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RevCon3
New York, 18-29 June 2018 | Third Review Conference
Programme of Action
Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects

I. Preamble

1. We, the States participating in the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, having met in New York from 9 to 20 July 2001,

2. Gravely concerned about the illicit manufacture, transfer and circulation of small arms and light weapons and their excessive accumulation and uncontrolled spread in many regions of the world, which have a wide range of humanitarian and socio-economic consequences and pose a serious threat to peace, reconciliation, safety, security, stability and sustainable development at the individual, local, national, regional and international levels,

3. Concerned also by the implications that poverty and underdevelopment may have for the illicit trade in small arms and light weapons in all its aspects,

4. Determined to reduce the human suffering caused by the illicit trade in small arms and light weapons in all its aspects and to enhance the respect for life and the dignity of the human person through the promotion of a culture of peace,

5. Recognizing that the illicit trade in small arms and light weapons in all its aspects sustains conflicts, exacerbates violence, contributes to the displacement of civilians, undermines respect for international humanitarian law, impedes the provision of humanitarian assistance to victims of armed conflict and fuels crime and terrorism,

6. Gravely concerned about its devastating consequences on children, many of whom are victims of armed conflict or are forced to become child soldiers, as well as the negative impact on women and the elderly, and in this context, taking into account the special session of the United Nations General Assembly on children,

7. Concerned also about the close link between terrorism, organized crime, trafficking in drugs and precious minerals and the illicit trade in small arms and light weapons, and stressing the urgency of international efforts and cooperation aimed at combating this trade simultaneously from both a supply and demand perspective,

8. Reaffirming our respect for and commitment to international law and the purposes and principles enshrined in the Charter of the United Nations, including the sovereign equality of States, territorial integrity, the peaceful resolution of international disputes, non-intervention and non-interference in the internal affairs of States,

9. Reaffirming the inherent right to individual or collective self-defence in accordance with Article 51 of the Charter of the United Nations,

10. Reaffirming also the right of each State to manufacture, import and retain small arms and light weapons for its self-defence and security needs, as well as for its capacity to participate in peacekeeping operations in accordance with the Charter of the United Nations,

11. Reaffirming the right of self-determination of all peoples, taking into account the particular situation of peoples under colonial or other forms of alien domination or foreign occupation, and recognizing the right of peoples to take legitimate action in accordance with the Charter of the United Nations to realize their inalienable right of self-determination. This shall not be construed as authorizing or encouraging any action that would dismember or impair, totally or in part, the territorial integrity or political unity of sovereign and independent States conducting themselves in compliance with the principle of equal rights and self-determination of peoples,

12. Recalling the obligations of States to fully comply with arms embargoes decided by the United Nations Security Council in accordance with the Charter of the United Nations,

13. Believing that Governments bear the primary responsibility for preventing, combating and eradicating the illicit trade in small arms and light weapons in all its aspects and, accordingly, should intensify their efforts to define the problems associated with such trade and find ways of resolving them,
14. Stressing the urgent necessity for international cooperation and assistance, including financial and technical assistance, as appropriate, to support and facilitate efforts at the local, national, regional and global levels to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects,

15. Recognizing that the international community has a duty to deal with this issue, and acknowledging that the challenge posed by the illicit trade in small arms and light weapons in all its aspects is multi-faceted and involves, inter alia, security, conflict prevention and resolution, crime prevention, humanitarian, health and development dimensions,

16. Recognizing also the important contribution of civil society, including non-governmental 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,

17. Recognizing further that these efforts are without prejudice to the priorities accorded to nuclear disarmament, weapons of mass destruction and conventional disarmament,

18. Welcoming the efforts being undertaken at the global, regional, subregional, national and local levels to address the illicit trade in small arms and light weapons in all its aspects, and desiring to build upon them, taking into account the characteristics, scope and magnitude of the problem in each State or region,

19. Recalling the Millennium Declaration and also welcoming ongoing initiatives in the context of the United Nations to address the problem of the illicit trade in small arms and light weapons in all its aspects,

20. Recognizing that the 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, establishes standards and procedures that complement and reinforce efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects,

21. Convinced of the need for a global commitment to a comprehensive approach to promote, at the global, regional, subregional, national and local levels, the prevention, reduction and eradication of the illicit trade in small arms and light weapons in all its aspects as a contribution to international peace and security,

22. Resolve therefore to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects by:

(a) Strengthening or developing agreed norms and measures at the global, regional and national levels that would reinforce and further coordinate efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects;

(b) Developing and implementing agreed international measures to prevent, combat and eradicate illicit manufacturing of and trafficking in small arms and light weapons;

(c) Placing particular emphasis on the regions of the world where conflicts come to an end and where serious problems with the excessive and destabilizing accumulation of small arms and light weapons have to be dealt with urgently;

(d) Mobilizing the political will throughout the international community to prevent and combat illicit transfers and manufacturing of small arms and light weapons in all their aspects, to cooperate towards these ends and to raise awareness of the character and seriousness of the interrelated problems associated with the illicit manufacturing of and trafficking in these weapons;

(e) Promoting responsible action by States with a view to preventing the illicit export, import, transit and retransfer of small arms and light weapons.

II. Preventing, combating and eradicating the illicit trade in small arms and light weapons in all its aspects

1. We, the 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 small arms and light weapons in all its aspects:

At the national level

2. To put in place, where they do not exist, adequate laws, regulations and administrative procedures to exercise effective control over the production of small arms and light weapons 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 small arms and light weapons, or their diversion to unauthorized recipients.

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 small arms and light weapons within their areas of jurisdiction, in order to ensure that those engaged in such activities can be prosecuted under appropriate national penal codes.

4. To establish, or designate as appropriate, national coordination agencies or bodies and institutional infrastructure responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects. This should include aspects of the illicit manufacture, control, trafficking, circulation, brokering and trade, as well as tracing, finance, collection and destruction of small arms and light weapons.

5. To establish or designate, as appropriate, a national point of contact to act as liaison between States on matters relating to the implementation of the Programme of Action.

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 small arms and light weapons, and take action under appropriate national law against such groups and individuals.

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.

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 small arms and light weapons.

9. To ensure that comprehensive and accurate records are kept for as long as possible on the manufacture, holding and transfer of small arms and light weapons under their jurisdiction. 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.
10. To ensure responsibility for all small arms and light weapons held and issued by the State and effective measures for tracing such weapons.

11. To assess applications for export authorizations according to strict national regulations and procedures that cover all small arms and light weapons 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 small arms and light weapons, with a view to combating the illicit trade in small arms and light weapons.

12. 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.

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

14. To develop adequate national legislation or administrative procedures regulating the activities of those who engage in small arms and light weapons 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.

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.

16. To ensure that all confiscated, seized or collected small arms and light weapons 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.

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 small arms and light weapons 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 small arms and light weapons held or transported by operational units or authorized personnel; and procedures and sanctions in the event of thefts or loss.

18. To regularly review, as appropriate, subject to the respective constitutional and legal systems of States, the stocks of small arms and light weapons 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 programmes for the responsible disposal, preferably through destruction, of such stocks are established and implemented and that such stocks are adequately safeguarded until disposal.

19. To destroy surplus small arms and light weapons 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.

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

21. To develop and implement, where possible, effective disarmament, demobilization and reintegration programmes, including the effective collection, control, storage and destruction of small arms and light weapons, 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 programmes in peace agreements.

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.

23. To make public national laws, regulations and procedures that impact on the prevention, combating and eradicating of the illicit trade in small arms and light weapons 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) small arms and light weapons 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 small arms and light weapons in all aspects.

24. To establish or designate, as appropriate, a point of contact within subregional and regional organizations to act as liaison on matters relating to the implementation of the Programme of Action.

25. To encourage negotiations, where appropriate, with the aim of concluding relevant legally binding instruments aimed at preventing, combating and eradicating the illicit trade in small arms and light weapons in all its aspects, and where they do exist to ratify and fully implement them.

26. To encourage the strengthening and establishing, where appropriate and as agreed by the States concerned, of moratoria or similar initiatives in affected regions or subregions on the transfer and manufacture of small arms and light weapons, and/or regional action programmes to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects, and to respect such moratoria, similar initiatives, and/or action programmes and cooperate with the States concerned in the implementation thereof, including through technical assistance and other measures.

27. To establish, where appropriate, subregional or regional mechanisms, in particular trans-border customs cooperation and networks for information-sharing among law enforcement, border and customs control agencies, with a view to preventing, combating and eradicating the illicit trade in small arms and light weapons across borders.

28. To encourage, where needed, regional and subregional action on illicit trade in small arms and light weapons in all its aspects in order to, as appropriate, introduce, adhere, implement or strengthen relevant laws, regulations and administrative procedures.

29. To encourage States to promote safe, effective stockpile management and security, in particular physical security measures, for small arms and light weapons, and to implement, where appropriate, regional and subregional mechanisms in this regard.

30. To support, where appropriate, national disarmament, demobilization and reintegration programmes, particularly in post-conflict situations, with special reference to the measures agreed upon in paragraphs 28 to 31 of this section.

At the regional level

24. To establish or designate, as appropriate, a point of contact within subregional and regional organizations to act as liaison on matters relating to the implementation of the Programme of Action.

25. To encourage negotiations, where appropriate, with the aim of concluding relevant legally binding instruments aimed at preventing, combating and eradicating the illicit trade in small arms and light weapons in all its aspects, and where they do exist to ratify and fully implement them.

26. To encourage the strengthening and establishing, where appropriate and as agreed by the States concerned, of moratoria or similar initiatives in affected regions or subregions on the transfer and manufacture of small arms and light weapons, and/or regional action programmes to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects, and to respect such moratoria, similar initiatives, and/or action programmes and cooperate with the States concerned in the implementation thereof, including through technical assistance and other measures.

27. To establish, where appropriate, subregional or regional mechanisms, in particular trans-border customs cooperation and networks for information-sharing among law enforcement, border and customs control agencies, with a view to preventing, combating and eradicating the illicit trade in small arms and light weapons across borders.

28. To encourage, where needed, regional and subregional action on illicit trade in small arms and light weapons in all its aspects in order to, as appropriate, introduce, adhere, implement or strengthen relevant laws, regulations and administrative procedures.

29. To encourage States to promote safe, effective stockpile management and security, in particular physical security measures, for small arms and light weapons, and to implement, where appropriate, regional and subregional mechanisms in this regard.

30. To support, where appropriate, national disarmament, demobilization and reintegration programmes, particularly in post-conflict situations, with special reference to the measures agreed upon in paragraphs 28 to 31 of this section.
31. To encourage regions to develop, where appropriate and on a voluntary basis, measures to enhance transparency with a view to combating the illicit trade in small arms and light weapons in all its aspects.

At the global level

32. To cooperate with the United Nations system to ensure the effective implementation of arms embargoes decided by the United Nations Security Council in accordance with the Charter of the United Nations.

33. To request the Secretary-General of the United Nations, within existing resources, through the Department for Disarmament Affairs, to collate and circulate data and information provided by States on a voluntary basis and including national reports, on implementation by those States of the Programme of Action.

