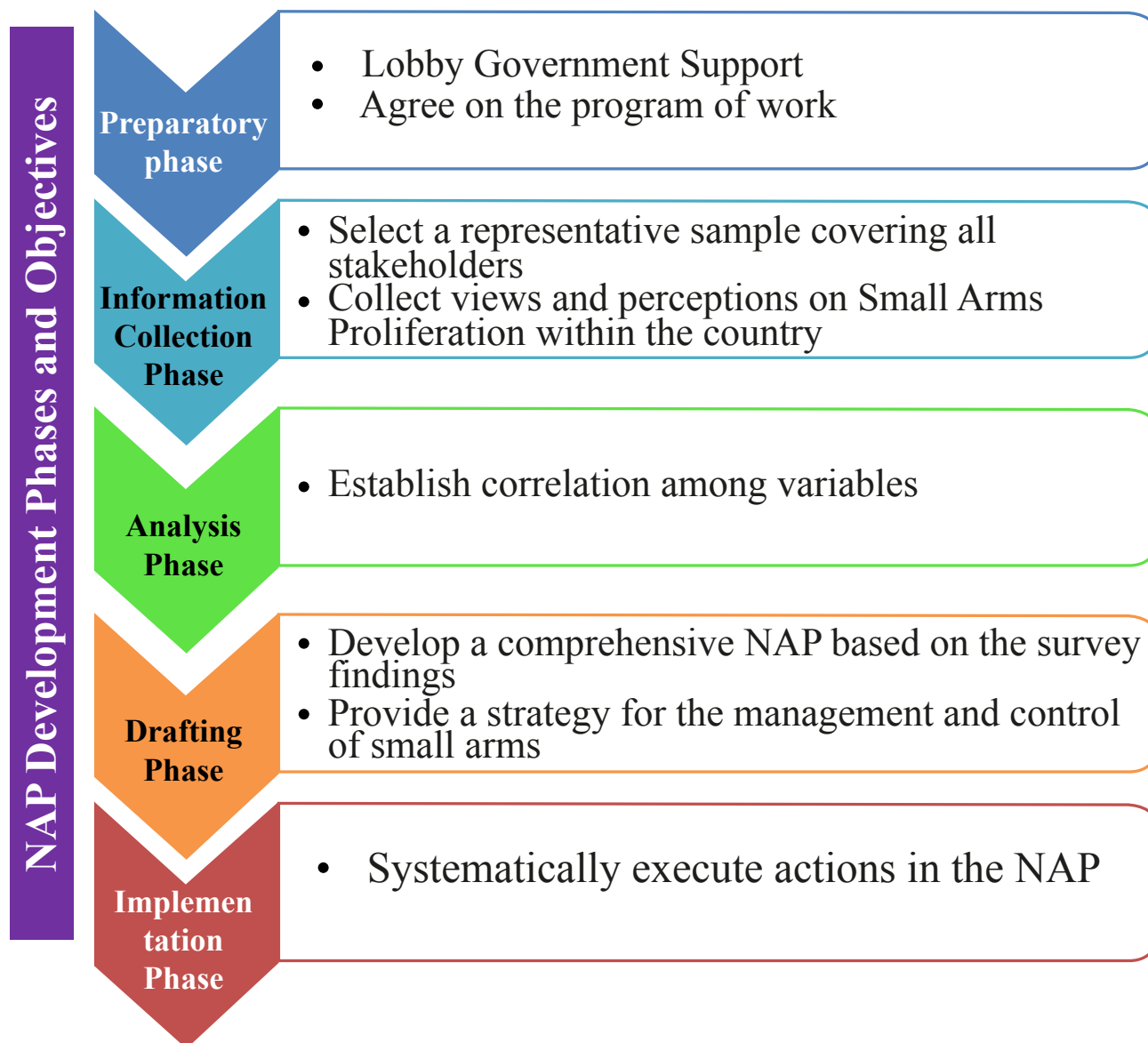
⁹UNDP, 2008, How to Guide The establishment and Functioning of National Small Arms and Light Weapons Commissions.

5.1 Planning and Implementation

The National Institution acts as the national implementing agency for national strategies and policies on SALW or may delegate this authority and oversee the implementation process. In this context, a key task of the National Institution is to

lead the development of a national strategy, coordinate its implementation and monitor and evaluate its impact to inform future programmes. Such strategies are often referred to as National Action Plans (NAPs). Figure 5 presents the process for NAP development. Detailed explanation on each phase is included in *Annex 2*.

