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SMALL-ARMS-CONTROL
IMPLEMENTATION COMPENDIUM

MOSAIC
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Designing and implementing a National Action Plan

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Foreword

What is MOSAIC?

MOSAIC translates into practice the objectives of key global agreements aiming to prevent the illicit trade, destabilizing accumulation and misuse of small arms and light weapons, including:

- the Programme of Action on the illicit trade in small arms and light weapons
- the International Tracing Instrument
- the Firearms Protocol supplementing the UN Convention against Transnational Organized Crime
- the Arms Trade Treaty.

MOSAIC modules are based on good practices, codes of conduct and standard operating procedures that have been developed at (sub-)regional levels. They were developed by the UN, benefitting from the very best technical advice from experts around the world.

MOSAIC is a completely voluntary toolkit.

MOSAIC supports the achievement of the Sustainable Development Goals, including Goal 16 to promote peaceful, just and inclusive societies and its target 16.4 that includes a significant reduction in illicit arms flows.

Who developed MOSAIC?

Governments often call upon the UN system to provide advice and support on issues related to small arms and light weapons control — including on legislative, programmatic and operational matters.

UN agencies decided that the best way to ensure that the United Nations as a whole could consistently deliver high-quality advice and support in response to such requests, was to develop international guidance on small arms and light weapons control, similar to the standards the UN developed in the areas of mine action (International Mine Action Standards – IMAS); disarmament, demobilization and reintegration (Integrated DDR Standards – IDDRS); and ammunition (International Ammunition Technical Guidelines – IATG).

The compendium is the result of a decade of coordinated work within the UN system, involving 24 partner entities with expertise ranging from development and weapons management to gender and public health. An external expert reference group of over 300 specialists, from NGOs to industry, completed the sturdy process of establishing each module.

Who can use MOSAIC?

MOSAIC can be used by any government or organization. Properly basing small-arms control endeavours on MOSAIC modules, reduces the risk of weapons falling into the hands of criminals, armed groups, terrorists and others who would misuse them.

MOSAIC. Good practices for safer societies.

Introduction

The illicit trade, destabilising accumulation and misuse of small arms and light weapons can present complex challenges to affected States that cannot be addressed by stand-alone arms control initiatives. The design and implementation of an inclusive, coherent, sustainable and conflict sensitive National Action Plan on small arms and light weapons control can be an effective means of addressing such complex challenges.

Building upon the findings and recommendations of a small arms and light weapons survey (see MOSAIC 05.10), a National Action Plan engages key actors – e.g. from government, civil society and the international community – in the pursuit of clearly defined goals and objectives designed to reduce the impact on society of the misuse of small arms and light weapons.

Designing and implementing a National Action Plan

1 Scope

This document provides guidance on designing, implementing, monitoring and evaluating a National Action Plan to prevent the illicit trade, destabilising accumulation and misuse of small arms and light weapons.

It is intended primarily to guide UN entities that are supporting governments to develop a National Action Plan to effectively control the full lifecycle of small arms and light weapons, but may also be useful to international and regional organisations, civil society and the private sector providing similar support. The document may also be used directly by governments to guide the process of developing a National Action Plan.

A National Action Plan on small arms and light weapons control can address armed violence and related insecurity in a range of contexts, including those involving inadequate controls over State-held weapons, armed criminality, urban gangs, inter-ethnic conflict and post-conflict instability.

A National Action Plan can encompass a range of responses to such challenges, which may include arms control initiatives that seek to address the supply of small arms and light weapons, as well as broader socio-economic development initiatives that seek to address the demand for small arms and light weapons.

A National Action Plan can equally provide strategic direction for preventive action in countries that are not currently suffering the affects of the illicit trade, destabilising accumulation and/or misuse of small arms and light weapons, but that are vulnerable in this regard due to geographic, economic, political or other factors.

This document focuses primarily on the design and implementation of s comprehensive National Action Plan but also provides guidance relevant to the development of narrower, more locally focused small arms and light weapons control programmes.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

MOSAIC 03.40, *National coordinating mechanisms on small arms and light weapons control*

MOSAIC 04.30, *Raising awareness of the need for small arms and light weapons control*

MOSAIC 04.40, *Monitoring, evaluation and reporting*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in MOSAIC 01.20, *Glossary of terms, definitions and abbreviated terms*, and the following, apply.

In all MOSAIC modules, the words 'shall', 'should', 'may' and 'can' are used to express provisions in accordance with their usage in International Organization for Standardization (ISO) standards.

- a) **“shall” indicates a requirement:** It is used to indicate requirements strictly to be followed in order to conform to the document and from which no deviation is permitted.
- b) **“should” indicates a recommendation:** It is used to indicate that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required, or that (in the negative form, 'should not') a certain possibility or course of action is deprecated but not prohibited.
- c) **“may” indicates permission:** It is used to indicate a course of action permissible within the limits of the document.
- d) **“can” indicates possibility and capability:** It is used for statements of possibility and capability, whether material, physical or causal.

4 Key characteristics of a National Action Plan

4.1 General

A National Action Plan on small arms and light weapons control is a comprehensive plan to prevent, combat and eradicate the illicit trade, destabilising accumulation and misuse of small arms and light weapons at the national level and to address associated social, economic and environmental impacts. A National Action Plan may operate over the short, medium or long term and may include short-, medium- and long-term objectives.

A National Action Plan provides an effective tool to develop a broad, coherent and inclusive strategy to address the complex, multi-layered problems associated with violence and insecurity related to small arms and light weapons.

4.2 National in scope and ownership

A National Action Plan should be national in scope and should

- a) Address problems related to the illicit trade, destabilising accumulation and misuse of small arms and light weapons across the national territory, rather than in a predetermined or selective number of areas, having due regard for relevant rights of sovereignty;
- b) include initiatives at the national, sub-national (i.e. regional) and local levels, which may, where appropriate, include pilot projects; and
- c) be officially endorsed by the government of the State where it is to be implemented.

The process of designing, implementing, monitoring and evaluating a National Action Plan should be led by the government, with active participation by national civil society. Regional and/or international organisations, such as the United Nations, may be invited to support the process.

The government may designate regional or international partners to take lead roles in one, more or all aspects of the National Action Plan. In such cases, the principle of national ownership shall not be undermined.

4.3 Comprehensive in nature

A broad range of factors are likely to drive the illicit trade, destabilising accumulation and/or misuse of small arms and light weapons in a particular country, meaning that the problem in a specific national context is likely to be complex, requiring intricate and multi-faceted responses. A National Action Plan should take account of this complexity and be comprehensive in nature. Specifically, a National Action Plan should

- a) take as its starting point the findings and recommendations of a comprehensive national small arms and light weapons survey, conducted in accordance with MOSAIC 05.10, *Conducting small arms and light weapons surveys*;
- b) be specifically attuned to the State for which it is developed;
- c) be designed with consideration for the full range of possible small arms and light weapons control initiatives; and
- d) promote a whole-of-government approach to small arms and light weapons control and armed violence prevention.

5 Guiding principles

5.1 General

The design and implementation of a National Action Plan should be based on the following guiding principles.