34. To encourage, particularly in post-conflict situations, the disarmament and demobilization of ex-combatants and their subsequent reintegration into civilian life, including providing support for the effective disposition, as stipulated in paragraph 17 of this section, of collected small arms and light weapons.

35. To encourage the United Nations Security Council to consider, on a case-by-case basis, the inclusion, where applicable, of relevant provisions for disarmament, demobilization and reintegration in the mandates and budgets of peacekeeping operations.

36. To strengthen the ability of States to cooperate in identifying and tracing in a timely and reliable manner illicit small arms and light weapons.

37. To encourage States and the World Customs Organization, as well as other relevant organizations, to enhance cooperation with the International Criminal Police Organization (Interpol) to identify those groups and individuals engaged in the illicit trade in small arms and light weapons in all its aspects in order to allow national authorities to proceed against them in accordance with their national laws.

38. To encourage States to consider ratifying or acceding to international legal instruments against terrorism and transnational organized crime.

39. To develop common understandings of the basic issues and the scope of the problems related to illicit brokering in small arms and light weapons with a view to preventing, combating and eradicating the activities of those engaged in such brokering.

40. To encourage the relevant international and regional organizations and States to facilitate the appropriate cooperation of civil society, including non-governmental organizations, in activities related to the prevention, combat and eradication of the illicit trade in small arms and light weapons in all its aspects, in view of the important role that civil society plays in this area.

41. To promote dialogue and a culture of peace by encouraging, as appropriate, education and public awareness programmes on the problems of the illicit trade in small arms and light weapons in all its aspects, involving all sectors of society.

III. Implementation, international cooperation and assistance

1. We, the States participating in the Conference, recognize that the primary responsibility for solving the problems associated with the illicit trade in small arms and light weapons in all its aspects falls on all States. We also recognize that States need close international cooperation to prevent, combat and eradicate this illicit trade.

2. States undertake to cooperate and to ensure coordination, complementarity and synergy in efforts to deal with the illicit trade in small arms and light weapons in all its aspects at the global, regional, subregional and national levels and to encourage the establishment and strengthening of cooperation and partnerships at all levels among international and intergovernmental organizations and civil society, including non-governmental organizations and international financial institutions.

3. States and appropriate international and regional organizations should, upon request of the affected States, consider assisting in the pursuit of negotiated solutions to conflicts, including by addressing their root causes.

4. States and international and regional organizations should, upon request by the affected States, consider assisting and promoting conflict prevention. Where requested by the parties concerned, in accordance with the principles of the Charter of the United Nations, States and international and regional organizations should consider promotion and assistance of the pursuit of negotiated solutions to conflicts, including by addressing their root causes.

5. States and international and regional organizations should, where appropriate, cooperate, develop and strengthen partnerships to share resources and information on the illicit trade in small arms and light weapons in all its aspects.

6. With a view to facilitating implementation of the Programme of Action, States and international and regional organizations should seriously consider assisting interested States, upon request, in building capacities in areas including the development of appropriate legislation and regulations, law enforcement, tracing and marking, stockpile management and security, destruction of small arms and light weapons and the collection and exchange of information.

7. States should, as appropriate, enhance cooperation, the exchange of experience and training among competent officials, including customs, police, intelligence and arms control officials, at the national, regional and global levels in order to combat the illicit trade in small arms and light weapons in all its aspects.

8. Regional and international programmes for specialist training on small arms stockpile management and security should be developed. Upon request, States and appropriate international or regional organizations in a position to do so should support these programmes. The United Nations, within existing resources, and other appropriate international or regional organizations should consider developing capacity for training in this area.

9. States are encouraged to use and support, as appropriate, including by providing relevant information on the illicit trade in small arms and light weapons, Interpol’s International Weapons and Explosives Tracking System database or any other relevant database that may be developed for this purpose.

10. States are encouraged to consider international cooperation and assistance to examine technologies that would improve the tracing and detection of illicit trade in small arms and light weapons, as well as measures to facilitate the transfer of such technologies.

11. States undertake to cooperate with each other, including on the basis of the relevant existing global and regional legally binding instruments as well as other agreements and arrangements, and, where appropriate, with relevant international, regional and intergovernmental organizations, in...
tracing illicit small arms and light weapons, in particular by strengthening mechanisms based on the exchange of relevant information.

12. States are encouraged to exchange information on a voluntary basis on their national marking systems on small arms and light weapons.

13. States are encouraged, subject to their national practices, to enhance, according to their respective constitutional and legal systems, mutual legal assistance and other forms of cooperation in order to assist investigations and prosecutions in relation to the illicit trade in small arms and light weapons in all its aspects.

14. Upon request, States and appropriate international or regional organizations in a position to do so should provide assistance in the destruction or other responsible disposal of surplus stocks or unmarked or inadequately marked small arms and light weapons.

15. Upon request, States and appropriate international or regional organizations in a position to do so should provide assistance to combat the illicit trade in small arms and light weapons linked to drug trafficking, transnational organized crime and terrorism.

16. Particularly in post-conflict situations, and where appropriate, the relevant regional and international organizations should support, within existing resources, appropriate programmes related to the disarmament, demobilization and reintegration of ex-combatants.

17. With regard to those situations, States should make, as appropriate, greater efforts to address problems related to human and sustainable development, taking into account existing and future social and developmental activities, and should fully respect the rights of the States concerned to establish priorities in their development programmes.

18. States, regional and subregional and international organizations, research centres, health and medical institutions, the United Nations system, international financial institutions and civil society are urged, as appropriate, to develop and support action-oriented research aimed at facilitating greater awareness and better understanding of the nature and scope of the problems associated with the illicit trade in small arms and light weapons in all its aspects.

IV. Follow-up to the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects

1. We, the States participating in the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, recommend to the General Assembly the following agreed steps to be undertaken for the effective follow-up of the Conference:

   (a) To convene a conference no later than 2006 to review progress made in the implementation of the Programme of Action, the date and venue to be decided at the fifty-eighth session of the General Assembly;

   (b) To convene a meeting of States on a biennial basis to consider the national, regional and global implementation of the Programme of Action;

   (c) To undertake a United Nations study, within existing resources, for examining the feasibility of developing an international instrument to enable States to identify and trace in a timely and reliable manner illicit small arms and light weapons;

   (d) To consider further steps to enhance international cooperation in preventing, combating and eradicating illicit brokering in small arms and light weapons.

2. Finally, we, the States participating in the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects:

   (a) Encourage the United Nations and other appropriate international and regional organizations to undertake initiatives to promote the implementation of the Programme of Action;

   (b) Also encourage all initiatives to mobilize resources and expertise to promote the implementation of the Programme of Action and to provide assistance to States in their implementation of the Programme of Action;

   (c) Further encourage non-governmental organizations and civil society to engage, as appropriate, in all aspects of international, regional, subregional and national efforts to implement the present Programme of Action.

   *     *     *

International Tracing Instrument

International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons

Preamble

States,

Noting that in the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, States identified the tracing of illicit small arms and light weapons as a key mechanism for national, regional and/or international efforts to prevent, combat and eradicate illicit small arms and light weapons and committed themselves to strengthening the ability of States to cooperate in identifying and tracing in a timely and reliable manner illicit small arms and light weapons,

Noting also that the tracing of illicit small arms and light weapons, including but not limited to those manufactured to military specifications, may be required in the context of all forms of crime and conflict situations,

Recalling the report on the feasibility of developing an international instrument to enable States to identify and trace, in a timely and reliable manner, illicit small arms and light weapons, prepared by the Group of Governmental Experts established pursuant to General Assembly resolution 56/24 V of 24 December 2001,

Recalling also General Assembly resolution 58/241 of 23 December 2003, in which the Assembly, pursuant to the recommendation of the Group of...
Governmental Experts, decided to establish an open-ended working group to negotiate such an instrument,

Noting that, pursuant to resolution 58/241, this instrument is complementary to, and not inconsistent with, the existing commitments of States under relevant international instruments, including the 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,

Noting also that, pursuant to resolution 58/241, this instrument takes into account the national security and legal interests of States,

Convinced of the need for an effective international instrument to enable States to identify and trace, in a timely and reliable manner, illicit small arms and light weapons,

Stressing that all aspects relating to illicit small arms and light weapons should be addressed in a coordinated and comprehensive manner,

Stressing also the urgent necessity for international cooperation and assistance, including financial and technical assistance, as appropriate, to support and facilitate efforts to effectively implement this instrument,

Have agreed henceforth as follows:

I. General provisions

1. The purpose of this instrument is to enable States to identify and trace, in a timely and reliable manner, illicit small arms and light weapons.

2. The purpose of this instrument is also to promote and facilitate international cooperation and assistance in marking and tracing and to enhance the effectiveness of, and complement, existing bilateral, regional and international agreements to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects.

3. This instrument does not restrict the right of States to acquire, manufacture, transfer and retain small arms and light weapons for their self-defence and security needs, as well as for their capacity to participate in peacekeeping operations, in a manner consistent with the Charter of the United Nations.

II. Definitions

4. For the purposes of this instrument, “small arms and light weapons” will mean any manportable lethal weapon that expels or launches, is designed to expel or launch, or may be readily converted to expel or launch a shot, bullet or projectile by the action of an explosive, excluding antique small arms and light weapons or their replicas. Antique small arms and light weapons and their replicas will be defined in accordance with domestic law. In no case will antique small arms and light weapons include those manufactured after 1899.

(a) “Small arms” are, broadly speaking, weapons designed for individual use. They include, inter alia, revolvers and self-loading pistols, rifles and carbines, sub-machine guns, assault rifles and light machine guns;

(b) “Light weapons” are, broadly speaking, weapons designed for use by two or three persons serving as a crew, although some may be carried and used by a single person. They include, inter alia, heavy machine guns, hand-held under-barrel and mounted grenade launchers, portable anti-aircraft guns, portable anti-tank guns, recoilless rifles, portable launchers of anti-tank missile and rocket systems, portable launchers of anti-aircraft missile systems, and mortars of a calibre of less than 100 millimetres.

5. For the purposes of this instrument, “tracing” is the systematic tracking of illicit small arms and light weapons found or seized on the territory of a State from the point of manufacture or the point of importation through the lines of supply to the point at which they became illicit.

6. For the purposes of this instrument, small arms and light weapons are “illicit” if:

(a) They are considered illicit under the law of the State within whose territorial jurisdiction the small arm or light weapon is found;

(b) They are transferred in violation of arms embargoes decided by the Security Council in accordance with the Charter of the United Nations;

(c) They are not marked in accordance with the provisions of this instrument;

(d) They are manufactured or assembled without a licence or authorization from the competent authority of the State where the manufacture or assembly takes place; or

(e) They are transferred without a licence or authorization by a competent national authority.

III. Marking

7. The choice of methods for marking small arms and light weapons is a national prerogative. States will ensure that, whatever method is used, all marks required under this instrument are on an exposed surface, conspicuous without technical aids or tools, easily recognizable, readable, durable and, as far as technically possible, recoverable.