Figure 5: Process for Development of a National Action Plan



5.2 Cooperation and Coordination

The National Institution is responsible for coordinating the activities of various actors at the local, national and regional levels, so as to increase the effectiveness of SALW control efforts. This function should include ensuring the consistency and coherence of all small arms interventions, and providing an oversight role for all programs developed by appropriate stakeholders. Key tasks may include:

- Facilitating coordination at the national level;
- Coordinating and interacting with civil society;
- Coordinating and interacting with national parliaments;
- Coordinating with the district and provincial level;
- Coordinating with regional institutions on small arms control;
- Coordinating and liaising with National Institutions responsible for SALW control and management in other countries.

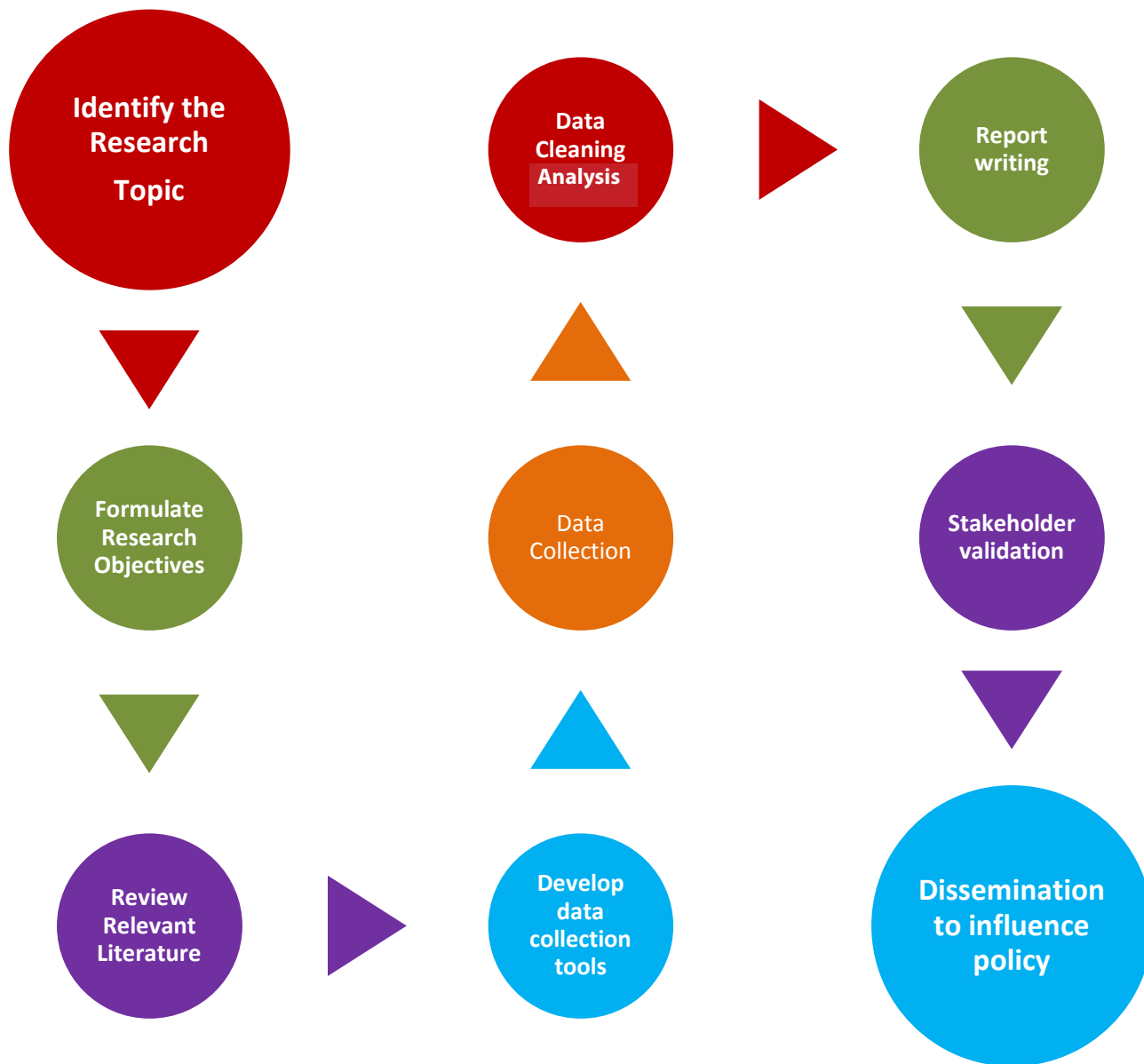
5.3 Research

For National SALW Institutions to develop and implement effective small arms control strategies it is vital that their policy and program interventions are backed by evidence-based research. The research should highlight the relationship between SALW proliferation and fragility situations on human security, economic and social development in the country. Routinely, National Small Arms Institutions should undertake research on emerging security threats to determine the extent to which small arms proliferation fuels illicit activities such as cattle rustling, poaching, human and drug trafficking, terrorism, piracy among others.

