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<b>PROJECT:</b>	<b>DEVELOPING A FRAMEWORK FOR IMPROVED END-USE CERTIFICATION</b>
<b>Disarmament focus:</b>	<b>Conventional arms</b>
<b>Project manager:</b>	<b>Mr. Benoît le Chartier</b>
<b>Contact:</b>	<a href="mailto:lechartier@un.org">lechartier@un.org</a>
<b>Proposed timeframe:</b>	<b>April 2009 – March 2010</b>
<b>Geographical focus:</b>	<b>Global</b>

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## **BACKGROUND**

End-use certificates are intended to form a key line of defence against the diversion of authorized small arms transfers. These documents, however, are effective only in the context of a broader system that includes a comprehensive consideration of diversion risks at the licensing stage, the verification of end-user documentation and post-shipment controls. Moreover, without a basic standard or agreed format for authenticated end-use certificates, government agencies in transit States have little means of establishing their veracity. This makes interdiction of illicit transfers extremely difficult without prior intelligence.<sup>1</sup>

In the UN Programme of Action on small arms and light weapons (SALW), States committed themselves to put in place and implement adequate laws, regulations and administrative procedures to ensure the effective control over the export and transit of small arms and light weapons, including the use of authenticated end-user certificates and effective legal and enforcement measures<sup>2</sup>. Furthermore, in the outcome document of the third Biennial Meeting of States to consider progress in the implementation of the Programme of Action, States noted the importance of end-user certification, including verification measures, in addressing the problem of illicit brokering in SALW and acknowledged the importance of implementing the recommendations contained in the report of the Group of Governmental Experts on illicit brokering in SALW, which, *inter alia*, address the need for States to put in place measures to avoid the misuse and forgery of end-user certificates and for validating the authenticity of documentation submitted by brokers, including end-user certificates.

The Security Council in its Presidential Statement on the subject of small arms of 2002,<sup>3</sup> urged Member States to consistently and responsibly use end-user certificates in their transfers of SALW and called upon States to establish an effective national end-user certificate system and to study the feasibility as appropriate of developing an end-user certificate system at the regional and global levels, as well as information exchange and verification mechanisms.

The relevance of the issue of end-user certification extends beyond the context of efforts to combat the illicit trade in SALW. It is also an issue of pertinence to the current efforts

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<sup>1</sup> Report of the Secretary-General to the Security Council on the subject of Small Arms (S/2008/258).

<sup>2</sup> Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, Section II, paragraph 12.

<sup>3</sup> S/PRST/2002/30.

to negotiate an arms trade treaty to regulate the transfers of conventional arms. Mindful of both contexts, the present project is being proposed with the aim to respond to requests, made by a number of Member States, for a study that could lead to an enhanced understanding of the issue and recommendations for practical measures for the development of an international framework for authentication, reconciliation and standardization of end-user certificates. The results of this project could feed into the SALW process as well as the ATT process.

#### **OBJECTIVES**

- To enhance understanding of the issue of end-user certification;
- To help build common understandings on actions that need to be undertaken, at the national, regional and global levels, in order to develop a framework for improved end-user certification;
- To propose practical guidelines to assist States in the development of a reliable system of end-user certification

#### **CONTENT AND DESIGN**

The project would engage the full-time services of a senior expert for the period of 1 year. This consultant would be tasked with research, examination of existing practices regarding end-user certification, identification of problems and challenges in the implementation of national policies and procedures on end-user certification, proposing practical guidelines to assist States in the development of a reliable system of end-user certification, examination of the political and practical obstacles to the development of an international framework for authentication, reconciliation and standardization of end-user certificates and making recommendations for action aimed at building common understandings for the development of such a framework. The work of the consultant would be reviewed by an advisory board of experts from different regions.

#### **IMPACT**

An adequate system of end-user certification, including authentic and reliable end-user certificates, is a fundamental component of any effective system for the control of the transfers of SALW or other conventional arms. The project would contribute to:

- Improved arms transfer controls, through the development of reliable systems for end-user certification;
- Enhanced international cooperation regarding end-user certification;
- Enhanced ability to combat the illicit arms trade including in SALW, as improved end-user certification systems would decrease opportunities for end-user certificates to be forged and enhance the capacity of authorities to verify that shipments reach their intended users.

#### **BENEFICIARIES**

Government authorities responsible for implementing import-export controls policies; law enforcement officials, including customs agencies; arms exporters; improved import, transit and export controls will ultimately benefit entire societies and regions that are currently affected by the proliferation of illicit arms.

**PARTNERS**

UNODA, UNIDIR, civil society organizations with relevant expertise, and donor Governments.

BUDGET ITEMS	IN US\$
<ul style="list-style-type: none"><li>• Project Personnel (a senior consultant for 6 work -months)</li></ul>	72,000
<ul style="list-style-type: none"><li>• Publication costs (including editing and translation into Arabic, French and Spanish)</li></ul>	60,000
<ul style="list-style-type: none"><li>• Operations and Implementation Costs</li></ul>	12,000
<ul style="list-style-type: none"><li>• Programme support cost</li></ul>	18,800
<b>TOTAL BUDGET REQUIRED</b>	<b>162,800</b>
<b><i>TOTAL SECURED FUNDING</i></b>	<b><i>63,600</i></b>
<b>FUNDING GAP</b>	<b><u>99,200</u></b>