8. For the purpose of identifying and tracing illicit small arms and light weapons, States will:

(a) At the time of manufacture of each small arm or light weapon under their jurisdiction or control, either require unique marking providing the name of the manufacturer, the country of manufacture and the serial number, or maintain any alternative unique user-friendly marking with simple geometric symbols in combination with a numeric and/or alphanumeric code, permitting ready identification by all States of the country of manufacture; and encourage the marking of such additional information as the year of manufacture, weapon type/model and calibre;

(b) Taking into account that import marking is a requirement for the States parties to the 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, require to the extent possible appropriate simple marking on each imported small arm or light weapon, permitting identification of the country of import and, where possible, the year of import and enabling the competent authorities of that country to trace the small arm or light weapon; and require a unique marking, if the small arm or light weapon does not already bear such a marking. The requirements of this subparagraph need not be applied to temporary imports of small arms and light weapons for verifiable, lawful purposes, nor for the permanent import of museum artefacts;

(c) Ensure, at the time of transfer from government stocks to permanent civilian use of a small arm or light weapon that is not marked in a manner that allows tracing, the appropriate marking permitting identification of the country from whose stocks the transfer of the small arm or light weapon is made;
(d) Take all necessary measures to ensure that all small arms and light weapons in the possession of government armed and security forces for their own use at the time of adoption of this instrument are duly marked. Markings on these small arms and light weapons do not necessarily have to meet the requirements of subparagraph 8 (a) above;

(e) Encourage manufacturers of small arms and light weapons to develop measures against the removal or alteration of markings.

9. States will ensure that all illicit small arms and light weapons that are found on their territory are uniquely marked and recorded, or destroyed, as soon as possible. Pending such marking, and recording in accordance with section IV of this instrument, or destruction, these small arms and light weapons will be securely stored.

10. States will ensure that every small arm or light weapon always receives the unique markings prescribed in subparagraph 8 (a) above. A unique marking should be applied to an essential or structural component of the weapon where the component’s destruction would render the weapon permanently inoperable and incapable of reactivation, such as the frame and/or receiver, in compliance with paragraph 7 above. States are encouraged, where appropriate to the type of weapon, also to apply the marking prescribed in subparagraph 8 (a) above or other markings to other parts of the weapon such as the barrel and/or slide or cylinder of the weapon, in order to aid in the accurate identification of these parts or of a given weapon.

IV. Record-keeping

11. The choice of methods for record-keeping is a national prerogative. States will ensure that accurate and comprehensive records are established for all marked small arms and light weapons within their territory and maintained in accordance with paragraph 12 below in order to enable their competent national authorities to trace illicit small arms and light weapons in a timely and reliable manner.

12. From the time of the adoption of this instrument, records pertaining to marked small arms and light weapons will, to the extent possible, be kept indefinitely, but in any case a State will ensure the maintenance of:

(a) Manufacturing records for at least 30 years; and
(b) All other records, including records of import and export, for at least 20 years.

13. States will require that records pertaining to small arms and light weapons held by companies that go out of business be forwarded to the State in accordance with its national legislation.

V. Cooperation in tracing

General

14. While the choice of tracing systems will remain a national prerogative, States will ensure that they are capable of undertaking traces and responding to tracing requests in accordance with the requirements of this instrument.

15. States receiving information related to tracing illicit small arms and light weapons in accordance with the provisions of this instrument and in the context of a tracing request will respect all restrictions placed on its use. Furthermore, States will guarantee the confidentiality of such information. Restrictions on use may include, inter alia:

(a) The information exchanged will be released only to competent authorities designated by the requesting State and/or authorized personnel, to the extent necessary for the effective implementation of this instrument;
(b) The information exchanged will be used only for purposes consistent with this instrument; or
(c) The information exchanged may not be released to anyone else without the prior consent of the State providing that information.

Where for legal, constitutional or administrative reasons, the confidentiality of the information cannot be guaranteed or the restrictions placed on its use in accordance with the present paragraph cannot be maintained by the requesting State, the requested State will be so informed at the time the tracing request is made.

Tracing requests

16. A State may initiate a tracing request in relation to small arms and light weapons found within its territorial jurisdiction that it considers to be illicit under the provisions of paragraph 6 above.

17. To ensure smooth and effective cooperation in tracing, requests for assistance in tracing illicit small arms or light weapons will contain sufficient information, including, inter alia:

(a) Information describing the illicit nature of the small arm or light weapon, including the legal justification therefore and, to the extent possible, the circumstances under which the small arm or light weapon was found;
(b) Markings, type, calibre and other relevant information to the extent possible;
(c) Intended use of the information being sought.

Responses to tracing requests

18. States will provide prompt, timely and reliable responses to tracing requests made by other States.

19. States receiving a tracing request will acknowledge receipt within a reasonable time.

20. In responding to a tracing request, the requested State will provide, subject to paragraph 22 below, all available information sought by the requesting State that is relevant for the purpose of tracing illicit small arms and light weapons.

21. The requested State may seek additional information from the requesting State where a tracing request does not contain the information required in paragraph 17 above.

22. States may delay or restrict the content of their response to a tracing request, or refuse to provide the information sought, where releasing the information would compromise ongoing criminal investigations or violate legislation providing for the protection of confidential information, where the requesting State cannot guarantee the confidentiality of the information, or for reasons of national security consistent with the Charter of the United Nations.

23. If a State delays or provides a restricted response to a tracing request, or refuses to provide the information sought, on the grounds identified in paragraph 22 above, it will inform the requesting State of the reasons for this. The requesting State may subsequently seek clarification of this explanation.

VI. Implementation

General

24. In accordance with their constitutional processes, States will put in place, where they do not exist, the laws, regulations and administrative procedures needed to ensure the effective implementation of this instrument.

25. States will designate one or more national points of contact to exchange information and act as a liaison on all matters relating to the implementation of this instrument.
26. States will cooperate on a bilateral and, where appropriate, on a regional and international basis to support the effective implementation of this instrument.

**International cooperation and assistance**

27. States in a position to do so will, upon request, seriously consider rendering technical, financial and other assistance, both bilaterally and multilaterally, in building national capacity in the areas of marking, record-keeping and tracing, in order to support the effective implementation of this instrument by States.

28. States in a position to do so are also encouraged to seriously consider international cooperation and assistance to examine technologies that would improve the tracing and detection of illicit small arms and light weapons, as well as measures to facilitate the transfer of such technologies.

29. States will encourage initiatives, within the framework of the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, that mobilize the resources and expertise of, and where appropriate cooperate with, relevant regional and international organizations to promote the implementation of this instrument by States.

**United Nations**

30. States will cooperate, as appropriate, with the United Nations to support the effective implementation of this instrument.

31. States will, as soon as possible after the adoption of this instrument, provide the Secretary-General, through the Department for Disarmament Affairs of the Secretariat, with the following information, updating it when necessary:

(a) Name and contact information for the national point(s) of contact;

(b) National marking practices related to markings used to indicate country of manufacture and/or country of import as applicable.

32. States hereby request the Secretary-General to collate the information provided by States pursuant to paragraph 31 above and to issue it to States Members of the United Nations, providing the assistance requested for the implementation of the instrument by States, as well as assisting States to interact on a bilateral basis.

**International Criminal Police Organization (INTERPOL)**

33. States, where appropriate, will cooperate with the International Criminal Police Organization (Interpol) to support the effective implementation of this instrument.

34. States that are members of Interpol will promote the implementation of this instrument when participating in Interpol’s organs.

35. States, where appropriate, in accordance with Interpol’s statutory rules, are encouraged to make full use of Interpol’s mechanisms and facilities in implementing this instrument. Interpol may, at the request of the concerned State, assist in the following areas:

(a) Facilitation of tracing operations conducted within the framework of this instrument;

(b) Investigations to identify and trace illicit small arms and light weapons;

(c) Wherever possible, building national capacity to initiate and respond to tracing requests.

**VII. Follow-up**

36. States will report on a biennial basis to the Secretary-General on their implementation of this instrument including, where appropriate, national experiences in tracing illicit small arms and light weapons as well as measures taken in the field of international cooperation and assistance. This report may form part of a State’s national report on its implementation of the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects.

37. States will meet on a biennial basis to consider the reports mentioned in paragraph 36 above. These meetings will be held within the framework of relevant meetings convened for the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, where such meetings are in fact convened.

38. States will review the implementation and future development of this instrument within the framework of conferences that review the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects.
Adequacy of Assistance, Enhanced Funding and Training Opportunities of Activities Related to Implementing the Programme of Action and its International Tracing Instrument

1. Adequacy of assistance

- The UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR)
  UNSCAR was established in 2013 pursuant to the outcome document of the Second Review Conference of the PoA in 2012, which “encourages the establishment of a voluntary multi-donor facility, in cooperation with the Office for Disarmament Affairs and the United Nations Development Programme, to mobilize assistance for the implementation of the Programme of Action.”
  Since its establishment, UNSCAR has funded a total of 51 projects, to the tune of $7.5 million.

UNSCAR projects are formulated in accordance with national priorities of the beneficiary countries who usually indicate their needs for assistance in biennial national reports on the PoA submitted to UNODA. Implementing partners include UN entities, international and regional organizations, NGOs and research institutes. States need an eligible implementing partner in order to apply for UNSCAR assistance in project funding.

UNSCAR’s annual Call for Proposals opens in June and July of each year. Applications are required to take gender considerations into account in project formulation. The current cycle (2017-2018) includes 13 projects receiving a total of $1.7 million.

- Other existing arrangements
  Other funding arrangements within the UN that benefit SALW-related projects and PoA implementation:
  - UN WOMEN has a fund for ending violence against women; over $129 million has been awarded to 463 initiatives in 139 countries and territories since 1996.
  - The UN Human Security Unit is responsible for the UN Trust Fund for Human Security, which has awarded $350 million since 1999 to projects which included components on addressing the trafficking of arms.
  - Under UNMAS, the UN Voluntary Trust Fund for Assistance in Mine Action funds projects involving management and destruction of SALW and ammunition.

- UNDC manages the Global Firearms Programme, which was created in 2011 to provide technical, legal, legislative and capacity-building assistance.
- The Peacebuilding Fund (PBF), as part of the UN Peacebuilding Commission, has awarded over 800 million USD since 2006 to relevant projects in 42 countries.
- UNICEF has assisted with awareness-raising and education campaigns in Albania, Kosovo, Somalia and Tajikistan.

2. Options for enhanced funding

- Principles
  Efforts to enhance funding should be made in accordance with the following principles:
  1. Funding must be sustainable—funding needs defined, achievable goals and deliverable results.
  2. There is space for more comprehensive and integrated interventions to prevent and combat illicit flows of small arms.
  3. Small arms regulation and control should be linked to achieving the Sustainable Development Goals (SDGs) in countries facing serious small arms problems.

- Considerations
  Considerations to take into account in order to enhance funding for small arms assistance:
  - Funding should be predictable – remain consistent and sufficient.
  - Assistance needs should be reported through PoA national reports and other relevant mechanisms by countries needing assistance and identify where assistance is needed.
  - Needs and resources must be coordinated and matched appropriately.
  - Implementation efforts should be made as close to the ground as possible.
  - Donor and recipient expectations and perspectives must be harmonized.
  - Existing mechanisms, where applicable, should be utilized to the maximum extent.