5.2 Participation and inclusiveness

The design and implementation of a National Action Plan should involve all actors with a legitimate stake in the process. Such stakeholders may include those

- a) suffering the consequences of the illicit trade, destabilising accumulation and misuse of small arms and light weapons;
- b) involved in the legal manufacture and legal international and domestic trade in small arms and light weapons;
- c) concerned with ensuring the safe, responsible and legal use of firearms, including civil society organisations, hunting and sport shooting organisations, etc.; and
- d) capable of contributing to the success of small arms and light weapons control initiatives.

Partners should be drawn from the national, provincial, municipal and local community levels. The active and meaningful participation of a wide, diverse and representative group of relevant actors is important in developing a shared sense of ownership, which is itself critical to the success and sustainability of a National Action Plan.

A transparent and open approach to the sharing of information relating to the National Action Plan should be adopted.

A National Action Plan should equitably promote small arms and light weapons control without discriminating against any individual or group. The rights and needs of all citizens should inform the

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design and implementation of a National Action Plan. Where priorities need to be identified this should be done without discrimination against any individual or group.

A National Action Plan should reflect the needs of all those touched by small arms and light weapons-related violence and insecurity, and in particular the needs of children, adolescents and youth. A National Action Plan should also recognise and address the different needs, experiences and roles of women and men, boys and girls, in relation to small arms and light weapons related violence and insecurity, and in relation to the solutions to these problems.

The process of designing and implementing a National Action Plan should be founded on co-operation between participating departments, agencies, organisations, private companies and individuals; and at all levels.

NOTE The effectiveness of a National Action Plan may be determined in part by the degree of and manner in which co-operation occurs. This co-operation may be particularly important between government agencies, between government agencies and civil society, and between government agencies and international actors (neighbouring states, donor governments, international agencies etc.).

5.3 Sustainability

The means by which a National Action Plan proposes to address the negative impacts of small arms and light weapons misuse should address immediate crises as well as longer-term problems. A National Action Plan should be designed to create changes in attitude and practice that will persist, in the long term, beyond the lifespan of the plan itself. The development of national and local capacities should therefore be central to a National Action Plan, which should

- a) be based on a realistic assessment of existing and potential human and material capacity to support the implementation of the plan;
- b) consider, in all its elements, how capacity can be developed to meet short and long term needs;
- c) dedicate time and resources to the development of national and local capacities; and
- d) be expected to show measurable benefits that outweigh the costs (financial and social) of implementation.

5.4 Coherence

A National Action Plan should be informed by an accurate and realistic assessment of the national context and needs in relation to small arms and light weapons control, taking into account local customs and attitudes to the possession of small arms and light weapons and their legitimate use.

In order to ensure coherence, a National Action Plan should take account of other relevant policies, programmes and processes that are under development or already being implemented in the State in question, with a view to promoting opportunities for co-operation, collaboration and resource sharing.

A National Action Plan should, where possible, be integrated into, or aligned with, national development strategies and security system reform strategies and programmes.

5.5 Comprehensiveness

A National Action Plan should be designed to address as comprehensively as possible the negative impacts of small arms and light weapons misuse. In an affected country, the small arms problem is likely to be complex and a range of activities will likely be required to address it effectively. A National Action Plan should therefore include the full range of activities needed to promote effective small arms and light weapons control, while ensuring that realistic and achievable goals and objectives are set.

5.6 Flexibility

In its design, a National Action Plan should reflect the unique circumstances of the country in which it is to be implemented. Templates, experiences and effective practices from other countries may be used, but should be adapted to the specific context of the State for which the plan is designed.

In its implementation, a National Action Plan should be responsive to changing circumstances and should include mechanisms for on-going monitoring and periodic review. The adoption of a flexible attitude – being open to new ideas and remaining responsive to changing circumstances on the ground – can be critical in ensuring success.

A National Action Plan, by its nature national in scope, pre-supposes a degree of central direction and involvement by the national government. In part, the development and implementation of a National Action Plan is necessarily top-down; as nation-wide responses are developed to problems affecting the country as a whole.

However, the process of designing and implementing a National Action Plan should, at the same time, be reflective of the diversity of local needs, experiences and capacities throughout the country. The identification of problems and solutions, the design of specific activities in local communities and leadership in the implementation of these activities should emanate from the local communities themselves. A National Action Plan should therefore be a flexible combination of top-down and bottom-up approaches.

5.7 Safety

Small arms, light weapons and their ammunition are hazardous items (i.e. they are a potential source of harm). Likewise, certain small arms and light weapons control initiatives (e.g. surveys or collection programmes) can put organizers and participants in harm's way. Those designing and implementing a National Action Plan have a duty of care both to the local population and to those involved in implementing the plan to ensure that activities are carried out in a safe manner.

5.8 Conflict sensitivity

The development of a National Action Plan should, where necessary, be preceded and informed by an assessment of potential or existing causes of conflict.

The plan should be designed to minimise any potentially negative impacts its implementation might have on identified conflict dynamics (e.g. inter-communal conflict, resource conflict, etc.), as well as to exploit any opportunities to promote the management or resolution of conflict.

If necessary, periodic evaluations of conflict dynamics should take place during the implementation of the National Action Plan, and amendments made to programme interventions as required.

6 Goals and objectives

6.1 Goals

A National Action Plan shall have goals that are clearly defined, achievable and measurable. A number of factors may inform how these goals are formulated.

The findings and recommendations of a comprehensive small arms and light weapons survey — conducted in accordance with MOSAIC 05.10 — should be the primary factors shaping the goals of a National Action Plan.

To the extent possible, the goals of a National Action Plan should be aligned with compatible existing government policies and programmes, as well as with relevant regional and international political and treaty commitments.

6.2 Objectives

A National Action Plan shall determine specific strategic objectives that are to be achieved through the implementation of the Plan. These strategic objectives should be clearly defined, achievable and measurable using appropriate indicators of performance (see Clause 11). The successful achievement of the strategic objectives should, collectively, result in fulfilment of the plan's overall goals.

NOTE The strategic objectives set within individual plans are likely to vary greatly. It is therefore not possible, or desirable, to provide an exhaustive set of potential strategic objectives. For guidance, however, Annex A provides an indicative list of objectives for small arms and light weapons control programming.

6.3 Scope

A National Action Plan should be conceived of as a broad programme to prevent and tackle the impacts of the illicit trade, destabilising accumulation and misuse of small arms and light weapons. The Plan, informed by a comprehensive assessment of the small arms and light weapons problem, should consider a wide range of possible responses. These responses may

- a) address political, social, and economic factors;
- b) involve a wide range of actors from government, international and regional bodies, and civil society (national, provincial, municipal and local), working independently or collaboratively;
- c) focus on the national, provincial, municipal and local levels, while placing the plan in its regional and international context; and
- d) include technical arms control and broader developmental initiatives (seeking synergies between both types of initiative, where possible).

NOTE 1 Here, 'technical arms control' initiatives refer to activities such as weapons collection and destruction, stockpile management and legislative and regulatory reform efforts. 'Developmental' initiatives refer to a broader range of actions that may focus on underlying causes of demand for small arms and light weapons but that do not focus directly on the weapon itself. Such initiatives may include awareness raising and education, and socio-economic programmes in communities affected by armed violence.