The National Institutions should undertake research in partnership with academic and research

institutions in order to facilitate quality and comprehensive dissemination of research findings in relevant forums to ensure engagement of policy makers. It is also important for the National Institution to establish a roster of researchers in the field of SALW who can be called upon to undertake research. Figure 6 shows the research process that may be followed in undertaking research.

Figure 6: The Research Cycle



5.4 Awareness Raising, Information Management and Communication

Public awareness raising and education is an important part of efforts to prevent the proliferation of SALW. It assists in changing attitudes towards

illegal holding and use of SALW among the public and is also useful in building a culture of peace.

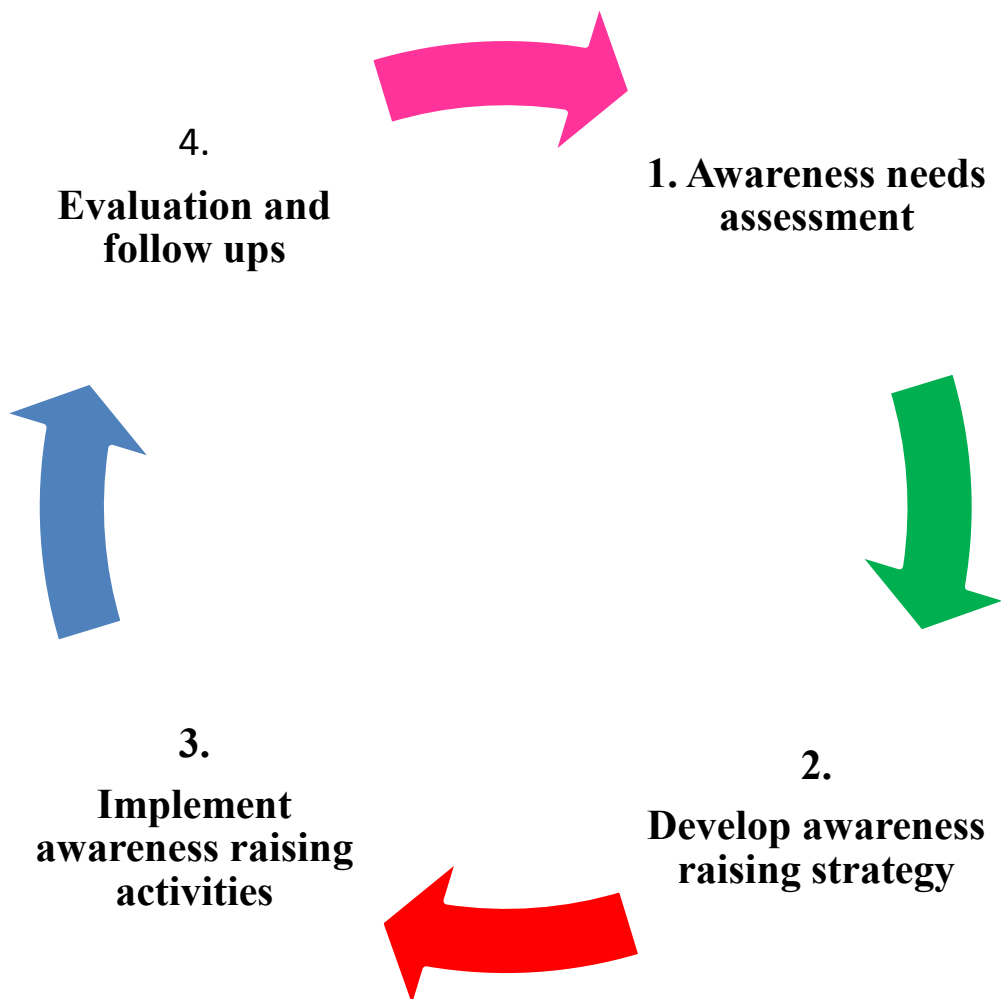
One of the functions of the National Institution should be to raise awareness on the effect of small arms proliferation. Given cases of violent extremism

and radicalization, the information-sharing role should encompass informing, shaping and changing individual knowledge, perceptions, attitudes and behaviour, as well as institutional policy and practice. The Institution should also work in collaboration with civil society organizations in implementing public education and awareness-raising initiatives.