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1 A/CONF.192/2012/RC/4
2 IBID, para. 5 (f)
3. Options for enhanced country support and training

- **Dimensions of coordination**
  Coherent multi-year in-country programming requires adequate coordination between UN partners/implementing agencies, between donors, and between donors and recipients. The existing UN Development Assistance Framework in developing countries is usually robust and can be utilized to enhance coordination efforts.
  At the national level, there must be solid coordination among relevant agencies.

- **Sources of funding**
  Regular UN budget: Regular budget can be a reliable source for large-scale funding. However, tapping into the regular UN budget would require the relevant General Assembly resolution to specifically mandate certain activities.

  Existing trust funds: As shown previously, there are a number of existing trust funds that can be accessed, although most of them are not intended specifically for small arms issues.
  UNSCAR represented a major step forward in establishing a source of funding for short-term, quick-impact projects.

  A more sustained and integrated funding for comprehensively funding small arms control measures in most-affected States could be accomplished through the new Multi-Partner Trust Facility for small arms, unveiled by the Secretary-General in his new Disarmament Agenda in May 2018. The Facility aims to link small arms control and development, and to contribute to delivering on the 2030 Sustainable Development Agenda by enhancing integration and reducing fragmentation.

4. Observations

- **Enhancing support and training**
  Dedicated support and training for SALW-related matters is best organized close to the ground. It should allow for both regional and national specificities and should be embedded in national strategies. Training programmes should be based on specific demand and should account for gender considerations, which are always relevant when addressing SALW and SALW-related training. Training should also be geared toward specific categories of officials throughout relevant national agencies, meaning that inter-agency training is preferable.

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**3. Options for enhanced country support and training**

- **Existing efforts**
  Existing efforts for country-specific support and training include weapons management, storage facility protection, collection and destruction efforts. Such support is provided by peacekeeping missions, and UN agencies on the ground with relevant expertise.

  In addition to the UN, other inter-governmental organizations have put in place programmes to assist with legislative, technical and investigative capacity-building.

  The World Customs Organization (WCO) established its Capacity Building Committee in 2010 to prepare guidelines, standards, tools and instruments to support capacity-building initiatives in customs and border security.

  INTERPOL provides technical assistance and facilitates information-sharing via the INTERPOL Illicit Arms Records and Tracing Management System (iARMS), the INTERPOL Firearms Reference Table (IFRT) and the INTERPOL Ballistic Information Network (IBIN). Further, INTERPOL assists with capacity-building and training efforts by working with partners and stakeholders to prevent illicit firearms trafficking.

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**4. Observations**

Despite improvements made to assistance funding efforts, more resources and training are still needed.

Coordination among implementing agencies, among donors, and within the recipient country must also be improved. National reports are a key vehicle to link assistance needs with available resources. However, mechanisms to make use of the assistance data from national reports seem underdeveloped.

The illicit circulation of small arms is recognized as a development issue and as such it must be included in development assistance policies and programmes. Only then will effective programming be possible.

There is room to scale up assistance considerably. The UNSCAR trust fund can expand its work on quick-impact projects around the world. Separately, establishing the multi-partner trust facility for sustained, cross-sectional programming in heavily-affected countries is expected to make a great impact.

Moreover, dedicated support and training programmes for practitioners, if designed smartly, could prove effective in deepening expertise in all regions.
The cross-cutting issue of small arms and light weapons requires a coherent, cross-sectional response: from improving warehouses, destroying surpluses, and training police, to strengthening legislation, rolling out community safety programmes, and providing alternative livelihoods for former gang members.

The United Nations is establishing a dedicated funding facility to ensure sustained financing for coordinated, integrated small arms control measures in countries most affected by armed violence. It is a long-overdue, comprehensive approach to a worldwide scourge, that must be curbed to protect and foster development.

**Rationale**

Over the past decade, the colossal problem of the diversion, illicit ownership and misuse of small arms has seen sound progress in global policy-setting. Now, governments and the UN system must follow through.

➢ The Organization for Economic Cooperation and Development (OECD) designated small arms control measures as falling under official development assistance (2005).

➢ The 2030 Agenda for Sustainable Development includes a commitment on significantly – and measurably – reducing illicit arms flows.

The existing UNSCAR fund (UN Trust Facility Supporting Conventional Arms Regulation) adds great value on short-term, quick-impact measures to improve small arms control. Its success has prompted a call for an ambitious parallel facility that would allow a country to tackle the various dimensions of the problem sustainably through multi-year programming, including institutional, legal, educational, development and law-enforcement approaches.

**Towards sustained, coherent funding**

As part of his new Disarmament Agenda, the Secretary-General will establish a sustained, coherent funding facility, open to UN system partners and non-UN stakeholders, which would support comprehensive approaches to small arms regulation and control. The fund would thus be a solid, innovative, participatory application of the increasingly accepted idea that arms regulation and development must be approached in an integrated manner.

The **Global Fund to Eradicate Illicit Small Arms** will be set up as a window in the UN Peacebuilding Fund (PBF). Making use of a successful existing mechanism supports the Secretary-General’s efforts to further streamline and consolidate the organization.

**Paradigm shift**

The dedicated PBF window would support a paradigm shift enabling affected States to tackle small arms issues through integrated, multi-dimensional programmes and as part of
**wider development plans**, in contrast with the traditional project-based approaches.

**National authorities** will need to broaden their small-arms-related approaches to inter-sectoral consultations on development plans. **Donors** will need to increasingly recognize the value of placing their assistance to combating illicit small arms in the framework of official development assistance.

### Transformative impact

The Fund would aim to address all relevant dimensions of the illicit small-arms problem. Practical arms control measures such as weapons collection and destruction would be reinforced with adequate legal and policy frameworks, institutional arrangements (e.g., national commissions, national action plans), proper stockpile management, safer humanitarian space, education and awareness-raising, law-enforcement measures and capacity building, data and evidence collection and analysis. Responses will also aim to change cultural attitudes and perceptions regarding small arms, including with regard to the ever-present gender dimension of the issue.

### Modalities

- The fund will initially focus on a number of countries that are eager to address their challenges in the field of illicit small arms in a holistic way. Depending on donor interest, the Fund may be expanded.

- Ownership by host countries will be sought during every stage of programming: from design to implementation to monitoring and evaluation. Financial and/or technical contributions from host countries are expected as an indication of commitment and ownership.

- To maximize development effectiveness and UN coordination through the efficient, accountable and transparent design and administration of innovative, pooled financing mechanisms, the fund would in principle be administered by the Peacebuilding Support Office (PBSO) under a collaborative arrangement with the Office for Disarmament Affairs (UNODA), with financial-administration support by the UN Multi-Partner Trust Fund Office (MPTFO).

- Governance of the fund is expected to be based on a collective arrangement involving donor States and institutions, recipient countries and the existing United Nations inter-agency mechanism on small arms, ammunition and the arms trade (CASA). At the country level, implementation oversight and coordination may involve UN entities on the ground. Where relevant, UNODA regional centres would contribute expertise including on management and oversight.

- Contributors to the Fund can be national governments, multilateral organizations, private-sector entities, international and local NGOs, and private individuals.

### Benefits

- **A cross-cutting trust facility**, effectively supporting affected States through a multi-year approach to coherently and sustainably implement small arms control measures.

- **Focused implementation of the key SDG target to “significantly reduce illicit arms flows”,** filling the current scarcity of development-relevant work on this target.

- **Sustained attention only to countries most eager to improve their small arms situation.**

- **High levels of ownership in recipient States.**

- **Low overhead costs.**

- **More coordination, better insight in developments and trends, less duplication and overlap.**

- **Collection of data and lessons that could inform small arms regulation efforts in other countries.**

### Implementing partners

United Nations entities as well as select regional organizations and qualified civil society organizations would be eligible to be implementing partners.

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1 CASA comprises 23 UN entities: CTED, DESA, DPA, DPI, DPKO, ICAO, OCHA, OHCHR, OSAPG, OSRSG/CAAC, OSRSG/VAC, OSAA, UNDP, UNEP, UN-
SDG indicator 16.4.2

This non-paper aims to inform on coordination efforts within the UN Secretariat on reporting, data collection and monitoring for SDG indicator 16.4.2. It recommends that States may wish to assess the existing mechanisms that can feed data and information into this indicator (or recommend UNODA and UNODC to jointly do so). As Goal 16 is scheduled to be reviewed in 2019, the second half of 2018 may be a timely opportunity for such an endeavour.

I. Introduction

1. The 2030 Agenda for Sustainable Development revolves around adequate measurability through concrete, time-bound goals which are unpacked into specific targets, for which coherent indicators are developed. Data should in principle be collected in coordination with national statistical offices.

2. Under SDG 16 (peace, justice and strong institutions), target 16.4 includes the aim to, by 2030, “significantly reduce illicit arms flows”. Security and arms regulation were not part of the MDGs; these are fields still characterized by a paucity of publicly available year-on-year statistics. A complicating factor is the target’s focus on illicit activities: identifying a national baseline of illicit activity against which to measure its desired significant reduction is a challenge to say the least.

3. Global indicators are developed within the Statistical Commission’s Inter-Agency and Expert Group on SDG Indicators (IAEG-SDGs), which consists of select Member States, with UN agencies as observers. Draft indicators are vetted for solid measurability. Each indicator is attached to one of three levels of technical strength:
   - Tier 1 for those that are conceptually clear, have an internationally established methodology and standards, and data regularly produced by countries for at least 50% of countries;
   - Tier 2 for indicators that are conceptually clear, have an internationally established methodology and standards available, but data are not regularly produced by countries;
   - Tier 3 for indicators that have no internationally established methodology or standards yet available, but methodology / standards are being developed or tested.

4. In addition to the global process of developing indicators, the 2030 Agenda document encourages States to develop national and regional indicators.

5. The 2030 Agenda encourages the use of existing reporting mechanisms, while also stressing that national statistical offices should be the central hub for collecting and transmitting national information.

II. Indicator 16.4.2

6. Indicator 16.4.2 reads: “Proportion of seized, found or surrendered arms whose illicit origin or context has been traced or established by a competent authority in line with international instruments”.

7. The IAEG-SDGs has classified indicator 16.4.2 under tier 3, which implies that its data collection process is in need of further development.

8. The focus of this indicator is on the action taken by national authorities to identify trafficking flows and points of diversion, which are identified as pre-conditions for an effective fight against illicit flows of firearms.

9. Two agencies, the UN Office for Disarmament Affairs (UNODA) and the UN Office on Drugs and Crime (UNODC), are identified as co-custodians for indicator 16.4.2.

III. Monitoring and data collection for indicator 16.4.2

10. This indicator focuses on government action only, and is thus dependent on national reporting. Currently, the responsibility of collecting data for this indicator at national level can be either with national agencies / ministries responsible for firearms regulation or with national statistical offices.

11. While SDG-related data flows are still under discussion within the IAEG-SDG, current arrangements provide for custodian agencies to collect and process relevant data before transmittal to the UN Statistics Division. Also, custodian agencies could support States in data collection, analysis and reporting.