NOTE 2 While some National Action Plans may have a bias towards either technical arms control initiatives or developmental initiatives, this bias should reflect the types of challenges that need to be addressed, not the preferences of particular individuals or groups. Ensuring that a broad range of stakeholders – who naturally will have different expertise and opinions – are involved in the design of the plan can be a useful way of ensuring that the plan includes an appropriate range and balance of initiatives.

6.4 Duration

6.4.1 Timeframe

There is no ideal timeframe for the implementation of a National Action Plan. Historically National Action Plans have covered periods from one to five years. One year should be regarded as the shortest possible timeframe for the implementation of a National Action Plan.

A National Action Plan shall set a realistic timeframe for its implementation, i.e. a timeframe that is sufficient for all of the objectives of the Plan to be met. The timeframe chosen should also take into consideration, among other things, factors such as

- a) the availability of funding;
- b) changes in the political environment; and
- c) the likelihood of external circumstances having an impact on planned activities.

Notwithstanding the importance of having a set timeframe for the Plan's implementation, those responsible for implementing the Plan should, through an effective process of monitoring and evaluation (see Clause 11), be flexible and amend the implementation timeframe as necessary and if appropriate.

6.4.2 Evaluation

A National Action Plan may be conceived as one-off initiative, or as the first in a series of small arms and light weapons control efforts.

Following the implementation of a National Action Plan, i.e. at the end of its implementation timeframe, an evaluation shall be carried out in order to

- a) determine the extent to which the Plan achieved its objectives and goals; and
- b) consider what next steps, if any, may need to be taken (see Clause 11).

6.5 Targets and beneficiaries

For the purposes of this module,

- a) a "target" is understood as an actor (individual, group or institution) whose behaviour or attitudes are identified as needing to change in order to achieve the goals and objectives of a National Action Plan; and

NOTE Behaviour in relation to an institution (e.g. a government department or agency) can be expressed through the practices and actions of that institution, while its attitudes can be expressed through its formal policies. A change in behaviour of a government agency may therefore be expressed through a change in its standard operating procedures; a change in its attitudes may be expressed through changes in policies, regulations or law.

- b) a "beneficiary" is understood as an actor (individual, group or institution) that is expected to benefit from the successful implementation of a National Action Plan.

The specific targets and beneficiaries of a National Action Plan should be determined during the Plan's design phase. The choice of targets and beneficiaries should be informed by a comprehensive assessment of the small arms and light weapons problem (see Clause 4.3.a)

Targets and beneficiaries can include individuals, groups of individuals, organisations and institutions and may include both governmental and non-governmental actors, as well as the private and public sectors.

A National Action Plan may identify individuals, groups, organisations and institutions as both targets and beneficiaries.

A National Action Plan shall take into consideration the needs of specific groups — including women, men, children, adolescents and youth — and shall acknowledge and act upon considerations related to gender. In this connection, the design of a National Action Plan, and specifically the choice of targets and beneficiaries, shall be guided by MOSAIC 06.10, *Women, gender and small arms and light weapons*, and MOSAIC 06.20, *Children, adolescents, youth and small arms and light weapons*.

EXAMPLE A range of different factors can inform how the targets and beneficiaries of a National Action Plan are determined. Targets and beneficiaries have been identified in National Action Plans on the basis of factors such as geographic location, sex, age, religion, ethnicity, etc. The actions of individuals or groups may also be used to determine targets and beneficiaries, e.g. criminals or criminal gangs can be identified as actors whose attitudes and behaviour a National Action Plan seeks to influence.

7 Roles and responsibilities of key actors

7.1 General

A National Action Plan, by its very nature, requires the involvement of a wide range of actors in its design and implementation. This clause provides guidance on the specific roles and responsibilities of individuals, groups and institutions that can have significant parts to play in its design and implementation.

NOTE 1 The unique circumstances, goals and objectives of a National Action Plan should determine the actors to be involved in its design and implementation. This clause should therefore be read as indicative and not exhaustive.

NOTE 2 A distinction is made in this document between, on the one hand, actors who may be identified as targets and/or beneficiaries of a National Action Plan and, on the other, actors having a formal role in its design and/or implementation. Nevertheless, some actors may fall into both categories.

7.2 National co-ordinating mechanism

A National Coordinating Mechanism — operating in line with MOSAIC 03.40 — *National coordinating mechanisms on small arms and light weapons control* — should be responsible for the overall design and implementation of a National Action Plan.

Sub-national mechanisms (e.g. at provincial, state or municipal levels) may be established to support the National Coordinating Mechanism.

The roles of the National Coordinating Mechanism in relation to a National Action Plan should include

- a) coordinating and providing strategic leadership to the design of a National Action Plan;
- b) disseminating and promoting the National Action Plan to relevant stakeholders, including in government, international and regional bodies, civil society and the general public;
- c) coordinating implementation of the National Action Plan, including providing oversight and strategic management of the plan's implementation;
- d) ensuring effective communication between all relevant stakeholders in the National Action Plan;
- e) coordinating the monitoring, interim evaluation and, if needed, amendment of the National Action Plan in response to changing operational circumstances; and
- f) leading the final evaluation of the National Action Plan upon its completion and determining next steps.

Where a National Coordinating Mechanism has not been created, the establishment of such a body can form the first stage in the process to develop a National Action Plan. The strengthening of a National Coordinating Mechanism may also be a specific objective of the Plan.

7.3 Government entities

7.3.1 Mandating authority

An appropriate senior national authority should be responsible for providing the mandate for the development of a National Action Plan and for authorizing its implementation once its design is complete.

If a National Authority on small arms and light weapons control exists (see Clause 5 of MOSAIC 03.40, *National coordinating mechanisms on small arms and light weapons control*), it may provide such a mandate.

The mandating authority can differ from country to country, and may include the Head of State or Government, Government Ministers or Heads of government agencies (e.g. the Inspector General of Police).

Government Ministers should be responsible for supporting and promoting the plan publicly and across government, working closely with the National Coordinating Mechanism.

7.3.2 Government officials (National)

Officials from Government Ministries / Departments who participate in the National Coordinating Mechanism on small arms and light weapons control should play a role in the design and implementation of a National Action Plan.

They should also disseminate information on the plan to colleagues within their ministries and departments in order to ensure sufficient levels of awareness and understanding of, and buy-in for, the Plan.

7.3.3 Security sector officials

Senior officials from security sector agencies should play a role in the design and implementation of the National Action Plan, and should oversee the operational implementation of relevant elements of the Plan.

Determining which security sector agencies to involve in the design and implementation of a National Action Plan should be informed by, among other factors, the recommendations of a small arms and light weapons survey and the specific structure and organisation of national security agencies and institutions. Some or all of the following security sector agencies may be involved in the design and implementation of a National Action Plan:

- a) Police
- b) Military
- c) Customs
- d) Corrections
- e) Immigration
- f) Border Control
- g) Intelligence
- h) Aviation Authority
- i) Wildlife

7.3.4 Government officials (provincial, municipal and local)

Senior officials from provincial, municipal and local government should contribute to the identification of problems within their localities that need to be addressed by a National Action Plan. In this role they may act as the voice of their local constituencies.