Member States should use print, electronic and social media channels to undertake public awareness campaigns. They should establish and

maintain websites, produce annual, quarterly and monthly reports, organize sensitization and mobilization seminars on SALW thematic areas at national level and maintain social media platforms. Community policing has been an important tool for creating awareness and educating the public on the dangers of illicit possession of SALW. The National Institutions may use essay competitions in schools to enable youth to appreciate the dangers of illicit use of small arms. Radio communication programmes are more effective in rural areas because of the wide coverage and use of local language.

Figure 7 below illustrates the process of implementing small arms public awareness interventions:



5.5 Resource Mobilization and Allocation

Each member state should allocate a specific budget line from their national budget to the National Institution responsible for SALW control and management. This signals a commitment from the government to tackle the SALW problem and helps to ensure ownership and sustainability. Other costs may be met by development partners, private sector and the CSOs. As such, there is a need to identify and involve interested partners, with potential resources, in the planning, negotiation, design and evaluation of national small arms intervention programs.

As part of the resource mobilization strategy, the National Institution basing on the NAP should identify and design appropriate project proposals for submission to potential development partners. A sample project proposal template is included in Annex 3.

5.6 Training

To enhance national capacity in relation with SALW control, the National Institution should develop and coordinate a national training curriculum on SALW for law enforcement agencies, civil society organizations and other stakeholders.

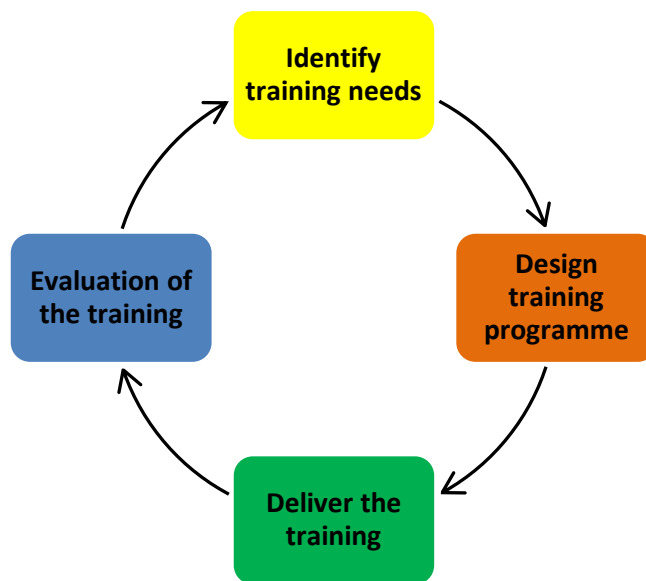
It is the responsibility of the National Institution to coordinate the national capacity gaps assessment in small arms controls. The assessment should include among others an evaluation of the general public knowledge about small arms proliferation and its effects to inform training interventions.

Critical training issues on small arms control and management in regard to the Nairobi protocol include the following:

- Arms marking (using COUTH 2000 marking machine);
- Electronic Records keeping using the RECSA Small Arms Tracing System (RSTS);

- Physical stockpile security;
- Destruction of obsolete stockpiles;
- Research on SALW;
- Public awareness interventions;
- Resource mobilization techniques;
- Legal harmonization;
- Cross-border control and management;
- Practical disarmament;
- Office management;
- Project Planning and Management.

The implementation of training program follows the cycle described below:



5.7 Reporting

The various SALW instruments require the Member States to regularly or periodically report on the implementation status of these instruments at the national, regional and international levels. It is therefore the responsibility of the National Institution for SALW control to coordinate the compilation of these reports and ensure their quality and timely submission to the respective recipients. In some cases, capacity building for national officials may be required to enable them meet the required standards.

6 Partnerships Building

While most of small arms control-related activities are typically carried out by the National Institution itself, specific partnerships have to be developed to enhance participation of all stakeholders and ensure ownership. Partners may include members of the Private Sector, Civil Society Organizations; Faith Based Organizations, Media, academic and research institutions among others.

6.1 Private Sector Organizations

The private sector is an important partner in SALW control. Its members constitute the most influential part of the society and they can play a vital role in resource mobilization for the implementation of small arms control strategies. The private sector, for example, banking institutions, insurance companies, and transporters bear the biggest risks posed by SALW proliferation.

