

*(Acts adopted pursuant to Title V of the Treaty on European Union)*

## SECOND ANNUAL REPORT

### **on the implementation of the EU Joint Action of 12 July 2002 on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons (2002/589/CFSP) and repealing Joint Action 1999/34/CFSP and the EU Programme on illicit trafficking in conventional arms of June 1997**

(2002/C 330/01)

#### INTRODUCTION

1. On 26 June 1997, the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms was adopted by the General Affairs Council of the European Union, and on 12 July 2002, the European Council adopted a Joint Action on the European Union's contribution to combating the destabilising accumulation and uncontrolled spread of small arms and light weapons repealing Joint Action 1999/34/CFSP.
2. The Associated Countries of Central and Eastern Europe and Cyprus and the EFTA Countries Members of the EEA have aligned themselves with this Programme and the Joint Action.
3. In pursuing the objectives of the Joint Action, the EU has enhanced its efforts to build consensus in regional and international forum and among affected States. The EU played an active role at the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (New York, 9-20 July 2001), ending with the adoption of a UN Programme of Action, as well as in the negotiations of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition supplementing the United Nations Convention against Transnational Organised Crime, adopted by the UN General Assembly on 31 May 2001. The EU also contributed its best efforts to the process leading to the adoption of the OSCE Document on Small Arms and Light Weapons at the Ministerial Council of 27-28 November 2000. The EU has also had many bilateral contacts in the framework of political dialogue, in pursuit of its efforts to build international consensus on the objectives of both the EU Joint Action, and the mentioned UN and OSCE documents.
4. This report is structured in three parts. Part I covers the national efforts to address the problems related to small arms in the Member States, such as inter-agency co-operation, newly enacted legislation and support for relevant research. Part II deals with international measures, such as assistance to projects conducted by international or regional organisations, or non-governmental organisations, assistance to affected states, and organising international conferences. EU co-operation with other states is also included in Part II. Finally, in Part III the priorities for a more systematic approach to EU assistance in the field of small arms and light weapons (SALW) are discussed, as well as the lessons learnt from the experience already accumulated by the EU and its Member States in this field.
5. The report covers the Joint Action as well as the Programme. Its scope is, in principle, limited to the year 2001. Information on prior activities of the EU in application of the Joint Action and the EU Programme can be found in the First Annual Report, as well as in the EU Commission's publication 'Small Arms and Light Weapons: The Response of the European Union'.
6. SALW-related projects under the Council Joint Action are financed through the CFSP budget under a specific article 'non-proliferation and disarmament'. The implementation of CFSP-projects is carried out by the European Commission. Potential applicants etc. should address the European Commission for guidance or other information on procedures for SALW-related projects through the CFSP-budget or address the national contact points. Attention is drawn to the attached annex in which SALW contact points within the EU are contained.

## PART I

## NATIONAL EFFORTS TO ADDRESS SMALL ARMS RELATED PROBLEMS

**I.A. Co-operation, co-ordination and exchange of information between administrative and law enforcement agencies etc**

7. In Italy, the ad hoc working group on small arms and light weapons established since June 2000, under the co-ordination of the Ministry of Foreign Affairs — and which includes representatives of all relevant ministries, law enforcement administrations, as well as a representative of the interested national industrial association — met four times during the year focussing particularly on the preparatory work of the UN Conference and its follow-up. In this regard, initial consideration was given also to the issue of brokering — which is not regulated until now by law — as well as to the requirements for the ratification of the UN Protocol on Firearms.
8. Conscious of the destabilising effects imposed on South East Europe by the excessive accumulation of SALW, Greek administrative and law enforcement agencies have incorporated new aspects and methods in their co-operation, with positive results in the conduct of border controls. In addition, the Ministry for Public Order has set up a national central authority for the exchange of information concerning all SALW transactions. The authority is in the process of developing its electronic database that will facilitate the sharing of information on SALW with the other competent authorities in Greece and abroad.