Senior officials from these levels of government may be responsible for co-ordinating implementation of specific elements of the National Action Plan. They may also have a role to play in raising awareness of, and buy-in for, the Plan among their local populations.

7.4 Parliamentarians

Elected representatives (members of national parliaments and legislatures) should engage in the development of the National Action Plan to ensure that the plan adequately addresses the needs of the population.

Parliamentarians may also be involved in the plan's implementation, in particular, regarding any needed legislative reforms and in holding the government to account on the provisions of the National Action Plan. In this regard, parliamentary committees, where they exist, can have an important role to play in the design and implementation of a National Action Plan.

7.5 Citizens

Citizens should be involved in the design and implementation of the National Action Plan. Where they take on a formal role, it is most likely to be as part of an organised group of some form. These can include civil society organisations (e.g. women's groups, youth groups, community development organisations, religious organisations etc.) and business associations.

The involvement of citizens as actors with a formal role in the design and/or implementation of a National Action Plan should be seen as distinct from the role of citizens as the ultimate source and, in the widest sense, beneficiary of government policy and practice of which a National Action Plan will form part.

NOTE Civil society in many countries encompasses a wide range of actors. The capacity, level of activity, expertise and assumed and permitted roles of civil society actors, both in relation to small arms control and in general, can also vary significantly between countries.

7.6 International, regional and sub-regional organisations

A range of international, regional and sub-regional organisations may be involved in the design and implementation of a National Action Plan, provided that such involvement is requested by the Government and does not infringe upon national sovereignty.

International, regional and sub-regional organisations can play a number of roles including as implementing partners (delivering activities and providing technical expertise), donors, agents of political support, etc. Regardless of the roles played by such organisations, the government in question shall retain the lead role in decision-making.

The types of organisations that can be involved include

- a) United Nations entities;
- b) regional and sub-regional inter-governmental bodies concerned with the preservation of regional and national peace and security; and
- c) international and regional financial institutions.

NOTE 1 In a number of countries, UN agencies have been directly involved in supporting the design and implementation of National Action Plans. A number of UN agencies have been involved in this area of work, with the most active being the United Nations Development Programme (UNDP) and the United Nations Office for Disarmament Affairs (UNODA).

NOTE 2 In a number of regions and sub-regions, the UN has established bodies that specifically support national and regional small arms and light weapons control initiatives. Such UN bodies exist, for instance, in

- South Eastern and Eastern Europe — the South Eastern and Eastern Europe Clearing House for the Control of Small Arms and Light Weapons Control (SEESAC);
- Latin America and the Caribbean — the United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC);

- Africa — The United Nations Regional Centre for Peace and Disarmament in Africa (UNREC); and
- Asia Pacific — The United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD)

7.7 Technical experts

Some countries may have underdeveloped technical capacity and expertise in areas covered by a National Action Plan. This may be offset by engaging specialised individuals or organisations with proven technical expertise in the design of National Action Plans and in the support of their implementation. Such technical experts may have a role as advisors, facilitators, implementers and/or trainers at different stages in the development and implementation of a National Action Plan.

EXAMPLE A wide range of organisations and institutions have expertise that can be relevant to the design and implementation of a National Action Plan. International NGOs in particular have amassed a great deal of expertise in this area. Some UN entities have officials with specific technical expertise, for instance in the area of weapons collection and destruction, as well as programmatic expertise that has been deployed in support of National Action Plans. There are also a number of independent consultants who have contributed to different aspects of National Action Plan implementation. Officials from international donor agencies also have expertise in the design and implementation of National Action Plans through their role as funders of small arms control programmes.

8 Preparations and foundations

8.1 Strategic planning

The design and implementation of a National Action Plan should be planned carefully. Strategic planning should be led by the designated co-ordinating mechanism on small arms and light weapons control (see Clause 7.2) and should be conducted in an open and transparent manner. It should, among other things,

- formulate overall goals and objectives for the National Action Plan;
- determine the scope and nature of any data collection that will take place to inform the development of the National Action Plan, e.g. through a national small arms and light weapons survey;
- identify the political, operational and financing actors who will need to be involved, and how they will be engaged and mobilised; and
- agree the sequencing of activities (timelines), including identifying the key events or activities that must take place and milestones that must be passed in order to achieve the goals of the National Action Plan.

8.2 Leadership

8.2.1 General

In most cases, a National Action Plan will involve a range of different actors at different levels and at different stages of the plan's design and implementation. Regardless of the scope and scale of the Plan, the effectiveness of political and operational leadership is critical to the Plan's success.

8.2.2 Political leadership

Those responsible for leading the design and implementation of a National Action Plan should identify when, how and where political support will be required in order to enable the effective implementation of the Plan. The process and dynamics of creating and maintaining sufficient political support, as well as the location of such support, can be different in different countries.

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Political support can be required at a number of key points during the design and implementation of a National Action Plan. These points can include

- a) at inception, to gain a mandate to initiate the process of developing the plan, and to ensure the initial buy-in and active involvement of relevant stakeholders, e.g. government entities, parliament, civil society, etc.;
- b) when a National Action Plan has been developed and requires formal approval, to ensure that the public, all relevant government entities, parliament, etc. are supportive of the National Action Plan; and
- c) during implementation, when unforeseen obstacles are encountered, activities are amended, or momentum is lost, to ensure the continued engagement of all relevant stakeholders.

High-level support from Ministers and/or the Head of State or Government may be required for a National Action Plan, dealing as it does with sensitive issues often relating to national security and law and order.

More regular engagement and support may also be required from senior officials within government ministries, departments and agencies to overcome the inevitable challenges and differences of opinion that will emerge. Some ministries, departments and agencies may more readily support and buy-into a plan on small arms and light weapons control than others. Effective political leadership from those more readily supportive institutions can be important in ensuring the engagement of all other relevant actors.

8.2.3 Operational leadership

A body or individual should be designated to lead the design and implementation of a National Action Plan. Where a national co-ordinating mechanism exists (see Clause 7.2), it should assume this lead role.

The designated body should have a clear mandate and sufficient political support. It should also be bestowed with sufficient seniority to effectively engage and influence both leading political actors and operational decision-makers from the range of departments and agencies involved in the design and implementation of the Plan.

In this regard, the profile of the co-ordinator or chair of the national co-ordinating mechanism can be critical. The location – within which ministry, department or agency – of operational leadership can also be an important factor in determining the effectiveness of the lead agency or body in implementing a National Action Plan.

8.3 Capacity

In the earliest stages of any process to develop a National Action Plan, consideration should be given to human and physical capacity requirements. Indeed, throughout the process of developing and implementing a National Action Plan, maximising the potential of existing capacity and developing new capacity should be central elements of all areas of National Action Plan programming.

A certain level of capacity will be required to initiate a National Action Plan process; e.g. the dedicated work time of officials and a certain level of knowledge of issues surrounding small arms and light weapons control. Support from external agencies (e.g. the UN or civil society organisations) can be beneficial at this stage. As such, capacity building may be a necessary precursor to, or at least a component of, the first stages of developing a National Action Plan.