12. Target 16.4 is not directly linked to any particular global instrument. But there are several global reporting mechanisms to which governments have committed to report – although not through their national statistical offices. These mechanisms can support or complement the monitoring of the SDG 16.4.2 indicator.

a) Programme of Action / International Tracing Instrument. All 193 UN Member States are committed to this political instrument. Reporting is done once every two years.
UNODA collects national reports on the implementation of these instruments. The reporting template has already been adapted to include a section related to indicator 16.4.2.

b) Firearms Protocol supplementing the UN Convention against Transnational Organized Crime. All 193 UN Member States agreed to adopt the Convention and its three Protocols as legally binding instruments, and to consider becoming a party to them. The Firearms Protocol currently has 115 States Parties. Reporting on its implementation is done via self-assessment questionnaires, currently under review by the Conference.

c) UNODC was also mandated by the Conference of the Parties to the United Nations Convention against Transnational Organized Crime, to conduct a study on firearms trafficking (published in 2015). It was subsequently mandated to continue to collect and analyze quantitative information and suitably disaggregated data on trafficking in firearms, their parts and components and ammunition, taking into account the 2015 study and target 16.4, and to disseminate its findings on a regular basis. For this, UNODC has launched a mechanism to collect annually national data and information from all UN Member States; the Illicit Arm Flows Questionnaire. This questionnaire is not linked to any international instrument and builds on the ‘annual and significant seizures report questionnaires’ used for the 2015 Study.

As no standard methodology was available for indicator 16.4.2, UNODC based its work on developing a methodology on existing recording practices. An expert group meeting, a pilot exercise among volunteer countries, and a consultation with IAEG-SDGs, have contributed to this standardised approach for producing indicator-16.4.2-relevant data.

It asks for disaggregated data and qualitative information on seized, found and surrendered arms, their parts and components and ammunition, trafficking flows and routes, tracing activities by national authorities, and complementary qualitative information.

13. Within the UN Secretariat, UNODA and UNODC are committed to streamline the data collection process and avoid overlap, and ensure consistency of published data.

14. UNODC, with its dedicated Global Firearms Programme, its Research and Trend Analysis Branch and its strong field presence, will continue to lead in developing annual 16.4.2 data collection, data processing, and submission to the Statistical Commission. UNODA, as co-custodian, will enrich that process with complementary biennial data collected under the PoA/ITI process. Both entities have ensured that target 16.4 is reflected in their reporting mechanisms.

15. States could invite national statistical systems responsible for SDG monitoring to holistically assess the existing reporting mechanisms under point 12.a)-c) above, or to recommend UNODA and UNODC to jointly do so, with a view to streamlining national reporting according to standardised methodology while avoiding duplication.

16. As Goal 16 is scheduled to be reviewed in 2019, such an exercise could perhaps best be undertaken in the second half of 2018.

17. A great number of States will likely need assistance with data collection and with establishing procedures for data flows to national statistical offices from national law enforcement agencies / national focal points on small arms. In-country support / capacity-building on data collection and analysis will rest primarily with UNODC. UNODA can assist, through its regional centres, where resources would be made available from donors.

18. UNODA and UNODC can also work individually, where requested, with national authorities and (sub-)regional organizations on the voluntary development of national and regional indicators, while sharing good practices among themselves and maintaining methodological consistency with global data collection.

IV. Observations and recommendations
National reports submitted

Year: 2018
Number of submissions: 107

Contact conventionalarms-unoda@un.org for username and password.

✓ Afghanistan
✓ Albania
✓ Algeria
✓ Andorra
✓ Angola
✓ Antigua and Barbuda
✓ Argentina
✓ Armenia
✓ Australia
✓ Austria
✓ Azerbaijan
✓ Bahamas
✓ Bahrain
✓ Bangladesh
✓ Barbados
✓ Belarus
✓ Belgium
✓ Belize
✓ Benin
✓ Bhutan
✓ Bolivia
✓ Bosnia and Herzegovina
✓ Botswana
✓ Brazil
✓ Brunei Darussalam
✓ Bulgaria
✓ Burkina Faso
✓ Burundi
✓ Cabo Verde
✓ Cambodia
✓ Cameroon
✓ Canada
✓ Central African Republic
✓ Chad
✓ Chile
✓ China
✓ Colombia
✓ Comoros
✓ Congo
✓ Costa Rica
✓ Cote D’Ivoire
✓ Croatia
✓ Cuba
✓ Cyprus
✓ Czech Republic
✓ Democratic People’s Republic of Korea
✓ Democratic Republic of the Congo
✓ Denmark
✓ Djibouti
✓ Dominica
✓ Dominican Republic
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✓ Guinea-Bissau
✓ Guyana
✓ Haiti
✓ Honduras
✓ Hungary
✓ Iceland
✓ India
✓ Indonesia
✓ Iran (Islamic Rep. of)
✓ Iraq
✓ Ireland
✓ Israel
✓ Italy
✓ Jamaica
✓ Japan
✓ Jordan
✓ Kazakhstan
✓ Kenya
✓ Kiribati
✓ Kuwait
✓ Kyrgyzstan
✓ Latvia
✓ Lebanon
✓ Lesotho
✓ Liberia
✓ Libya
✓ Liechtenstein
✓ Lithuania
✓ Luxembourg
✓ Madagascar
✓ Malawi
✓ Malaysia
✓ Maldives
✓ Mali
✓ Malta
✓ Marshall Islands
✓ Mauritania
✓ Mauritius
✓ Mexico
✓ Micronesia (Federated States of)
✓ Monaco
✓ Mongolia
✓ Montenegro
✓ Morocco
✓ Mozambique
✓ Myanmar
✓ Namibia
✓ Nauru
✓ Nepal
✓ Netherlands
✓ New Zealand
✓ Nicaragua
✓ Niger
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✓ Norway
✓ Oman
✓ Pakistan
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✓ Papua New Guinea
✓ Paraguay
✓ Peru
✓ Philippines
✓ Poland
✓ Portugal
✓ Qatar
✓ Republic of Korea
✓ Republic of Moldova
✓ Romania
✓ Russian Federation
✓ Rwanda
✓ Saint Kitts and Nevis
✓ Saint Lucia
✓ Saint Vincent and the Grenadines
✓ Samoa
✓ San Marino
✓ Sao Tome and Principe
✓ Saudi Arabia
✓ Senegal
✓ Serbia
✓ Seychelles
✓ Sierra Leone
✓ Singapore
✓ Slovakia
✓ Slovenia
✓ Solomon Islands
✓ Somalia
✓ South Africa
✓ South Sudan
✓ Spain
✓ Sri Lanka
✓ Sudan
✓ Suriname
✓ Swaziland
✓ Sweden
✓ Switzerland
✓ Syrian Arab Rep.
✓ Tajikistan
✓ Thailand
✓ The Former Yugoslav Rep. of Macedonia
✓ Timor-Leste
✓ Togo
✓ Tonga
✓ Trinidad and Tobago
✓ Tunisia
✓ Turkey
✓ Turkmenistan
✓ Tuvalu
✓ Uganda
✓ Ukraine
✓ United Arab Emirates
✓ United Kingdom
✓ United Rep. of Tanzania
✓ United States
✓ Uruguay
✓ Uzbekistan
✓ Vanuatu
✓ Venezuela (Bolivarian Rep. of)
✓ Viet Nam
✓ Yemen
✓ Zambia
✓ Zimbabwe

RevCon3
New York, 18-29 June 2018 | Third Review Conference
Summary of good practices from national reporting

A number of good practices can be distilled from 2018 national reports. The Secretariat will continue to compile such practices until 22 June (suggestions: conventionalarms-unoda@un.org). The final version will be distributed in the second week of the 3rd Review Conference.

1. Reporting: Submission of national reports and additional information

- Consistently submitted national reports since 2002 (8 or more reports, including 2018) (Andorra, Argentina, Australia, Belarus, Bosnia and Herzegovina, Burkina Faso, Burundi, China, Colombia, Croatia, Cuba, Czech Republic, Denmark, Ecuador, Egypt, Finland, France, Germany, Greece, Guatemala, Hungary, Ireland, Italy, Japan, Kenya, Latvia, Lithuania, Malaysia, Mali, Mexico, Morocco, Namibia, Norway, Paraguay, Peru, Philippines, Poland, Portugal, Republic of Korea, Romania, Russian Federation, Senegal, Serbia, Spain, Sweden, Switzerland, The Former Yugoslav Republic of Macedonia, Togo, Uganda, Ukraine, United Kingdom, United States)

- Utilized a regional reporting mechanism for the submission of 2018 PoA/ITI national reports (through OSCE online reporting portal) (Liechtenstein, Portugal, Italy)

- Provided relevant additional information voluntarily either at the end of national reports or by attaching separate documents
  - National Action Plan (Democratic Republic of the Congo, Guinea, Namibia, Philippines)
  - Challenges to PoA/ITI implementation (Brazil, Lesotho, Liberia, Sierra Leone, Zambia)
  - Implementation efforts (Paraguay, Somalia)
  - Supplementary documents to provide additional information beyond the scope of the template (Argentina, Guinea);
  - Detailed explanations on specific questions in the report (Australia, Burkina Faso, Burundi, Japan, Niger);
  - Proposals to other States pertaining to PoA/ITI implementation (Colombia)

- Resubmitted a national report via online reporting after first submitting a hard-copy of a national report (Burkina Faso, France, Kazakhstan, Turkey, Ukraine)

- Provided narrative text in a national report in multiple languages (Argentina)

- Submitted a national report for the first time (Afghanistan, Comoros, Kuwait, Mongolia, Saint Kitts and Nevis)

2. National legislation

- Attached supplementary documents or links containing relevant national legislation (Argentina, Belgium, Guinea, Namibia, Mauritius, Philippines)

3. Data on weapons collection and destruction

- Provided a complete or near-complete breakdown of SALW collected and subsequent actions taken (Antigua and Barbuda, Australia, Botswana, Burundi, Chile, Colombia, Croatia, Liberia, Liechtenstein, Montenegro, United Kingdom)

- Reported on parts and components of weapons destroyed (Colombia)

- Reported on rounds of ammunition destroyed (Bosnia and Herzegovina, Colombia, Liberia)
4. Marking and Record-Keeping

- Developed a new comprehensive national system of marking and record-keeping for tracing purposes, in accordance with international best practices (Jamaica)
- Developed a new dual-component database combining electronic data capture and paper-based documents, to generate records for every firearm marked (Jamaica)
- Established a unique coding system for each category of weapons, to enhance national record-keeping practices (Jamaica)

5. Tracing

- Provided information on challenges in the implementation of the ITI (Brazil, Niger)

6. International assistance

- Attached supplementary documents regarding information on relevant assistance provided during the reporting period (Japan, Germany, Sweden)
- Included in the report detailed information on specific assistance activities received or provided, including types of assistance and/or amounts of financial contributions (Belize, Liechtenstein, Rwanda, Kenya, Switzerland, Uganda, United Kingdom, United States)
- Developed project proposals accompanying requests for assistance (Côte d’Ivoire, Madagascar, Paraguay, Senegal).