**I.B. Newly enacted legislation, reviews of the practical function of existing legislation**

9. The Member States have provided the following information:
10. Austria's national legislation on the import, export and transit of war material has been amended to include brokering of war material and to reflect the operative provisions of the EU Code of Conduct on Arms Exports of 8 June 1998 (Legal Gazette I. No. 57 of 10 June 2001).
11. Transit of goods through the Netherlands is covered by the Import and Export Act and by the Arms and Ammunition Act. Both laws have been amended in 2001 in order to improve the control of transit of military goods. The Import and Export Act has been made applicable to the transit of 'military goods' to non-EU countries. The amended Arms and Ammunition Law regulates the transit of 'arms and ammunition' to EU Member States. The new licensing system for transit of these goods has entered into force as of 1 January 2002.
12. Under the amended Import and Export Act and its operative secondary legislation it is obligatory to notify the Dutch authorities in case the transit involves certain types of military design firearms and light weapons, such as mortars or missile launchers. The list of arms for which this obligation of notification is applicable is similar to the list attached to the EU Joint Action.
13. The amended Arms and Ammunition Act has been made applicable to export or transit of 'arms and ammunition' to EU Member States, and continues to be applicable to import of these goods. A license is required for such export, transit or import. In case of export or transit a license will be refused if the applicant cannot prove that the competent authorities of the EU Member State for which the arms or ammunition is destined do not object to the presence of these goods on their territory.
14. The United Kingdom Government introduced the Export Control Bill, providing a new legislative framework for export control, to Parliament on 26 June. This followed publication of a draft Bill on 29 March for public consultation. The Bill will strengthen the existing export control regime and among the measures it introduces are new powers to control trafficking and brokering. Parliamentary consideration of the Government's proposals will be finalised during 2002.
15. UK Customs have reviewed their controls of Registered Firearms Dealers in order to improve effectiveness and minimise the risk of leakage to the illicit market.

16. In 2001 the Spanish authorities drafted a new regulation on foreign trade in defence and dual use goods, which is expected to enter into force in 2002. This regulation makes it necessary for all exports of defence material and dual use goods to obtain an authorisation from the competent governmental agency in, *inter alia*, the following cases:
  - when the goods to be exported have as destination, or buyer, a country subject to an arms embargo imposed by the EU Council, OSCE, or a binding resolution of the UN Security Council. This is applicable also to goods that are not included in the official List of Defence Material, when their export could violate the principles of that arms embargo,
  - when the competent authorities believe that the goods to be exported have, or could have, a final military use, totally or partially,
  - when the competent authorities believe that the goods to be exported are, or could be, intended to be used, totally or partially, as accessories or components of defence material contained in the official List of Defence Material.
17. These norms constitute a catchall clause.
18. Under the new regulation the competent authorities will deny authorisation for transactions of police and security material when there are reasons to believe that it will be used to violate human rights or in any form contrary to the inherent dignity of the human being.
19. The new regulation forces the operators responsible for these transactions to be registered in the 'Register for Special Operators'.
20. Furthermore, the new regulation is applicable not only to exports from Spanish territory but to all operations carried out from Spanish territory, including brokerage, transit, transfer, assistance in the negotiation of the aforementioned transactions, or any other assistance in any form to these transactions.
21. In Belgium, a bill amending the act of 5 August 1991 on the import, export and transit of arms, ammunition and equipment specifically for military use and related technology was presented in 2000 and extensively debated in the Chamber of Representatives and in the Senate during 2001 (adopted by the Belgian Senate on 16 May 2002). The scope of this new act was extended to include provisions on brokerage. Article 10 stipulates: 'No Belgian or alien residing or trading in Belgium may, for remuneration or free of charge, irrespective of the provenance or destination of the goods and whether or not they enter Belgian territory, trade in, export or deliver abroad or possess for such purpose, arms, ammunition, or equipment specifically for military use or related technology, nor act as an intermediary in such operations, without a licence for the purpose issued by the Minister for Justice.'
22. The term 'intermediary' is defined as follows: 'An intermediary is any person who, for remuneration or free of charge, creates conditions for the conclusion of a contract the object of which is the trade, export or delivery abroad, or the possession for such purpose, of arms, ammunition, or equipment specifically for military use or related technology, irrespective of the provenance or destination of the goods and whether or not they enter Belgian territory, or any person who concludes such a contract where the transporting is carried out by a third party'.
23. For France the goal of reforming domestic law on brokering and intermediary activities is within reach.
24. The main measure adopted in domestic law was a reform of the arrangements governing brokers and other intermediaries involved in commercial transactions in arms and military equipment.
25. Once the decree concerning the rules for the authorisation of brokering activities had entered into force the implementing texts were drawn up so as to enable effective delivery of the new arrangements.