6.2 Civil Society Organizations (CSOs)

It is important for Civil Society to be engaged in SALW control, security and conflict issues. The national context in which CSOs operate, and the nature of the problems in each country, determines

what roles they can play. Nonetheless, the role of CSOs in small arms control is clearly recognized by the international and regional instruments. For example,

- **United Nations Programme of Action to Prevent, Combat and eradicate the Illicit Trade in Small Arms and light Weapons in All Its Aspects (UN PoA):** Article 16 of UN PoA recognizes “the important contribution of civil society, including nongovernmental organizations and industry in, inter alia, assisting governments to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects”. It also acknowledges the vital role of civil society and NGOs, especially in the field of public awareness and confidence building on the problems and consequences of the illicit trade in SALW, with a view to eradicating the illicit trade in SALW.

- **The Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and light Weapons in the Great lakes Region and the Horn of Africa (2004), Article 2 (c):** commits states to “promote and facilitate information sharing and co-operation between the governments in the sub-region, as well as between governments, inter-governmental organizations and civil society, in all matters relating to the illicit trafficking and proliferation of small arms and light weapons.

Civil Society groups need to engage in partnership with government. In addition CSOs may also be able to help pressure belligerents, facilitate and increase common understanding and support for peace processes, facilitate and increase the voice of women and other vulnerable groups, and monitor the implementation of peace accords by all parties.

CSOs are sometimes better placed than government or outsiders to identify the root causes of insecurity, conflict, or SALW problems that are having an effect on daily security and the experience of people.

This is because civil society actors often have an in-depth and valuable knowledge of the local context and sensitivity to the needs of local populations and cultural norms. In these situations, civil society actors should be brought in as partners, particularly in communities where the footprint of the state is sometimes non-existent. In post-conflict situations, civil society actors have the potential to lead initiatives in communities through actions such as reconciliation, mine action, reconstruction of society, research etc.

CSOs should therefore be represented in the NSASC owing to their critical role.

6.3 Faith-based Organizations

Small arms violence indiscriminately affects countries in the midst of conflict and peace, in the global south and north, across ethnicities and religions, among both the poor and privileged. Faith-based organizations such as local churches, mosques, and other places of worship are located at the heart of communities. They are well-suited to assist not only in the fight against proliferation of SALW but also in the implementation of preventive programs like mental disarmament aimed at curbing violent extremism and radicalization.

The socially strategic position of faith-based organizations enables them to address the small arms problem in several dimensions—from material, moral, ethical to spiritual. They are therefore vital partners in helping to inform, mobilize and provide a holistic and spiritual contribution to measures such as practical disarmament, awareness raising on the dangers of SALW and other related activities.

6.4 Donors/Development Partners and other external actors

The implementation of SALW interventions is an expensive process that requires not only national government budgetary support but also the support of international development partners. The UNPoA calls for assistance to countries that do not have sufficient resources to implement the provisions of the various instruments.

The National SALW institution requires capacity to attract development partner's support through the development of relevant and sound programs and project proposals. The development of a National Action Plan is the first critical element in this process because it provides a platform for development of projects based on needs analysis and evidence based research.

The ability to implement funded projects will depend on the capacity of staffing at the SALW national institution. It is therefore important that the institution is staffed with qualified individuals with project development and implementation experience for delivery of supported programs.

Finally, the identification of SALW interventions within government development plans signifies the commitment of states to address them. It is essential therefore that the national SALW priorities are captured in national development plans with some allocated budgets to kick-start the process. On the other hand it is expected that development partners will align their support to national priorities.

7 Conclusion

These guidelines provide a foundation for the effective establishment and strengthening of the existing national institutions for small arms and light weapons. They offer a “how to” guide for those Member States that have not established national institutions to do so, and for those with existing but weak institutions to enhance their capacity to deliver effective implementation of SALW programs at the national level.

The guidelines not only attempt to answer some of the frequent questions directed to RECSA by Member States on a variety of SALW issues, but also attempt to provide a road map for addressing the existing capacity gaps within Member States that have committed to implement regional and international instruments on SALW.

It is anticipated that Member States will utilize the guidelines and by so doing, strengthen their capacities to implement SALW control activities.

A. References

1. Arms Trade Treaty Available at:
www.un.org/disarmament/ATT
2. ECOWAS Convention on Small Arms and Light Weapons, Their Ammunition and Other Related Materials: available at www.ecowas.int
3. International Tracing Instrument Available at:
http://www/un.org/events/international_instrument
4. The Central African Convention for the Control of SALW, Their ammunition and all parts and Components that can be used for their Manufacture, Repair or Assembly (also Known as the Kinshasa Convention) www.unrec.org/docs/kinshasa.pdf
5. Protocol Against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, Supplementing the United Nations Convention Against Transnational Organized Crime (UN Firearms Protocol) www.unodc.org
6. The Bamako Declaration on the Common African Position on the Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons www.2001-2009.state.gov/t/ac...6691.htm
7. SADC Protocol on Control of Firearms, Ammunition and other Related Materials www.sadc.int-protocol
8. The Nairobi Protocol on the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States www.recsasec.org
9. Small Arms Survey 2007: Guns and the City, Cambridge University Press Available at: www.smallarmssurvey.org/weapons-and-markets.html

B. Annexes

B.1 Annex 1: Roles and Responsibilities for Staff at the National Institution

B.1.2 Head of the National Institution

The Head of the National Institution shall be the executive officer of the institution; and shall have overall strategic and operational responsibility for all programs and will also manage, supervise and coordinate the work of the Institution.