7. Gender considerations

- Collected disaggregated data on gender considerations (Australia, Brazil, Cambodia, Dominican Republic, Guatemala, Kuwait, Morocco, Nigeria, Paraguay, Portugal, Swaziland, Sweden, United Republic of Tanzania, United States, Venezuela)
- Provided a web link to additional information on an action plan pertaining to gender considerations (Philippines)

8. Regional implementation strengths

- Region in which 90 per cent of reporting states established a national coordination agency (Africa: 26 out of 30 reports)
- Regions in which all or almost all reporting States adopted brokering regulation (Western Europe and Other: 20 out of 21 reports, Eastern Europe: 19 out of 19 reports).
Update form  National Point of Contact
on the UN Programme of Action and its International Tracing Instrument

PoA paragraph II.5:
“To establish or designate, as appropriate, a national point of contact to act as liaison between States on matters relating to the implementation of the Programme of Action”

National points of contact are updated through national reports. The list is available through www.un.org/disarmament/revcon3.

States that have not submitted a national report can use this form to update their national point of contact. States that have submitted a national report do not need to submit this form.

For reasons of continuity, a national point of contact should preferably be a government entity / unit.

<table>
<thead>
<tr>
<th>Programme of Action national point of contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Country</td>
</tr>
<tr>
<td>Entity / Organization / Title</td>
</tr>
<tr>
<td>Institutional email (Personal email if no institutional email available)</td>
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<td>Institutional phone</td>
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<tr>
<td>+</td>
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</table>

Reported by:

<table>
<thead>
<tr>
<th>Name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

Title / Capacity

Return this form to the workstation in conference room 4, or email a scanned copy to: conventionalarms-unoda@un.org
## International assistance: requests

The PoA/ITI reporting template provides space under each sub-issue for a request for international assistance.

More than half of States submitting a national report include one or more such requests. This allows donors to focus not only on priority countries/regions, but also on priority themes.

Go to [https://smallarms.un-arm.com/international-assistance](https://smallarms.un-arm.com/international-assistance) for the below list of requests from national reports.

<table>
<thead>
<tr>
<th>Category</th>
<th>Request</th>
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<tbody>
<tr>
<td>Manufact.</td>
<td>Laws, regulations, procedures on manufacturing</td>
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<tr>
<td>Trans.</td>
<td>Laws, regulations, procedures on international transfers</td>
</tr>
<tr>
<td>Brok.</td>
<td>Laws, regulations, procedures on brokering</td>
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<td>Stockp.</td>
<td>Standards and procedures on stockpile management</td>
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<td>Dest.</td>
<td>Capacity for destruction</td>
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<tr>
<td>Seiz.</td>
<td>Capacity for confiscation and seizure</td>
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<tr>
<td>RecKp.</td>
<td>Capacity for record-keeping</td>
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<td>Traci.</td>
<td>Procedures to trace SALW</td>
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<tr>
<td>NPC</td>
<td>National coordination mechanism / NPC</td>
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<tr>
<td>DDR</td>
<td>Disarmament support and put in place development</td>
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<tr>
<td>Train.</td>
<td>Capacity-building and training on SALW issues</td>
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<td>LawEnf.</td>
<td>Law enforcement</td>
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<td>Border.</td>
<td>Customs and borders</td>
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<tr>
<td>Research.</td>
<td>Action-oriented research</td>
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<td>Children.</td>
<td>Children and youth</td>
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## States requesting international assistance (data source: PoA national reports)

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<td>Saint Vincent and the Grenadines</td>
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<td>Broke</td>
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<td>Stocks</td>
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<tr>
<td>United Republic of Tanzania</td>
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<tr>
<td>Zambia</td>
<td>Destroyed</td>
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</table>
Background on decisions regarding meetings under the PoA/ITI

Preliminary remark

Many representatives have indicated that clarity is needed on which substantive topics should be dealt with in a future meetings cycle, in order for a meaningful discussion to be held on the purpose, types, duration and frequency of future meetings to be scheduled.

Mandates for meetings

In essence, review conferences have a mandate to review PoA implementation, while biennial meetings have a mandate to consider PoA implementation.

The differences between ‘reviewing’ and ‘considering’ have in this context not been elaborated.

2001 Programme of Action (PoA):

“…to convene a conference no later than 2006 to review progress made in the implementation of the Programme of Action…” and to “convene a meeting of States on a biennial basis to consider the national, regional and global implementation of the Programme of Action”.

2005 International Tracing Instrument (ITI):

States will meet “within the framework of relevant meetings convened for the United Nations Programme of Action…”.

Biennial meetings have a recurring character, as States in the PoA document agreed they will be convened “on a biennial basis”.

The PoA only mentioned a single review conference. Therefore, further review conferences need each to be agreed by a General Assembly resolution (which can be formulated on the basis of a conference outcome).

Some budgetary considerations

The scheduling of any future meetings – including BMSs – needs to be reflected in the relevant General Assembly resolution in order for the related financial requirements to be included in the programme budget of the United Nations.

It is good practice for the review conference to agree on a multi-year cycle of meetings. (At the Second Review Conference in 2012, States agreed on the current schedule of meetings for the cycle 2012-2018.)

Under existing budgeting methodology, to schedule any meeting within the regular budget of the United Nations, it needs to be mentioned in the GA resolution in the year preceding that of the adoption of the budget. Otherwise, the proposed meeting would necessitate the issuance of a statement of programme budget implications (PBI) by the Secretariat. For example:
Language proposing a meeting scheduled for 2020 would need to be mentioned in the GA resolution adopted in late 2018, in order to be included in the Secretary-General’s budget proposals for 2020, which will be adopted towards the end of 2019.

Language proposed in 2018 regarding a meeting to be scheduled in 2019 would trigger a PBI, as that meeting would not have been included in the budget for the biennium 2018-2019, which was adopted by the General Assembly in 2017.1

Practice of meetings in the PoA/ITI framework since 2001

**Review Conferences (RevCons)**
- Every six years (initially after five years)
- Scheduled for two weeks (10 days).
- Preceded by a Preparatory Committee of a max. of 5 days.
- Aimed for a negotiated outcome document.

**Biennial Meetings of States (BMSs)**
- Every two years.
- Scheduled for one week (5 days).
- No Preparatory Committee.
- Has aimed at a negotiated outcome document.

**Meetings of Gov’tal Experts (MGEs)**
- Irregularly scheduled.
- Scheduled for one week (5 days).
- Open to all Member States.
- Have not aimed at a negotiated outcome document; a Chair’s summary reflected the proceedings.

Timeline PoA / ITI meetings 2001-2018

Recommendations

- RevCon3 is a key opportunity to mandate the next multi-year cycle of PoA/ITI meetings.

- As mentioned at the start of this paper, discussions on the purpose, types, duration and frequency of future meetings to be scheduled pre-supposes a general understanding on what topics need to be addressed. Such ‘substance’ can include process-related issues such as mechanisms for improved assistance and cooperation.

- The General Assembly – which mandates the PoA / ITI process – is the master of its own procedure. The GA (and the review conference, of which the outcome document feeds into the GA) can decide to change existing meeting patterns at any moment. In other words: precedent can always be discontinued / altered if States so decide. This pertains to all elements of the meetings process: type, duration, frequency, preparation, subcommittees, intersessional, role of Secretariat, etc.

Further information: www.un.org/disarmament/past-meetings

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1 The change from biennial to annual UN budgets (to begin in 2020) is not expected to change this procedure.
FACT SHEET

The issue of small arms and light weapons at the United Nations

In 2001, countries adopted the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA). In it, governments agreed to improve national small arms regulations, to strengthen stockpile management, to ensure that weapons are properly and reliably marked, to improve cooperation in weapons tracing, and to engage in regional and international cooperation and assistance.

“The 2030 Agenda for Sustainable Development importantly affirms that combatting the illicit trade in small arms and light weapons is necessary for the achievement of many goals, including those relating to peace, justice and strong institutions, poverty reduction, economic growth, health, gender equality, and safe cities and communities.”

António Guterres, United Nations Secretary-General, in Securing Our Common Future. An Agenda for Disarmament

Marking, record-keeping, and tracing

In addition, in 2005, the General Assembly adopted the International Tracing Instrument (ITI), which provides a framework for governments to cooperate with one another in weapons tracing – fulfilling one of the commitments governments made in the Programme of Action.

Countering organized crime: the Firearms Protocol

All UN Member States have agreed to adopt the Convention against Transnational Organized Crime and its three protocols as legally binding instruments, and to consider becoming a party to them. One of those protocols is the Firearms Protocol. It provides a framework for States to control and regulate legal arms, prevent their diversion into illegal circuits, and facilitate the investigation and prosecution of related offences. The Protocol promotes and strengthen international cooperation and developing mechanisms to prevent, combat and eradicate the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition. Meetings under this UN process are held in Vienna, and serviced by the UN Office on Drugs and Crime.

Periodic review of implementation

A review conference on the Programme of Action is convened every six years. Between review conferences, Biennial Meetings of States (BMS) are held. Additionally, countries have held Meetings of Governmental Experts (MGE) to benefit from the knowledge of technical specialists on matters pertaining to small arms control.

Timeline PoA process and meetings

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001</td>
<td>Adoption PoA</td>
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<tr>
<td>2003</td>
<td>BMS1</td>
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<tr>
<td>2005</td>
<td>Adoption ITI BMS2</td>
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<td>RevCon1</td>
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<td>2008</td>
<td>BMS3</td>
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<td>2010</td>
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<td>2011</td>
<td>MGE1</td>
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<td>2014</td>
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<tr>
<td>2016</td>
<td>BMS6</td>
</tr>
<tr>
<td>2018</td>
<td>RevCon3</td>
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June 2018
Small arms and the 2030 Agenda for Sustainable Development

The 2030 Agenda for Sustainable Development has created a linkage between peace and security on one hand and development on the other. The full and effective implementation of the PoA and its International Tracing Instrument (ITI) is of importance for attaining Goal 16 on peace, justice and strong institutions and its Target 16.4 which calls for a significant reduction of illicit arms flows. At BMS6 States agreed to make use of existing national reports under the PoA and the ITI to support data collection for relevant SDG indicators and to provide assistance for building sustainable capacity to report on small arms and light weapons under indicator 16.4.2.

Small arms and the Security Council

The United Nations Security Council has been increasingly concerned with the issue of small arms and light weapons. Every two years the Council holds a thematic meeting on small arms. In 2015, the Security Council adopted its second resolution dedicated to the issue (S/RES/2220). In 2017, the Security Council discussed the Secretary-General’s report S/2017/1025.

The role of the Office for Disarmament Affairs

- Organize, service and support meetings on the PoA and ITI;
- Facilitate exchanges of information;
- Provide technical advice and assistance, incl. through Regional Centres;
- Develop tools, guidelines, standards to facilitate implementation;
- Promote system-wide coordination among relevant UN partners;
- Cooperate with relevant regional and international organizations;
- Develop and manage trust fund arrangements in cooperation with States wishing to contribute, and UN system partners.

Consistent, high-quality advice

The United Nations makes available a set of international small arms control standards (ISACS), which provide practical, authoritative guidance to practitioners and policymakers on a broad range of small arms control issues. Visit www.smallarmsstandards.org.