26. The bill on the rules for the authorisation (or licensing) of brokering activities has been put before Parliament. It is scheduled for debate in the second half of 2002. Two types of licence are provided for: a global licence which can cover several operations which satisfy fixed conditions, and an individual licence which only allows for one single intermediary or brokering operation. The legislation extends beyond SALW, since it covers all arms and military equipment classified under national rules.
27. According to Italian legislation the category of SALW is divided into two sub-categories: common firearms and weapons for military use. These are governed by different laws whose implementation falls, respectively, within the responsibilities of the Ministry of the Interior and the Ministry of Defence. The procedures for the issuance of import, export and transit of military weapons authorisations fall under the authority of the Ministry of Foreign Affairs, acting in agreement with the Ministry of Defence. The Italian law on arms export (law 185/1990) had already anticipated the criteria contained in the EU Code of Conduct approved in June 1998.
28. The EU Code of Conduct for arms exports constitutes the parameter for the assessment of the requests of authorisations for export of SALW. Also for those categories of firearms — included in the EU common list — which fall under the control of the Ministry of Interior.
29. No new legislation was passed in 2001 on SALW. However, following the call from the Committee for Foreign Affairs of the Chamber of Deputies in October 2000 '...to strengthen, also at national level, the measures intended to intensify or better co-ordinate the efforts to fight against the trade of SALW...', the control on the procedures of import and export of SALW, specially on firearms, was reinforced through the establishment of closer co-ordination mechanisms between the concerned ministries (Foreign Affairs, Interior and Defence).
30. A motion to change the Act on the Export and Transit of Defence Material to include arms brokering in Finland is under preparation.
31. Denmark did not pass any new legislation on small arms in 2001. However, an inter-ministerial committee was set up under the auspices of the Ministry of Justice with a view to examining the weapons and explosives legislation with a special focus on arms exports. The Committee shall also consider possible measures to control arms brokerage.
32. Sweden did not pass new legislation in 2001.
33. Ireland does not produce Small Arms. The Import and Export of Small Arms to EU countries must be licensed in accordance with the Firearms Act 1925 and 1964 and EC (Acquisition and Possession of) Weapons and Ammunition Regulations 1993. Exports to all countries are also subject to the Control of Exports Act 1983 and Orders made thereunder, and to the international obligations and responsibilities derived from membership of the UN, EU, OSCE and other entities which involve regulation of exports.
34. Greece has not amended her arms legislation (Law 2168/1993) which provides for strict measures and a licensing system on all arms transactions (import, export, transit and transshipment). Consultations are underway among the competent ministries for amending the law, in conformity with the decisions taken within the framework of UN, EU, OSCE and Wassenaar Arrangement. Furthermore, according to the new Law 2928/2001 on the 'Protection of Citizens from Criminal Acts committed by Criminal Organisations', the illicit manufacturing or possession of SALW and ammunition are punishable by up to ten years of imprisonment.