Roles and Responsibilities:

- Act as a focal point on all small arms and light weapons issues in the country
- Coordinate with all other Ministry Departments and Agencies as well as CSO, and international and regional bodies on SALW interventions.
- Spearhead and identify partnerships and opportunities for implementing SALW interventions
- Manage and supervise the institution staff
- Lead the development of resource mobilization strategies
- Prepare and submit periodic reports to the line Ministry and Regional and International Small Arms bodies
- Any other duties assigned by the supervisor.

B.1.3 Communication Officer

The Communications Officer shall have the overall responsibility of ensuring the visibility of the institution; through fostering understanding and cooperation between the National Institution and other stakeholders in the dissemination of information related to SALW control. The Officer shall also play the role of a Public Relations Officer for the Institution.

Roles and Responsibilities:

- Research, prepare and gain appropriate approvals for a range of public communication materials including speeches, media releases, media responses, feature articles among others.
- Be accountable for the preparation, distribution, coordination and promotion of the institution news and events via various communication channels and media (e.g. print, web, radio, TV, multimedia).
- Provide policy advice and assistance in implementing communications strategies.
- Ensure enhanced communication of the institution's policies and programs across MDAs and the general public.
- Establish and/or maintain the institution's website.
- Any other duties assigned by the supervisor.

B.1.4 Finance and Administration Officer

The Finance and Administration Officer is responsible for the efficient management of the institution's finance and human resources.

Roles and Responsibilities:

- Preparation of financial statements in accordance with International Financial Reporting Standards (IFRS) or International Public Sector Accounting Standards (IPSAS)
- Maintain accounts reconciled at any given point.
- Assist in the planning aspect and preparation of annual budget and ensure monitoring of budget and expenditure review.
- Generate a variety of standard and customized financial/accounting reports
- Manage the human resource as well as logistical and administrative functions of the institution.
- Any other duties assigned by the supervisor.

B.1.5 Small Arms Control and Management Officer

The Small Arms Control and Management Officer shall have the overall responsibility of providing technical guidance in the execution of all activities related to Physical Security and Stockpile Management (PSSM).

Roles and Responsibilities:

- Engage with all Law Enforcement and Security Agencies to ensure active participation in the planning and execution of all SALW control and management interventions.
- Coordinate and deliver training activities related to SALW control and management.
- Participate in the preparation of the Annual Work Plan and reports.
- Participate in the preparation of resource mobilization strategies
- Participate in research activities of the institution
- Any other duties assigned by the supervisor.

B.1.6 Legal Affairs Officer

The Legal Officer shall have the overall responsibility of interpreting the various SALW instruments; and leading activities geared towards the harmonization of SALW national legislation to regional and international SALW instruments that the country is party to.

Roles and Responsibilities:

- Lead the development and/or review the National Small Arms policy
- Spearhead the process of harmonizing national legislation with regional and international SALW instruments.
- Act as a focal person of the institutions on all matters related to SALW legal drafting

- Provide legal advice to the institution
- Any other duties assigned by the supervisor

B.1.7 Research Officer

The Research Officer will oversee and undertake collaborative research projects (both desk and field-based) examining the causes and effects of armed violence and the dynamics of small arms proliferation, use, availability and fragility.

Roles and Responsibilities

- Conceptualize, develop and manage research projects on a range of topics, in different settings, and with diverse partners.
- Help shape the content and direction of the institution's long-term research and information-gathering activities.
- Establish and maintain contact with academic and research think tanks involved in SALW research.
- Provide quarterly research briefs on topical issues for publication.
- Any other duties assigned by the supervisor

B.1.8 Monitoring & Evaluation Officer

The Monitoring and Evaluation Officer is responsible for setting up, implementation and communication of M&E results and knowledge transfer to stakeholders related to the institution's programs.

Roles and Responsibilities

- Establish and maintain a Monitoring and Evaluation System for the institution.
- Develop tools and processes that support quality project monitoring and evaluation.
- Develop and institutionalize appropriate systems and tools for data quality assurance, including the

consistent use of agreed performance measures and ensure that these are known and used by respective staff.