The results of a small arms and light weapons survey, conducted in accordance with MOSAIC 05.10, should form the basis of a capacity building strategy, which should

- a) seek to maximise existing national and local capacities within the governmental, non-governmental and private sectors;

- b) identify capacity building needs; and
- c) set out how, from where and at what points external capacity building support will be accessed.

The strategy should minimise reliance on external support and maximise use of national and local capacities, in order to create a sustainable foundation of human and physical capacity to implement small arms and light weapons control initiatives in the long term.

Assessment of capacity and provision for capacity building support should be an on-going and regularly evaluated element of a National Action Plan process.

NOTE There are a number of potential sources of capacity building support, including UN agencies, national and international NGOs and regional and sub-regional organisations.

8.4 Funding

A funding strategy should be drafted as part of the first stages of developing a National Action Plan. This may initially be relatively limited in scope but should be reviewed and updated as the design and implementation of the Plan proceeds.

Funding will be required during both the design and implementation of a National Action Plan. Funding streams, whether through national budgets or international development aid, are often determined some time in advance. Forward planning can therefore be critical to securing sufficient financial support.

The budget of a National Action Plan should be aligned with planning for the national budget, whether funding is to be sought through the national budget or from other sources. This is important in increasing transparency and accountability in budgetary decision-making.

The content and outcomes of a National Action Plan shall remain consistent with the identified needs of citizens, and should not be materially changed to fulfil conditions established by external donors.

NOTE Annex B contains examples of some of the considerations that may inform and shape a funding strategy for a National Action Plan.

9 Design and development

9.1 Information collection (survey)

A National Action Plan shall be informed by a sound and detailed understanding of the nature, extent and impact of the illicit trade, destabilising accumulation and misuse of small arms and light weapons in the country in question.

To this end, a small arms and light weapons survey should be conducted in accordance with MOSAIC 05.10, *Conducting small arms and light weapons surveys*.

Additional data collection should take place during, and upon completion of implementation of the National Action Plan (see Clause 11 for guidance on monitoring, evaluation and reporting).

9.2 Analysis and programme development

9.2.1 Drafting

The findings and recommendations of a small arms and light weapons survey should be considered alongside other pre-determined issues, such as existing government policy commitments, regional and international treaty commitments and resource constraints.

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A core group should be identified to lead the drafting of the National Action Plan. This group may be drawn from the national co-ordinating mechanism (see Clause 7.2).

As the draft National Action Plan is developed, consultations should take place with key stakeholders in order to ensure that the Plan

- a) reflects the genuine priorities of citizens;
- b) addresses the issues identified by the survey in the correct way; and
- c) generates buy-in for its implementation (see Clause 9.3).

9.2.2 Prioritisation and sequencing

The drafters of a National Action Plan should consider the inter-relationship between different areas of small arms and light weapons programming and the importance of sequencing initiatives appropriately.

NOTE The way in which different areas of small arms and light weapons programming interact will not be identical in every national context. However, considerations of sequencing and how different types of programming interact and depend on one another will be important in all instances.

EXAMPLE Awareness raising activities take place in advance of and during weapons collection programmes; changes in legislation may need to precede a weapons collection programme.

When determining the sequencing of initiatives, the appropriateness of so-called “quick wins” (e.g. initiatives that are expected to demonstrate immediate, positive returns) should be considered. In abstract, these actions may not be the highest priorities, but demonstrating early success can be important in generating momentum and buy-in for the Plan.

Other factors that should influence decisions related to prioritisation and sequencing in the design of a National Action Plan include

- a) levels of available capacity and financial resources;
- b) the level of need;
- c) the expected level of impact of the planned activities;
- d) the likelihood of success; and
- e) whether there are particular geographic locations in which initiatives should be prioritised.

9.3 Consultation and ownership

9.3.1 Purpose

Widespread consultation should be carried out during the design and development of a National Action plan in order to

- a) create buy-in and political will for the implementation of the plan;
- b) generate interest and assist in securing funding;
- c) interrogate and ensure the accuracy and validity of analysis and proposed actions;
- d) inform the design and content of the draft National Action Plan; and
- e) raise awareness of the goal and objectives of the plan.

9.3.2 Key stakeholders

A range of agencies, institutions, interest groups and individuals are likely to have a stake in a National Action Plan (See Clause 7). The national co-ordinating mechanism leading the development of the Plan should engage all relevant actors early in the process and should maintain regular and consistent contact with them.

The designing of the Plan should be an open and consultative process. To achieve this, the national co-ordinating mechanism should

- a) undertake early and sustained engagement with those stakeholders who are central to providing political, operational, financial and technical support to the Plan, including
 - 1) political leaders and decision-makers,
 - 2) senior operational officials in relevant government ministries, departments and agencies,
 - 3) international and regional technical partners, and
 - 4) potential donors and implementing partners; and
- b) consult, formally and informally, with interest groups involved in, or likely to be affected by, small arms and light weapons control activities, including government (national, provincial, municipal and local), civil society and the private sector).

9.3.3 Key points for consultation

Consultation with stakeholder groups should take place periodically during the plan's development. Key points at which consultation should take place are

- c) during initial strategic planning, and goal and objective setting;
- d) during the drafting of the National Action Plan; and
- e) during the validation of the National Action Plan.

Consultation with the general public occurs through the small arms and light weapons survey (see MOSAIC 05.10). Further consultations with the public during the design of the plan can also take place as needed, through interviews, focus-group discussions and public consultations.

9.4 Content of a National Action Plan

9.4.1 General

The content of a National Action Plan shall be a national prerogative. It should reflect the needs and priorities identified through the small arms and light weapons survey and the consultations conducted in the process of developing the National Action Plan.

9.4.2 Tailored content

A National Action Plan shall be unique to the country for which it is developed and tailored to address its specific needs. Templates shall not be imposed or adopted uncritically and without adaptation to the local context.

9.4.3 Functional areas

Depending on specific national circumstances, a National Action Plan may include some or all the following functional areas:

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- a) legislative, regulatory and/or policy reform, including in relation to national regulation of the
 - 1) manufacture,
 - 2) international transfer (including end-user and end-use controls),
 - 3) civilian access to small arms and light weapons, including their parts, components and ammunition, and
 - 4) international legal cooperation, criminal offences and investigations;
- b) supply side control, including
 - 1) stockpile management,
 - 2) marking and recordkeeping,
 - 3) tracing illicit small arms and light weapons,
 - 4) collection and destruction of illicit and unwanted small arms and light weapons, and
 - 5) border controls and law enforcement cooperation;
- c) demand reduction, including
 - 1) security sector reform,
 - 2) disarmament, demobilisation and reintegration of ex-combatants,
 - 3) awareness raising and public education,
 - 4) community security programming, and
 - 5) socio-economic development and alternative livelihoods;
- d) assistance and support to survivors and victims of violence; and
- e) cross-cutting and special programmes, including
 - 1) research,
 - 2) capacity building and development,
 - 3) communication and information management,
 - 4) implementation bodies and structures, and
 - 5) special programmes (e.g. for young men, children, adolescents, youth, and women).