#### **I.C. Training of Administration and law enforcement agencies**

35. Spanish law enforcement agencies organise yearly courses about the criminal treatment of firearms and explosives for officers of the relevant agencies. These are regular seminars to recycle and update the officers on this issue and on information technology applied to weapons and explosives.

**I.D. Other initiatives or activities e.g. support for relevant research and internal security and transparency measures**

36. The Member States have also reported on other initiatives and activities to combat the accumulation and uncontrolled spread, and to prevent illicit trafficking, of small arms, such as support for research projects or internal security measures related to the control of SALW, or transparency measures targeting a wide public.

*Internal security measures related to SALW*

37. The Spanish relevant authorities, co-ordinated by the Central Inspection for Arms and Explosives of the Guardia Civil, seized 42 739 illegal firearms in 2001. Of these, 17 978 were destroyed, whereas 24 761 were auctioned or received a different legal use.
38. During 2001, the Spanish authorities carried out 10 846 inspections to facilities where firearms are produced or stored (including factories, commercial outfits, sports shooting facilities, private security companies, etc.). In 2001, 19 664 facilities where explosives are produced or stored were inspected.
39. During 2001/02 Customs carried out a series of awareness raising visits to control staff at ports and airports to maintain the high priority anti-smuggling and control effort being made in relation to arms exports.
40. In 2001 the following national SALW identified as surplus and/or seized were destroyed by the Italian army by means of melting: 377 revolvers and self-loading pistols (Beretta m51); 2 070 rifles and carbines 1 070 mab + 1 000 Garand t2); 329 portable launchers of anti-tank missile and rocket systems (bazooka 88 mm).
41. The share of the total value of export licences granted by Germany for SALW as part of the total value of licences for arms exports was on a very low level, with a strong regional focus on EU, NATO and equivalent countries. National reductions were used to elaborate ecological and economical methods for mass destruction of SALW.

*Support for relevant research*

42. In 2001, Sweden supported the following projects at the Stockholm International Peace Research Institute (SIPRI):
- 'Military Expenditure Data for African Countries', SEK 1 million. The project started in 1999 and ended in July 2001.
  - 'Conflicts and Small Arms Transfers', SEK 480 000. The purpose of this project is to gather information on arms flows into conflict regions, in co-operation with the Swiss-based 'Small Arms Survey'. The project started in 2000 and is still running.
  - 'Internet Database on European Conventional Arms Export Controls', SEK 1,5 million. The purpose of the project is information and verification of the EU Code of Conduct on Arms Exports, with a focus on East and Central Europe. The project started in March 1998 and is still running.

*Ongoing transparency measures targeting a wide public*

43. In July 2001, the United Kingdom published its fourth Annual Report on Strategic Export Controls, covering calendar year 2000. This included even greater specificity and detail than in the past on UK policy on small arms and on conventional arms exports in general.

44. The Ministry of Defence of France published a report to Parliament on French exports (published in February 2002). The report maps out the legal framework which France has set up for precise control of its arms exports and, more generally, its line of approach on exports, while observing its European and international commitments (Joint Action, Code of Conduct, Wassenaar arrangement, etc). The report also describes the consultation mechanisms, transparency guarantees and arrangements for applying the embargoes proclaimed by the UN or the European Union. The report to Parliament also takes stock of the French government's action in controlling exports. It gives quantitative summaries and statistics on export requests, prior approvals, refusals to grant approval, and authorisations for the export of military equipment. It also gives a detailed breakdown of French arms exports in 2000, including a separate heading for small arms and light weapons.
45. The report is available on the Internet, at <http://www.defense.gouv.fr> by clicking on 'Actualités' followed by 'Tous les dossiers en ligne'.
46. A brochure entitled 'Small arms and light weapons: Action by France: prevent-control-destroy' was published in 2001. Published on the occasion of the UN Conference, this brochure in French and English, which was widely distributed, informs a broad audience of France's action in this area.
47. The dialogue with Italian NGOs operating in this field has developed further in 2001. The Ministry of Foreign Affairs has supported a study on the Italian production and export of SALW, which was completed at the end of the year, and published at the beginning of 2002.