- Undertake baseline and impact studies and disseminate the findings thereof to stakeholders.
- Any other duties assigned by the supervisor

C. Annex 2: Process for Development of a National Action Plan

Definition and aims of NAP

It is a thorough analysis of the SALW situation in a country to inform policy response. It establishes comprehensive list of objectives and identifies concrete actions to realise the objectives. It provides budget estimates and provides timelines for implementation. It is usually a five year intervention plan that integrates SALW interventions to other government plans in a sequential and systematic manner.

Mandate

The mandate to develop NAPs is drawn from the all African Common Position of Windhoek, Namibia 14-16 December 2005. This position called on all Stat parties to consider as priorities for national actions the recommendations in the Bamako and UNPoA frameworks such as the establishment and development of operative national focal points and national action plans.

The Third Ministerial Review Conference -Nairobi 20-21 June 2005 called on National Governments undertake to enhance the sub-regional and national capacity to continue with the implementation of the Nairobi Declaration by assisting State Parties to develop and implement sustainable and comprehensive National Action Plans for Arms Management and Disarmament.

Preparatory Phase

1. Team composition and Development of Tools

Once a Member State has committed to undertake the process and funding is available, a team comprising of RECSA staff, regional experts and National Focal Point Coordinator draw the process plan. A lead researcher is then engaged to develop the necessary research tools and determine sampling for a national wide population survey on SALW.

2. National Conference

This is usually the first step in the process after the necessary preparations have taken place.

The Objectives of the National Conference are:

- i. Bring together government officials to boost support and understanding of the National Action Plan (NAP) on SALW development.
- ii. Seek the support of the government and ownership of the process and the outcome products.
- iii. Help bolster the political and public will and momentum through publicity
- iv. To emphasize on the need for cooperation between government and civil society in the process;
- v. To affirm country's commitments to the Nairobi Protocol, Bamako Declaration and the UNPoA.

Information Collection Phase

1. Conduct workshops for Law Enforcement Agencies and Civil Society

These are held in all the provinces/regions of the country. They are attended by all Law enforcement agencies and Civil Society.

The reason is that all areas of a country are uniquely affected by the SALW situation and the NAP should provide for these in the intervention plan. The goals of the these forums are;

- i. Identifying specific circumstances, needs and experiences relating to SALW;
- ii. To receive Provincial/regional Police/Military Commander paper on the SALW situation;
- iii. Collect information from local actors on their engagement and knowledge of the small arms issue, presented by a CSO representative
- iv. To administer an assessment questionnaire; (one for government officials and another for CSO participants developed by the researcher and the national coordinating office)
- v. Group discussions.

2. Population Survey

The survey should cover the whole country but due to security concerns or inaccessibility some areas may be left out but this must be determined at the preparatory stage and ways and means of gathering or determining the situations in such areas designed.

- i. Representative cross section of the population in the whole country;
- ii. Examines various socioeconomic indicators as well as indicators of security and firearms penetration
- iii. Conducted by national researchers;
- iv. Trained by RECSA team;
- v. Highlights the demand for SALW.

Mapping seeks to uncover and assess the extent of SALW penetration in society, the impact on society, mechanisms, route, people etc responsible for proliferation, level of ownership and regulations etc that exist to assist with law enforcement.

An Immersion Workshop is usually organized to discuss the survey methodology with government officials and research experts to improve on the research tools if appropriate.

The research report produced by the researcher is then used as the basis for the development of a NAP plus the reports from the regional/provincial meetings.

NAP Writing Seminar

This takes about one week. The participants comprise the research core team, National Focal Point representatives, other experts and RECSA representatives. They work to fill-up a template developed by RECSA on the possible contents of a NAP.

Mapping and NAP development is undertaken as a full partnership – Government, civil society and mapping team from RECSA.

Government Approval

The complete NAP is then submitted to the government for review and approval usually by the Ministry in charge of national security or the Prime Ministers Office as the case may be. Upon approval the document is published and officially launched in a big public ceremony.

Implementation

The implementation will take 5 year after which the NAP can be reviewed while M&E continues along the implementation process. The plan offers a good guide to logical interventions and a clear basis for fund raising for support in a progressive goal and targets oriented approach.