The content and manner of implementation of the above functional areas in a National Action Plan should be guided by relevant MOSAIC modules.

Where relevant, activities in the above functional areas shall include appropriate consideration of the different situations, needs and priorities of women, men, girls and boys (including children, adolescents and youth) who are targets and/or beneficiaries of the National Action Plan (see Clause 9.5.4).

NOTE 1 Annex C outlines the coverage of the functional areas of small arms and light weapons control.

NOTE 2 Annex D contains an indicative template for a National Action Plan.

9.5 Linkage to related policies, programmes and processes

9.5.1 Coherence, consistency, efficiency and mutual re-enforcement

A National Action Plan should be designed, to the greatest extent realistically possible, to maximise the overall coherence and efficiency of government policy and should be consistent with national strategic objectives.

Maximising overall coherence and efficiency should not, however, be allowed to undermine the achievement of the goals of a National Action Plan nor unduly delay its implementation. A pragmatic balance may need to be struck between the goal of enhancing the broader coherence and efficiency of government policy and fulfilling the goals of a National Action Plan.

A National Action Plan can contain activities or approaches that are similar or related to – and potentially dependent upon – activities or approaches being implemented by other government policies or initiatives. A National Action Plan may need to make connections with other policies, programmes or processes in order to promote its objectives and to receive political and financial support.

In order to enhance overall coherence, ensure consistency, maximise efficiency and seize opportunities to reinforce government policy, the designers of a National Action Plan should co-ordinate, and may integrate, the Plan (or relevant parts of it) with related government policies and initiatives. To this end, the designers of a National Action Plan should

- a) identify other policies and initiatives that may in some way relate to or connect with the National Action Plan;
- b) ensure that the goals, objectives and methods of the National Action Plan are consistent with other policies, programmes and processes;
- c) identify where the National Action Plan complements, overlaps with or undermines other policies or initiatives; and
- d) ensure that opportunities to make efficiency gains – potentially through the sharing of resourcing, combining of activities or re-design of the plan – are seized.

Action carried out through other policies or initiatives can re-enforce the impact of activities undertaken through the National Action Plan, and indeed can be a necessary precursor for activities under the National Action Plan to succeed. The plan's designers should identify where this may be the case and ensure that the plan is shaped to accommodate such complementarities.

While promoting efficiency, coherence, consistency and opportunities for mutual re-enforcement across government, the designers of a National Action Plan may need to consider the threats to programme independence and profile that can occur through co-ordination and integration of plans within the government's broader framework of policies. Compromise may be necessary at times but co-ordination and / or integration with other policies or initiatives should not involve compromise that will undermine the overall goal of the National Action Plan.

9.5.2 Linkages with safety and security programmes

A National Action Plan may relate or connect to a number of specific areas of safety and security policy or programming, including

- a) safer community plans;
- b) security sector reform;
- c) disarmament, demobilisation and re-integration of ex-combatants;

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- d) mine action; and
- e) border management.

9.5.3 National budgetary and development frameworks

A National Action Plan should be integrated into, or aligned with, national development strategies.

NOTE Integrating a National Action Plan into the national development framework or strategy and accessing support through the national budget can have benefits and drawbacks. An advantage of support through the national budget is that funding is likely to be more sustainable, in the medium to long term, than that received from international donors. The receipt of funding through the national budget is also likely to be a product of political buy-in for the National Action Plan, again an important factor in the sustainability of small arms and light weapons control initiatives. A potential disadvantage is that there may be significant competition for funding within the national budget and so compromises may have to be made on the quantity and nature of activities within a National Action Plan. Furthermore, assistance received directly from an international donor can be more flexible and readily accessed than from the national budget. In different contexts, having a National Action Plan feature in the national budget, and therefore in the national development strategy, can be a pre-requisite for receiving funding from donors, because of a commitment to align their funding with nationally agreed priorities. It may also be an impediment, as budgeting rules may preclude departments from receiving additional funding for programmes from donors beyond that allocated in the national budget, even if national budget allocations are insufficient to cover all planned activities.

The funding strategy developed for the National Action Plan (see Clause 8.4) should determine whether funding is to be sought from the national budget, in the short and long term.

If funding is to come from the national budget, those leading the National Action Plan process should, at the earliest possible opportunity,

- a) engage with the Ministry of Finance (or equivalent); and
- b) become familiar with the process (including deadlines) of accessing support through the national budget.

Securing support through the national budget can require political support. To generate the necessary support, lobbying and awareness raising on the National Action Plan may be necessary.

NOTE 1 The process of developing and agreeing the broad content of the national budget, if not the specific budgetary allocations, can be a time-consuming process. The national budgetary frameworks also often cover a period of a number of years. Engaging early in the process of negotiations for a national budget, including at the very earliest stages of the plan's development, can therefore be critical to securing financial support.

NOTE 2 In many countries that are recipients of international development aid, assistance given by international donors is increasingly being provided through direct budgetary support; that is, contributions to the overall national budget, rather than to specific programmes. Two consequences of this are that (1) international donors are involved in negotiations with the recipient government about their overall budgetary priorities (often through the development of a Poverty Reduction Strategy Paper), and therefore wield some influence about the content of the budget; and (2) international donors have fewer funds available for separate, stand alone projects.

9.5.4 Women, gender, children adolescents and youth

The illicit trade, destabilising accumulation and misuse of small arms and light weapons has different impacts on, and relates differently to, women, men, girls and boys, all of whom can have a role to play in addressing the associated problems.

A National Action Plan should address, as appropriate, the needs of these groups across each of its functional areas (see Clause 9.4.3), paying particular attention to considerations related to women, gender, children, adolescents and youth. Elements of a National Action Plan may focus specifically on one or more of these groups, as appropriate.

NOTE For further guidance, see MOSAIC 06.10, *Women, gender and small arms and light weapons*; and MOSAIC 06.20, *Children, adolescents, youth and small arms and light weapons*.

10 Implementation

10.1 Co-ordination and institutions

10.1.1 National co-ordinating mechanism

The national co-ordinating mechanism should lead the overall implementation of a National Action Plan. In doing, so the national co-ordinating mechanism should

- a) promote coordination, information sharing and relationship management between key actors involved in implementing the Plan (see Clause 7);
- b) lead the development and subsequent monitoring of detailed activity plans;
- c) communicate information about the plan's implementation, including
 - 1) reporting to senior management in government ministries and departments;
 - 2) reporting to relevant international, regional and sub-regional bodies; and
 - 3) disseminating information to the public;
- d) ensure adequate financial management, which may be conducted within the national co-ordinating mechanism itself or through the government ministry responsible for finance (in either case the national co-ordinating mechanism should have oversight of financial management and ensure that reporting is done satisfactorily and on time); and
- e) lead the monitoring and evaluation of the National Action Plan (see Clause 11).