## PART II

### EFFORTS AT THE INTERNATIONAL LEVEL TO ADDRESS SMALL ARMS RELATED PROBLEMS

48. In the international field, both the EU and the individual Member States take actions. The following information has been provided.

#### II.A. EU action

49. The EU is active both as regards assistance to and co-operation with states and international and regional organisations.

##### II.A.1. *Projects supported by the EU*

50. Since 1999, the Council has adopted 8 decisions implementing the Joint Action through funding of SALW-related projects: three in 1999, two in 2000, and three in 2001. These projects are financed through the CFSP budget under a specific article 'non-proliferation and disarmament' and their implementation is carried out by the European Commission. The total amount committed for these actions is EUR 5 553 200.
51. The three projects that received EU CFSP funds during 2001 are the following:
  - On 15 November 2001 the Council adopted Council Decision 2001/796/CFSP with a view to the continuation of the European Union contribution to combating the destabilising accumulation and spread of small arms and light weapons in Cambodia. This Decision provides a further EU funding of EUR 1 768 200 for the continuation and expansion of this ongoing project, fully designed and managed by the EU, and that started in 1999 with an initial budget for that year of EUR 500 000. In 2001 the project was evaluated and audited by an external auditor, Dr. Owen Greene, who labelled it as 'highly successful'. In 2001 the Council decided to appoint Mr. David De Beer as Project Manager as successor to Brigadier-General Henny van der Graaf, upon the retirement of the latter who managed the project from its inception in March 2000.
  - On 12 March 2001, the Council adopted a EU contribution to combating the small arms problem in Latin America and the Caribbean, through the projects of the United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean, located in Lima (Peru). This contribution seeks to help the Centre in its training activities for customs and police officials, by means of appropriate instruction and in its project of making available equipment that permits the creation of databases on the accumulation and transfers of SALW in this region. This project contributes to the implementation of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials of the OAS. The EU contribution amounts to EUR 345 000 (Council Decision 2001/200/CFSP).
  - On 29 November 2001 the Council adopted Council Decision 2001/850/CFSP of 29 November 2001 concerning the European Union contribution to combating the destabilising accumulation and spread of small arms and light weapons in Albania. This Decision granted EUR 550 000 to the UNDP operation 'Small Arms and Light Weapons Control Project (SALWC) in Albania' and is to fund two national and one international expert for one year, as well as 11 vehicles needed for the implementation of their operation.

### II.A.2. *EU co-operation with other states*

52. At the EU/US Summit of 17 December 1999, it was decided to establish a Working Group on SALW for regular exchanges at expert level with a view to increasing co-operation and information sharing and evaluate progress achieved by the EU and the US on small arms issues. The Group meets at least once during each EU Presidency. At its meeting of June 2001 it focused on preparations for the UN 2001 Conference. As part of the preparations for that Conference, the EU Troika also had a number of informal meetings with the US. At its meeting of December 2001, the group focused on evaluating the results of the UN Conference and assessing ways forward to co-operate in implementing the Programme of Action. It also discussed updating the Joint EU-US Declaration on SALW and the Joint Plan of Action on SALW.
53. Following the EU-Canada Summit Declaration on the Establishment of a Joint Working Group on Small Arms of 16 December 1999, the Working Group has met every six months. In 2001 the Group met twice, in May and in November. Informal meetings with Canada have also been held. An EU-Canada Workshop entitled 'Small Arms and Light Weapons Destruction in the Context of Peace Support Operations' was held in Ottawa 15-16 May 2001.
54. In 1998, the EU and the Southern African Development Community (SADC) adopted the regional Action Programme on Light Arms and Illicit Trafficking, providing a framework for action as regards, *inter alia*, illicit trafficking, strengthening of legal controls of arms transfers, removal of arms from society and enhancing transparency. In 1999, an EU-SADC Working Group on small arms was established, which met for the first time in June 2000. During its second meeting in April 2001, the Working Group discussed areas of concrete co-operation and the preparations for the UN 2001 Conference.