D. Annex 3: Project Proposal Format/Template

PROJECT PROPOSAL TEMPLATE

[Name the country]

[Date Proposal]

1.0 PROJECT BACKGROUND AND JUSTIFICATION

1.1 Project Summary (1 page)

Description of the Proposing Entity	
Project Objectives	
Project Activities	
Indicators of Achievement	
Rationale/Justification	
Relationship of Project to the Funding Agency's Country Programme Strategy	
Statement of the total cost of the project	
Amount of funding requested from the Funding Agency Grants Programme	
Utilization of Funds	
Status and sources of additional funding required	

This section should clearly demonstrate that the proposing entity has the experience, capacity, and commitment to implement successfully the proposed project. Among the issues to be covered in this section include:

- Nature of the proposing entity
- Purpose and core activities of the entity,
- Organizational approach (philosophy) for project implementation, i.e. how does the organization deliver its projects?
- Length of existence and project management experience
- Organizational structure, governance and administrative framework,
- Membership and affiliation to associations or umbrella groupings,
- Legal status - registration with government approved authority
- Previous experience relevant to the proposed project

1.3 Project Objectives and Expected Results (1 page)

This section should contain a clear and specific statement of what the proposed project will accomplish. Among the issues to address include:

- The problem statement or challenge the project is intended to address
- The primary objective and specific objectives of the proposed project
- The rationale (justification) for the project. The rationale should indicate the importance of the proposed project to the Funding Agency's Grants Programme in terms of contributing to its overall and or specific focal area objective(s).
- The specific results that the project will produce. The expected results are the measurable changes which will have occurred by the end of the project as a result of the planned intervention.

1.4 Description of Project Activities (2 pages)

This section should describe what will actually be done to produce the expected results and accomplish the project's objectives. There should be a clear and direct linkage between the activities and the outcomes. (The proponent must ensure that the activities are a means to getting to intended outcomes).

Activity descriptions should be as specific as possible, identifying *what* will be done, *who* will do it, *when* it will be done (beginning, duration, completion), and *where* it will be done. In describing the activities, an indication should be made regarding the organizations and individuals involved in or benefiting from the activity. An example is below for reference only.

1.5 Implementation Plan and Time Frame (2 pages)

This section may be presented in graphical (table) form and can be attached as an annex. It should indicate the *sequence of all major activities and implementation milestones*, including targeted beginning and ending dates for each step. The Implementation Plan should show a logical flow of steps, indicating that all the things that must happen have been carefully thought through from the current to the end of project situation. Include in the Implementation Plan all required highlight reports, project reviews and evaluation activities.

1.7 Risks to Successful Implementation (0.5 pages)

Identify and list the major risk factors that could result in the project not producing the expected results. These could be both internal and external. Include in this section also the key **assumptions** on which the project plan is based. In this case, the assumptions are mostly related to external factors which are anticipated in project planning, and on which the feasibility of the project depends.

1.8 *Monitoring and Evaluation Plan and Indicators (1 page)*

This section should contain an explanation of the plan for monitoring and evaluating the project, both during its implementation (formative) and at completion (Summative). Among the key issues to be addressed are:

- How the performance of the project will be tracked in terms of achievement of the steps and milestones set forth in the Implementation Plan;
- How the impact of the project will be assessed in terms of achieving the project's objective(s);
- How the mid-course correction and adjustment of the project design and plans will be facilitated on the basis of feedback received;
- How the participation of community beneficiaries in the project monitoring and evaluation processes will be achieved.

Propose specific and measurable indicators relating to project performance and impact which can form the basis for monitoring and evaluation. These indicators must also speak to the Country Program Strategy indicators in the country.

1.9 *Sustainability (1 page)*

Sustainability is a critical aspect in all the donor funded projects. The proposal should outline the steps to be taken before, during and at the completion of project implementation to ensure that once all the donor funds have been disbursed, the activities of the project and the entity will continue for many years thereafter.

The funds provided by Funding Agency/donor are primarily seed funds, designed to give the project a significant boost. However, project proponents should envision the project three or even five years

after the donor has given out the agreed upon funds, and consider the factors that could contribute to the success and failure of sustainability of their project, and address them accordingly.

2.0 *PROJECT BUDGET*

The following important principles should be kept in mind in preparing a project budget:

- Include only costs which directly relate to efficiently carrying out the activities and producing the objectives which are set forth in the proposal. Other associated costs should be funded from other sources, if possible.
- Find out what planned activities will actually cost.
- The budget should include all costs associated with managing and administering the project. In particular, include the cost of monitoring and evaluation.
- The budget line items are general categories intended to assist in thinking through where money will be spent. If a planned expenditure does not appear to fit in any of the standard line item categories, list the item under other costs, and state what the money is to be used for.
- The figures contained in the Budget Information Sheet should agree with those on the Proposal Cover Sheet and in the text of the proposal.

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AFRICAN DEVELOPMENT BANK GROUP



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