10.1.2 Other agencies and bodies

Government ministries, departments and agencies, as well as international partner agencies and civil society may lead the implementation of particular aspects of a National Action Plan. In such cases, they may be responsible for

- a) leading detailed planning of activities within their specific area of responsibility;
- b) contributing to the development of the overall National Action Plan activity plans;
- c) managing the implementation of activities within their specific area of responsibility, including co-ordinating with other actors involved in implementation; and
- d) reporting to the national co-ordinating mechanism on progress made in implementing activities.

Government ministries, departments and agencies, as well as international partner agencies and civil society may also contribute to the implementation of activities lead by other actors.

10.1.3 Institutional structures and organisation

To implement a National Action Plan, a potentially wide range of co-ordination mechanisms, bodies, committees, working groups and other institutional arrangements may be needed. These institutional arrangements can be at the local, municipal, provincial and national levels.

These arrangements can help to coordinate and manage implementation of a number of different areas of the Plan in a particular community or province, or can be used to coordinate the implementation of specific areas of the plan nationally.

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EXAMPLE Examples of the types of institutional arrangement that could help to coordinate implementation of elements of a National Action Plan include

- the establishment of local or provincial multi-agency task forces, sometimes mirroring the composition of the national co-ordinating mechanism, which would be responsible for planning and co-ordinating the implementation of all elements of the National Action Plan in a particular locality;
- utilising existing local committees (e.g. peace committees, local development task teams, local level security and justice sector bodies, etc.) to take on roles in planning and co-ordinating implementation of the National Action Plan; and
- utilising existing national bodies (e.g. inter-agency co-ordination committees addressing issues such as the trafficking in people or drugs), which may be able to take on responsibility for border control and anti-trafficking activities contained in the National Action Plan.

The national co-ordinating mechanism should lead in the identification of appropriate institutional structures to support and enable the effective implementation of all elements of the National Action Plan and at all levels.

Existing structures should be used where this will promote coherence of government policy and efficiency, and where such an approach will not overload existing structures with too many responsibilities or result in small arms and light weapons control being side-lined or de-prioritised.

Where there is a risk of overloading existing structures or of side-lining or de-prioritising small arms and light weapons control, or where there are no appropriate bodies in existence, new bodies may be established, either as temporary institutions intended only to co-ordinate the implementation of a pre-determined set of activities, or as longer-term, even permanent bodies.

10.2 Profile and public awareness

A National Action Plan may contain specific activities focused on raising public awareness and educating the public about dangers associated with the illicit trade, destabilising accumulation and misuse of small arms and light weapons, as well as about activities being carried out to address them within the framework of the National Action Plan.

In addition, activities should be undertaken to raise awareness of and promote interest in and support for the National Action Plan in general.

An initial launch activity, such as the staging of a national conference to discuss the National Action Plan, may be held.

Regular, on-going communication about the plan's implementation – including activities completed and their impact, and forthcoming activities – should be conducted. This communication should be a two-way process and allow for consultation with the public.

Awareness-raising activities connected with the National Action Plan should be carried out in accordance with MOSAIC 04.30, *Raising awareness of the need for small arms and light weapons control*.

11 Monitoring, evaluation and reporting

11.1 General

A National Action Plan shall include provisions for the

- a) monitoring of its implementation;
- b) evaluation of its impact; and

- c) reporting on its achievements, challenges and lessons learned;

in accordance with MOSAIC 04.40, *Monitoring, evaluation and reporting*.

The processes of monitoring and evaluating a National Action Plan should draw from as wide a range of relevant sources as possible, including

- d) implementing actors;
- e) intended targets;
- f) intended beneficiaries; and
- g) sources of statistical data that measure indicators relevant to the national action plan.

11.2 Monitoring

On-going and regular monitoring of the implementation of a National Action Plan shall take place during the implementation of the Plan. Monitoring activities shall measure the extent to which the implementation of a National Action Plan is

- a) proceeding according to the established timeline;
- b) remaining within the established budget;
- c) visible to, understood and supported by the general public;
- d) changing the behaviour of its intended targets; and
- e) meeting the expectations of its intended beneficiaries.

The National Coordinating Mechanism (or other body designated to oversee the implementation of the National Action Plan) shall

- f) be notified at the earliest possible time of any significant deficiencies or deviations in relation to the implementation of the National Action Plan; and
- g) take action to address such deficiencies or deviations, including by modifying elements of the plan as needed, in order to facilitate the achievement of the Plan's goals and objectives.

11.3 Evaluation

Once a National Action Plan has been implemented, its overall impact shall be evaluated.

The evaluation should be carried out by an independent expert or body that was not involved in a significant way the Plan's design or implementation. The evaluation should

- a) measure the extent to which the Plan achieved its goals and objectives;
- b) highlight both intended and unintended impacts of the Plan;
- c) differentiate between the Plan's engagement with and impact on women and men, as well as on children, adolescents and youth;
- d) analyse challenges encountered in the implementation of the plan and how they were (or were not) overcome; and
- e) identify lessons learned throughout the implementation process.

11.4 Reporting

11.4.1 National reporting

Once an evaluation of an implemented National Action Plan has been completed, the results should be published in a report and made available to

- a) the government;
- b) all stakeholders involved in the design and implementation of the Plan;
- c) the general public; and
- d) donors who supported the design, implementation and/or evaluation of the Plan.

11.4.2 International reporting

Within the framework of the UN Programme of Action against the illicit trade in small arms and light weapons, the government in question should report to the United Nations

- a) its decision to initiate a process to develop a National Action Plan;
- b) progress made in the design and implementation of a National Action Plan; and
- c) the impact that a National Action Plan has had following its implementation.

Such reports may form part of a government's regular reporting to the United Nations on its implementation of the UN Programme of Action and the International Tracing Instrument.

Reporting on a government's decision to initiate a process to develop a National Action Plan may also include a request for international cooperation and assistance – both in terms of technical and financial support – in the design and implementation of the Plan.

Annex A
(informative)

Examples of small arms and light weapons control objectives

- a) Reduce the overall number of injuries and deaths caused by small arms and light weapons, including homicides, suicides and accidents.
- b) Reduce the number of crimes in which small arms or light weapons are used.
- c) Reduce the number of small arms and light weapons available to criminals, terrorists and non-State armed groups.
- d) Reduce the diversion of small arms and light weapons to the illicit market.
- e) Sensitize the general public to the dangers associated with the illicit trade, destabilising accumulation and misuse of small arms and light weapons.
- f) Raise awareness among the population of the problem and develop community-driven approaches to addressing it.
- g) Effectively regulate legal small arms through national laws, regulations and administrative procedures.
- h) Develop a national legislative framework against the illicit trade, destabilising accumulation and misuse of small arms and light weapons.
- i) Collect illicit and unwanted small arms and light weapons from communities.
- j) Recover stolen/looted small arms and light weapons from communities.
- k) Reduce the visibility of small arms and light weapons in communities in order to undermine a culture of violence and promote a culture of peace.
- l) Improve security perceptions in communities.
- m) Encourage investment, job creation and development.