Supporting activities


The Secretary-General has recently announced he will establish an ambitious trust facility under the Peacebuilding Fund for sustained, multi-faceted, comprehensive, multi-year programming on SALW control.

For more information, contact conventionalarms-unoda@un.org or visit www.un.org/disarmament/salw.

June 2018
**Call for contributions 2018-2019**

UNSCAR receives dozens of project proposals per year, from all regions. It sponsors the most relevant activities through a competitive selection process.

Member States willing to assist other States on arms regulation, can show concrete commitment to the Programme of Action on the illicit trade in small arms and light weapons – in the year of its review conference – by joining the growing group of governments contributing to UNSCAR.

Contact us regarding contributions for the 2018-2019 cycle at unscar-unoda@un.org.

**UNSCAR: action where it counts most**

The world has come to realize that illicit arms do colossal damage to development. Armed violence demolishes societal fabrics. It’s the main reason for people fleeing their homes, and for food insecurity. Easily available illicit guns threaten electoral processes, undermine police authority, and deeply harm peacekeeping. Their presence enables sexual violence and the recruitment of child soldiers – and makes public health costs soar. Armed insecurity is the number one reason businesses decide not to invest in a country.

Areas where weapons are poorly controlled, struggle with making progress on virtually every development goal.

Governments have recognized that communities all over the world suffer from the effects of poorly controlled arms. They’ve agreed to *significantly reduce arms trafficking* by 2030, and to *strengthen institutions as a means to prevent violence, and combat terrorism and crime*.

This is where security and development intersect. And this is where the UNSCAR trust facility makes a difference.

UNSCAR works with dozens of implementing partners, on all continents, to make legislation better, warehouses more secure, grass-roots organizations better equipped, and communities safer.

UNSCAR has established itself as a main mechanism for funding development-oriented, close-to-the-ground arms regulation and control through the UN. Some 80% of our projects are eligible for Official Development Assistance.

We combine criteria-based project selection with low UN overhead costs and a strong monitoring and evaluation policy – ensuring high value for money.

In only a few years, our trust facility has become the key vehicle for bridging the compartmentalised security and development communities. UNSCAR stands ready to receive funding from Member States for next year’s cycle, enabling sustained support for arms regulation initiatives that save lives.
**How does it work?**

Any government can contribute to UNSCAR. In doing so, contributors will become members of the UNSCAR Strategic Planning Group. It holds semi-annual discussions on thematic priorities and fund allocation.

Governments wishing to receive assistance can work with an eligible entity – which then submits a tailored proposal to UNSCAR. Contact unscar-unoda@un.org for assistance in finding a promising implementing partner.

UNSCAR can receive proposals from four types of implementing partners:
- United Nations and other international organizations
- Regional organizations
- Non-governmental organizations
- Research institutes.

Applicants are encouraged to tailor their proposals to the assistance needs expressed by Member States in their national reports on the Programme of Action – and many have done so.

UNSCAR strives for a diverse portfolio. To that end, it fosters the submission and selection of projects
- from different regions
- that support the 2030 Sustainable Development Goals
- that show gender-sensitivity
- and are Official Development Assistance-eligible.

It maintains a funding cap per project, to ensure the widest footprint. See www.un.org/disarmament/unscar for the current cap.

**Coordination, monitoring, evaluation**

UNSCAR makes sure implementing partners coordinate to seek synergies in activities and to avoid duplication of efforts. UNSCAR also cross-checks with relevant trust funds, to avoid overlap.

So that outcomes carry maximum value, rigorous monitoring and evaluation of projects is an inherent part of the UNSCAR approach.

**Making a difference**

Since its inception, UNSCAR has supported 52 projects on a total budget of US$ 7.7 million in all regions of the world.

**Areas addressed:**

- Legislation
- weapons destruction
- end use/r controls
- gender
- border controls
- South-South cooperation
- reporting
- stockpile management
- countering craft production
- national points of contact
- public awareness

**Special-circumstances projects**

UNSCAR includes a separate envelope for special-circumstances projects, which provide rapid response support to emergency situations, e.g. when a natural disaster destroys an ammunition depot. These projects can be submitted year round.

**Lowest overhead**

While the standard overhead for the United Nations is 13%, UNSCAR offers a competitive 3% overhead rate, with another 7% for the implementing organization receiving the funds.

**Contribute to UNSCAR**

When a project we finance in Sierra Leone assists craft gunmakers to find alternative livelihoods, when parliamentarians around the world are effectively engaged into pressing their governments to take action on arms regulation, or when national weapons stockpiles in Bosnia and Herzegovina are surveyed in order to secure them well, we know we’re on the right track. Governments and the private sector can contribute to UNSCAR.

UNSCAR is supported by:

[Image showing flags of participating countries]

Contact us at unscar-unoda@un.org

Visit www.un.org/disarmament/unscar
The United Nations Regional Centre for Peace and Disarmament in Africa (UNREC) was established by the United Nations General Assembly in 1986 in Lomé, Togo through resolution 40/151 G.

UNREC, as a regional centre of the United Nations Office of Disarmament Affairs (UNODA), is mandated to provide, upon request, substantive support for initiatives and other practical efforts of Member States of Africa towards the realization of measures of peace, arms limitations and disarmament. UNREC assists African Member States in their efforts to effectively implement their obligations found in various disarmament, arms regulation and confidence-building instruments and to reform their defence and security forces. The Centre supports African States, the African Union and subregional organisations by strengthening their capacity and providing them with the technical, legal and substantive assistance necessary to achieve sustainable peace and security.

**CURRENT AND RECENT UNREC ACTIVITIES**

1. UNREC is currently assisting States in the Sahel region to prevent the diversion and illicit trafficking of small arms and light weapons and ammunition by improving their physical security and stockpile management procedures (PSSM). More information on the PSSM project is available at [www.google.com/3kVQVX](http://www.google.com/3kVQVX).

2. UNREC is implementing a project on gender and disarmament with participation by women associations and government gender focal points in the Lake Chad Basin region (Cameroon, Chad, Niger and Nigeria), which is affected by the Boko Haram crisis. The aim of this project is to empower women to take part in disarmament and arms control activities in the region, and to raise their awareness about the links between illegal arms trafficking and terrorist activities.

3. UNREC is implementing a project to support the implementation of Security Council resolution 2178 (2014), which calls for the disarmament of all foreign terrorist fighters. This project aims to build the capacities of African States to prevent the diversion of small arms, light weapons and ammunition to non-State armed groups. The project is being implemented in four States of the Lake Chad Basin: Cameroon, Chad, Niger and Nigeria. More information is available at [www.google.com/gRwXMu](http://www.google.com/gRwXMu).

4. UNREC is also implementing a project to support the Government of the Republic of Togo’s efforts in arms marking, rehabilitation of depots and destruction of obsolete weapons and ammunition. Besides promoting the achievement of Target 16.4 of the Sustainable Development Goals (SDGs), which calls for the reduction of illicit arms flow, this project will also contribute towards the attainment of the African Union’s vision of “Silencing the Guns by 2020” as foreseen in its Agenda 2063.

5. UNREC has developed a Practical Guide on Disarmament in French, reflecting the full range of topics related to international and regional instruments on disarmament and arms control with a focus on Africa. The document is aimed at diplomats and experts in African States and is available at [www.unrec.org/guide](http://www.unrec.org/guide).
As the sole UN regional entity mandated to address disarmament issues in Africa, UNREC cooperates with national entities, regional and subregional organizations, the United Nations system and civil society organizations. UNREC’s projects are funded through voluntary contributions from Member States and other donors.
The UN Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD) assists countries in Asia and the Pacific in achieving their peace, security and disarmament goals, through provision of substantive support; coordination of activities at the subregional, regional and international levels; and information sharing on global and regional activities.

UNRCPD works in close partnership with regional and sub-regional organisations, as well as with other United Nations entities and civil society organisations. The Centre focuses its activities in three main areas: providing capacity building and technical assistance, creating and participating in dialogue fora, and engaging in outreach and advocacy on disarmament and arms control issues.

Former UN Secretary-General Ban Ki-moon

‘I would like to call on all Asia-Pacific States to work closely with the Regional Centre in strengthening the capacity of governments and civil society to achieve disarmament goals’.

Message for the opening of the Centre in Kathmandu, August 2008
AREAS OF ASSISTANCE

- Promote the **universalisation** and provide **substantive support** for the full implementation of global disarmament, arms control and non-proliferation treaties and norms.
- Assist States to effectively implement the provisions of the **Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons (SALW) in All Its Aspects** (PoA) to combat illicit small arms and light weapons, including the provision of technical and legal assistance, and training courses.
- In cooperation with the Secretariat of the **Arms Trade Treaty** (ATT), provide support to Member States in their accession to and implementation of the ATT.
- Promote **dialogue and confidence-building** on global and regional issues related to disarmament, arms control and non-proliferation, including through the organisation of conferences, workshops and seminars.
- Assist States in strengthening their capacity to fully implement **UN Security Council Resolution (UNSCR) 1540 (2004)**.
- **Peace and disarmament education** to meet post-conflict challenges in the region.

RECENT ACTIVITIES

- Joint UNITAR training programme for Southeast Asian States (Hiroshima, Mar. 2018).
- Director delivers lecture at Nepal Police College on SALW control (Kathmandu, Feb. 2018).
- Kathmandu’s Lincoln School visits UNRCPD (Kathmandu, Jan. 2018).
- National interagency round-table meeting on the implementation of UNSCR 1540 (Turkmenistan, Jan. 2018).
- Regional Seminar for Southeast Asia on Illicit Trafficking and Diversion of SALW, Other Conventional Arms and Ammunition (Cambodia, Dec. 2017).

DONORS

- European Union
- Australia
- Austria
- Canada
- China
- Germany
- Japan
- Nepal
- Republic of Korea
- Thailand

The 43 countries covered by the UNRCPD mandate

- Afghanistan
- Australia
- Bangladesh
- Bhutan
- Brunei Darussalam
- Cambodia
- China
- Democratic People's Republic of Korea
- Fiji
- India
- Indonesia
- Japan
- Kazakhstan
- Kiribati
- Kyrgyzstan
- Lao People's Democratic Republic
- Malaysia
- Maldives
- Marshall Islands
- Micronesia, Federated States of
- Mongolia
- Myanmar
- Nauru
- Nepal
- New Zealand
- Pakistan
- Palau
- Papua New Guinea
- Philippines
- Republic of Korea
- Samoa
- Singapore
- Solomon Islands
- Sri Lanka
- Tajikistan
- Thailand
- Timor-Leste
- Tonga
- Turkmenistan
- Tuvalu
- Uzbekistan
- Vanuatu
- Viet Nam
UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean

...strengthening peace and security through disarmament

The UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC) forms part of the United Nations Office for Disarmament Affairs (UNODA) and is headquartered in Lima, Peru. Since its creation by the General Assembly in 1986, UNLIREC has been strengthening the capacity of Member States to achieve sustainable peace and security through disarmament, arms control and non-proliferation.

“There can be no sustainable development without peace and no peace without sustainable development.”