### II.A.3. *Internal EU co-operation*

55. In early 2001, the then Swedish Presidency of the Police Co-operation Working Party (PCWP) presented a document (ENFOPOL 16) proposing three areas where better co-operation and exchange of intelligence information between the different police services within the EU could help to reduce or prevent criminal use of firearms. The project was approved by the PCWP. The National Swedish Police and the Laboratory of Forensic Science (SKL) head the project. Other participating countries are Austria, Belgium, Denmark, Germany, the Netherlands, Spain and the United Kingdom. Additional Member States are considering joining the group.

### II.B. *Member State action*

56. The EU Member States are providing financial, technical and other forms of assistance to projects run by the UN, by other international or regional organisations, and by NGOs. In addition, the Member States are supporting affected states directly.

**II.B.1. Financial, technical and other assistance to relevant programs and projects conducted by the UN**

57. The Member States have provided support to the following projects under the auspices of the UN.
58. During 2001 the Spanish armed forces and the Guardia Civil took part in the following international co-operation efforts linked to SALW, and their effective control, in co-operation, or under the auspices of the UN:
- Nicaragua: the Guardia Civil assists the Nicaraguan police, under the auspices of UNDP, in two projects related to civil security and police presence in rural areas, including the control and seizure of illegally held arms.
  - Mozambique: the Guardia Civil takes part in a local capacity building project co-funded by AEI, the Spanish co-operation agency, and UNDP, for the Mozambican law enforcement agencies.
  - East Timor: Spain is part of UNCTAET. One of the tasks assigned to the Spanish contingent in East Timor is the control and seizure of illegally held arms.
  - Iraq: an expert from the Guardia Civil was assigned to the UN New York office charged with controlling the implementation of the arms embargo on Iraq.
  - Bosnia and Herzegovina: a contingent of the Guardia Civil is stationed in BH as police observers.
  - Kosovo: Spain has contributed a special police search unit, whose task is conducting house and vehicle searches aimed at seizing illegally held arms, on an exclusive and full-time basis. A contingent of 113 members of the Guardia Civil constitutes this unit.
59. In 2001, Denmark has contributed with EUR 60 000 to the UNDP Pilot Project for Collection of Illicit Arms and Support for Sustainable Development of the N' Guigmi administrative district in Niger. Denmark is considering providing additional funding for the project in 2002. Germany contributed as well.
60. Denmark supported with EUR 5 000 a United Nations Department for Disarmament Affairs publication on 'Practical Disarmament Measures' *inter alia* on SALW. The publication is a follow-up to the UNGA Resolution on 'Consolidation of Peace through Practical Disarmament Measures', which Denmark has co-sponsored in recent years. The publication intends to give an overview of project procedures and standards and sets up a sample design for formulating project proposals. Thereby, it will facilitate and enhance affected countries' possibilities of attracting donor funds for collection and destruction of SALW.
61. The United Kingdom provides support (GBP 7,5 million over 3 years to April 2004) to UNDP for activities such as weapons collection, management and destruction; community based weapons in exchange for development; training and capacity building for police, customs, law enforcement officials and military in weapons management and disposal; a roster of experts to be utilised by UN agencies and regional organisations; support for civil society organisations in weapons awareness and education programmes. Current projects include Albania, Niger, Congo Brazzaville, Somalia, the Balkans, and the Great Lakes Region.
62. The UK provides support to the United Nations Regional Centre for Peace, Disarmament and Development in Latin America: GBP 68 000 for a Latin America and Caribbean meeting to review the UN Programme of Action and associated initiatives and assess priorities for implementation (November 2001) and GBP 500 000 (over 3 years to November 2004) for training of police and law enforcement officials of regional and international agreements on weapons trafficking; establishment of a continent wide database to exchange information on illicit weapons seizures.