Annex B
(informative)

Funding considerations

In developing a funding strategy for a National Action Plan there are a number of issues that may be considered:

1. Sources of funding

There is a range of possible sources of funding that planners may consider when seeking to access financial support for a National Action Plan. These sources include

- a) money allocated to the development or implementation of a National Action Plan from within an existing government budget line;
- b) new allocations from government budgets (either extraordinary or regular budget lines). The National Action Plan may feature in its entirety as a budget item or elements of the plan may feature as individual budget items in one or more budget;
- c) funding from international development aid;
- d) project funding from international agencies (e.g. the United Nations); and
- e) project funding from non-governmental organisations.

2. Accessing funding

For each of the potential sources of funding identified above there are a number of issues surrounding access to these funds that planners may need to consider in developing a funding strategy. These include

- a) researching the process through which funds are accessed from each identified source, including identifying the different deadlines in the decision-making process for funding allocations;
- b) identifying the quantities of funds available, the activities and programmes to which funding can be allocated and the funding timeframe;
- c) identifying the restrictions and conditions of funding, including reporting requirements; and
- d) making contact with fund managers in order to raise awareness of the goals, objectives and funding needs of the National Action Plan process.

3. Managing funds

A funding strategy may set out how funds will be managed, who will carry out the fundraising and accounting, and what capacity will be needed (and how this capacity will be developed if currently inadequate) to effectively manage the funding of a National Action Plan.

4. Prioritisation

A funding strategy may set out how individual elements of a National Action Plan's development and implementation will be prioritised (how decisions will be made, against what criteria and by whom?) should funding for all elements of the Plan not be available.

Annex C (informative)

Functional areas of small arms and light weapons control

The matrix below provides an overview of the possible functional areas that a National Action Plan may include (the list is not exhaustive). The description in the 'coverage' column provides an indicative (i.e. not exhaustive or definitive) outline of the types of issues and activities that may be included within each functional area.

Functional area	Coverage	
Policy and law	<i>Policy</i>	Development of a formal document (ideally based on the findings of a small arms and light weapons survey) setting out key political directions and strategic objectives for small arms and light weapons control and framing the scope of programme implementation. May be developed as precursor to the development of a National Action Plan or as a first stage in its implementation.
	<i>Legislative and regulatory reform</i>	<p>Review, amendment and enacting of laws, regulations and administrative procedures to</p> <ul style="list-style-type: none"> • address a range of small arms and light weapons control issues (such as civilian access, manufacture, domestic trade, international transfer, marking and record keeping, stockpile management, etc.); • provide mandates to institutions (e.g. the National Authority and National Coordinating Mechanism on small arms and light weapons, as well as associated bodies); and • support initiatives under the National Action Plan (e.g. weapons amnesties integrated into collection programmes, etc.). <p>This area of work is often an important foundation upon which implementation of a National Action Plan rests.</p>
Supply side control	<i>Stockpile Management</i>	Security of national stockpiles of weapons and ammunition, including those held by armed forces, law enforcement agencies, small arms and light weapons dealers and private security companies.
	<i>Collection and destruction</i>	Removal and disposal of illicit, unwanted, obsolete and surplus small arms, light weapons and their ammunition from circulation.
	<i>Border controls and law enforcement cooperation</i>	Strengthening controls over the movement of small arms, light weapons and their ammunition across international borders (land, air and water) and preventing illicit trafficking.

Functional area		Coverage
Demand reduction	<i>Security sector reform</i>	Range of potential initiatives to enhance the effectiveness, efficiency, accountability and professionalism of actors and actions within the security and justice sector that address underlying causes of small arms and light weapons related violence and insecurity and/or help to reduce the negative impact of small arms and light weapons illicit trade, destabilising accumulation and misuse.
	<i>Awareness raising and public education</i>	Raising awareness of the dangers associated with the illicit trade, destabilising accumulation and misuse of small arms and light weapons, as well as actions that can be taken to mitigate them. Public education to inform and promote understanding of issues related to small arms and light weapons control and, in particular, to embed longer term changes in attitude and practice relating to small arms and light weapons and armed violence.
	<i>Community safety programming</i>	Initiatives emanating from local communities and derived from their needs that promote safety and security within the community. In the short- to long-term these may address underlying causes of small arms and light weapons-related violence and insecurity and promote small arms and light weapons control.
	<i>Socio-economic development and alternative livelihoods</i>	Addressing underlying socio-economic causes of small arms and light weapons related violence and insecurity. These initiatives may or may not be linked explicitly to other small arms and light weapons initiatives, such as collection and destruction programmes. Alternative livelihoods initiatives target communities where small arms and light weapons possession and misuse is associated with economic well-being, and seek to provide other means of generating income that is not reliant on weapons possession.
Assistance to survivors and victims	<i>Victim support</i>	Initiatives to support those affected physically, psychologically and/or economically by small arms and light weapons violence.

Functional area		Coverage
Crosscutting and special programmes	<i>Research</i>	Issues identified in a small arms and light weapons survey requiring additional or more detailed investigation; research to support other initiatives within the National Action Plan; and additional research as identified during implementation of the National Action Plan
	<i>Capacity building/ development</i>	Initiatives to develop indigenous sustainable human and material capacity (e.g. training programmes on small arms and light weapons control for members of the National Coordinating Mechanism; training in destruction techniques, etc.).
	<i>Communication and information management</i>	Sharing of information with a range of relevant actors domestically, regionally and internationally, including reporting responsibilities. Managing data and information relating to programme implementation and research.
	<i>Implementation bodies and structures</i>	Establishment and development of the bodies and structures that will implement the activities of the National Action Plan. This may involve the establishment of local inter-agency committees and the development of existing national or local level bodies to take responsibility for small arms and light weapons control activities.
	<i>Special programmes</i>	Programmes targeting specific groups or issues, such as gender, women, youth, adolescents and children. These programmes may have a crosscutting agenda, supporting the integration of these issues into other areas of National Action Plan programming, and linking National Action Plan initiatives to other initiatives, for instance, UNICEF's "Child Friendly Cities" initiative. Instead, or in addition, they may include discrete, stand-alone initiatives.

Annex D
(informative)

National action plan template

This template (adapted from SEESAC's National Action Plan template) provides an example of the structure of a National Action Plan. It includes indicative operational objectives, activities, lead implementing agencies/actors and timeframes, from a sample of possible functional areas. Each National Action Plan will be different; in the scope of its coverage of functional areas, the formulation of objectives, the activities undertaken, agencies involved and timeframes.

Functional area	Operational objective(s)	Activities	Lead agency/actor	Timing	Remarks
Legislative and regulatory reform	To ensure consistency of national laws on small arms and light weapons control with regional and international commitments	Establish legal drafting committee	Ministry of Interior / Attorney General's Office	End month 3	
		Audit existing laws on small arms and light weapons control and identify gaps and loopholes		End month 5	
		Draft revised small arms and light weapons control legislation		End month 12	
Community safety programming	To develop and implement community safety plans in 6 priority communities	Review small arms and light weapons survey data and conduct assessment visits to identify priority communities	National Coordinating Mechanism	End month 3	
		Identify local actors, establish process for consultation and develop plans	National Coordinating Mechanism / local community leaders	End month 8	
		Implement plans in 6 locations	Local community leaders	Month 9 to Month 24	
Stockpile Management	Etc.				
Capacity building / development	Etc.				
Collection and destruction	Etc.				

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