-2030 Agenda for Sustainable Development-

Mandate

Provide, on request, substantive support for the initiatives and other activities of the Member States of the region for the implementation of measures for peace and disarmament and for the promotion of economic and social development.

“There is no progress in regional disarmament can create conditions that promote disarmament and relax tension at the global level”

-UN Group of Governmental Experts-

MAIN CONTRIBUTIONS

Provided technical assistance to Member States in the region to:

Combat illicit SALW trafficking

- Increased capacity of over 4,000 security and justice officials.
- Destroyed close to 104,000 weapons and 126 metric tons of ammunition
- Enhanced security of more than 140 stockpile facilities.
- Supported the incorporation of standardized procedures for small arms control operations.
- Supported marking of nearly 2,000 firearms held by private security companies.

Improve control over conventional arms trade

- Delivered specialized ATT implementation capacity-building to over 350 national authorities.

Support national measures to prevent WMD proliferation to non-state actors


Extensive bilingual in-house disarmament policy, legal and technical experts
PUBLIC SECURITY

- Security and justice sector training to combat illicit SALW trafficking
- Stockpile management and destruction training and assistance
- Forensic ballistics capacity building and systems development
- Small arms control assistance for the private security sector and regulatory authorities
- Armed violence reduction strategy development for national and local governments
- Applied policy research on small arms control, trafficking and armed violence

ARMS CONTROL AND NON-PROLIFERATION

- Promotion of international instruments, inter alia:
  - UN Programme of Action on Small Arms
  - International Tracing Instrument
  - UNSCR 1540 (2004)
  - Gender-related resolutions (UNSCR 1325; A/res/65/69)
  - Arms Trade Treaty
- Technical guidance, courses and specialized tools for ATT and PoA implementation
- Legal assistance in developing/modernizing normative frameworks
- Support in the creation of 1540 multi-sector bodies and development of national action plans

CONFIDENCE AND SECURITY-BUILDING MEASURES

- Disarmament and non-proliferation courses for diplomats and defence sector personnel
- Promotion of regional dialogue on disarmament, arms control and non-proliferation
- Support in the elaboration of Defence White Papers
- Promotion of standardized methodologies in the comparison of military expenditures

Current Assistance Packages

- Combating Illicit SALW and Ammunition Trafficking through Operational Forensic Ballistics
- Small Arms and Light Weapons Control in Latin America and the Caribbean
- Security Sector Training to Prevent Illicit Trafficking in SALW, Ammunition and Explosives
- Mitigating the Risk of Diversion through ATT support
- Destruction and Stockpile Management of SALW and their Ammunition
- Building Momentum for the Regional Implementation of A/res/65/69 on Women, Disarmament, Non-Proliferation and Arms Control

* All packages are aligned with Agenda 2030 and the Sustainable Development Goals
**PLANNED SIDE EVENTS**

Side events are booked directly through eMeets ([emeetsm@un.org; emeets@un.org](mailto:emeetsm@un.org; emeets@un.org)); NGO side events should be coordinated through IANSA ([rose.welsch@iansa.org](mailto:rose.welsch@iansa.org)); Contact [tegay@un.org](mailto:tegay@un.org) to include approved side events in this calendar.

Calendar is updated regularly. Check [www.un.org/disarmament/revcon3](http://www.un.org/disarmament/revcon3) for most up-to-date version.

<table>
<thead>
<tr>
<th>DATE</th>
<th>VENUE/TIME</th>
<th>TITLE AND ORGANIZER</th>
</tr>
</thead>
<tbody>
<tr>
<td>MON, 18 JUN</td>
<td>Conference Room C</td>
<td>Global Numbers on Arms Holdings: Small Arms Survey</td>
</tr>
<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>Permanent Mission of Australia, Small Arms Survey</td>
</tr>
<tr>
<td>TUE, 19 JUN</td>
<td>Conference Room 7</td>
<td>Paving the way to RevCon3 and beyond. Implementation of the European Council Decision in support of the 2018 Review Conference of the UN Programme of Action</td>
</tr>
<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>The Graduate Institute Geneva, EU</td>
</tr>
<tr>
<td></td>
<td>Conference Room D</td>
<td>Building National Capacity in Weapons and Ammunition Management to Sustain Peace and Prevent Conflict</td>
</tr>
<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>Permanent Mission of France, UNMAS</td>
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<tr>
<td></td>
<td>German House</td>
<td>How the African Union and African Regional Organizations lead the way in silencing the guns</td>
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<tr>
<td></td>
<td>(871 UN Plaza, 1st Ave,</td>
<td>Germany, AU, ECOWAS, Bonn International Centre for Conversion (BICC)</td>
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<tr>
<td></td>
<td>between 48th &amp; 49th Street)</td>
<td>1:15 pm – 2:45 pm</td>
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<td></td>
<td>*Light lunch provided</td>
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<tr>
<td></td>
<td>Conference Room A</td>
<td>Trends, challenges and opportunities to contain cross-border arms trafficking</td>
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<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>24-0 Mexico, IANSA, Mexico</td>
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<tr>
<td></td>
<td>German House</td>
<td>Experiences with post-shipment verification measures for arms exports</td>
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<tr>
<td></td>
<td>(871 UN Plaza, 1st Ave,</td>
<td>Switzerland, Germany</td>
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<tr>
<td></td>
<td>between 48th &amp; 49th Street)</td>
<td>8:30 am – 9:45 am</td>
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<tr>
<td></td>
<td>*Breakfast provided</td>
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<tr>
<td>WED, 20 JUN</td>
<td>Conference Room 7</td>
<td>International Tracing Instrument (ITI) and the Way Forward: Examining Possible Options to Support the Operationalization of the ITI</td>
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<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>Australia, France, UNIDIR</td>
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<tr>
<td>DATE</td>
<td>VENUE/TIME</td>
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</tbody>
</table>
| WED, 20 JUN | Conference Room 11  
1:15 pm – 2:30 pm | Implementation of Conventional Arms Control Instruments – Innovation and Challenges in the Commonwealth  
Commonwealth Secretariat |
|          | Conference Room 7  
1:15 pm – 2:30 pm | Conflict Tracing ('iTrace III')  
Conflict Armament Research, EU |
|          | Conference Room D  
1:15 pm – 2:30 pm | Ammunition Control Practices in Latin America and the Caribbean  
UNLIREC, Germany |
|          | Conference Room A  
1:15 pm – 2:30 pm | Integrating Gender in Small Arms and Light Weapons through Goal 16.4 of the Sustainable Development Goals  
Women's Right to Education Programme (WREP) |
|          | Conference Room F  
1:15 pm – 2:30 pm | Humanium Metal: An innovative approach towards implementing SDG 16  
El Salvador, Sweden, The Survivors Network of El Salvador, IM Swedish Development Partner |
| THUR, 21 JUN | Permanent Mission of the Netherlands (18th Floor, 666 Third Ave)  
1:15 pm – 3:00pm | Monitoring SDG 16: Arms Flows and Violent Deaths in North Africa and the Sahel  
Small Arms Survey, Permanent Mission of the Netherlands |
|          | German House (871 UN Plaza, 1st Ave, between 48th & 49th Street)  
1:15 pm – 2:45 pm | Regional Approaches to Addressing the Illicit Trade in Small Arms and Light Weapons – Innovative practices from the Western Balkans  
France, Germany, UNDP/SEESAC |
| FRI, 22 JUN | Conference Room C  
8:30 am – 10:00 am | Legal loopholes and terrorism: Converted firearms in Europe and beyond  
Permanent Mission of France, Small Arms Survey, Flemish Peace Institute |
|          | Conference Room F  
8:45 am – 9:30 am | UNSCAR 2018 Call for Proposals: Instructions for potential applicants  
UNSCAR |
|          | Conference Room A  
1:15 pm – 2:30 pm | Mapping the web: Developing SALW documentation and tracing systems in West Africa  
Conflict Armament Research, ECOWAS, UNSCAR |
|          | Conference Room D  
1:15 pm – 2:30 pm | Profiling Ammunition Seized at Border Controls and Recovered from Crime Scenes Across Latin America and the Caribbean: Case Studies and Methodology (Dominican Republic and Peru)  
UNLIREC, Germany, |
<table>
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<tr>
<th>DATE</th>
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<tbody>
<tr>
<td>FRI, 22 JUN</td>
<td>Conference Room 9</td>
<td>Fighting Illicit Trafficking of Firearms and Monitoring SDG 16.4: From Data Collection to Effective Action</td>
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<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>Permanent Mission of Italy, UNODC</td>
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<td><em>Light lunch will be provided between 12:45 &amp; 1:15 on the ramp by the Vienna Café</em></td>
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<tr>
<td>MON, 25 JUN</td>
<td>Conference Room 7</td>
<td>Gender lenses on – how does it change the impact of firearms control?</td>
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<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>UNDP SEESAC, EU</td>
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<tr>
<td></td>
<td>Conference Room 11</td>
<td>Connecting the Dots: Supporting the 2030 Agenda, the Arms Trade Treaty and the United Nations Programme of Action on Small Arms implementation through increased parliamentary engagement and action in international processes</td>
</tr>
<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>Parliamentary Forum on Small Arms and Light Weapons and International Physicians for the Prevention of Nuclear War IPPNW, Permanent Mission of Sweden</td>
</tr>
<tr>
<td>TUE, 26 JUN</td>
<td>Conference Room B</td>
<td>Implementación del UNPoA en Guatemala y países de la región: éxitos, retos y desafíos (Implementation of the UNPoA in Guatemala and countries of the Central American region: Success and challenges)</td>
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<tr>
<td></td>
<td>8:30 am – 9:30 am</td>
<td>IEPADES, Permanent Mission of Guatemala</td>
</tr>
<tr>
<td></td>
<td>Conference Room A</td>
<td>EMPACT FIREARMS: How the EU’s law enforcement network is curbing firearms trafficking inside its border and abroad</td>
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<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>EMPACT FIREARMS/Guardia Civil</td>
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<tr>
<td></td>
<td>Conference Room 7</td>
<td>Briefing: UN Register of Conventional Arms (UNROCA) and UN Report on Military Expenditures (MilEx)</td>
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<td>1:15 pm – 2:30 pm</td>
<td>UNODA/CAB</td>
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<tr>
<td></td>
<td>Conference Room 12</td>
<td>Tracing Islamic State Weapons in Iraq</td>
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<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>Conflict Armament Research, Germany</td>
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<tr>
<td></td>
<td>Conference Room F</td>
<td>A Call to Action on Gender and Small Arms Control</td>
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<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>IANSA Women’s Network, Permanent Mission of Trinidad and Tobago</td>
</tr>
<tr>
<td>WED, 27 JUN</td>
<td>Conference Room 9</td>
<td>Promoting Cooperation in Weapons and Ammunition Management (WAM) in Somalia</td>
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<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>The Federal Government of Somalia, Finland, UNIDIR</td>
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<tr>
<td></td>
<td>Conference Room A</td>
<td>National gun laws: International lessons learned</td>
</tr>
<tr>
<td></td>
<td>1:15 pm – 2:30 pm</td>
<td>IANSA, Germany</td>
</tr>
</tbody>
</table>