63. France has implemented two financial assistance measures, providing firstly for the payment of EUR 457 347 to the PCASD (Programme for Co-ordination and Assistance on Security and Development, implemented by the UNDP and under the control of the UNOPS), and secondly for EUR 381 122, over five years, for the UN Regional Centre in Lomé. For 2001 a voluntary contribution of EUR 77 000 was transferred to the UN Regional Centre for Peace and Disarmament in Africa (Lomé). The contribution was earmarked for combating trafficking in SALW.
64. France contributed EUR 18 400 for 2001 to the programme for the destruction of light weapons launched by the United Nations mission in Sierra Leone (UNAMSIL).
65. Through action by the UN agencies, France has thus made a financial contribution of EUR 126 600 to the fight against trafficking in SALW for 2001.
66. Sweden contributed USD 10 000 to the Lima, Peru based UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean.
67. The Netherlands, through a special fund (see paragraph 91) supported the UN-LIRIC Regional Clearinghouse Programme on Firearms Ammunitions and Explosives in Latin American and the Caribbean (EUR 166 653). Through its Embassy in Tirana, the Netherlands supported the UNDP operation 'Small Arms and Light Weapons Control Project (SALWC)' in Albania (EUR 384 117).

**II.B.2. Member State support to projects under the auspices of other international organisations, and of NGOs**

68. As regards support to projects under the auspices of international organisations other than the UN, regional arrangements and NGOs, the Member States have provided the following information.
69. Denmark has supported the Graduate Institute of International Studies' 'Small Arms Survey' with more than EUR 60 000 in 2001. The Survey contains impartial and public information on all aspects of SALW proliferation and aims to increase the knowledge of manufacture, transfers, stockpiling and use of small arms, as well as best practices. This information facilitates understanding the causes of SALW proliferation and to develop more effective policy measures to cope with the consequences. It strives to be an independent monitor of international and national policy initiatives and serves as an accountability mechanism for greater transparency and multilateral efforts to deal with SALW issues. Sweden contributed SEK 200 000. The Netherlands contributed EUR 227 000. The UK contributes GBP 350 000 over 3 years to March 2004. Belgium contributed BEF 3 million. France financed the French version of the Survey, providing EUR 53 354.
70. Sweden contributed to the Institute for Security Studies in Africa in order to prevent the spread and use of small arms and light weapons. In total, SEK 2 million has been designated to the Institute.
71. Sweden contributed SEK 200 000 to the International Network on Small Arms (IANSA) for costs related to the UN Conference. Sweden contributed SEK 200 000 to the Saferworld 'Tackling the Spread of Light Weapons: Deepening Collaboration between EU Member States and Associate Countries' programme of seminars (February 1999 — January 2001). The UK contributes GBP 1,1 million over 3 years to August 2004, to support a central secretariat to co-ordinate 340 NGOs world-wide, develop global campaigns and awareness raising strategies as well as the development of eight regional campaign networks in Europe, Africa, Asia and Latin America and the development of a global communications strategy. Belgium contributed BEF 1 500 000 to the 2001 annual conference of IANSA (Brussels, 5-6 October 2001). The contribution was intended to cover staff, secretarial and translation costs and travel and accommodation expenses for ten participants from African countries.
72. The United Kingdom funded the Geneva Forum (GBP 9 715; July 2001), an informal meeting of governmental experts in preparation for the UN Conference.
73. The Netherlands contributed to the 'Biting the Bullet' project by Saferworld, International Alert and Basic (EUR 116 000).

74. At the UN Conference, Ben Bradshaw, then Minister of State for Foreign & Commonwealth Affairs (United Kingdom), announced the allocation of GBP 19,5 million over three years to be spent on programmes and projects to curb the misuse and spread of Small Arms throughout the world. These funds support the work of UN agencies, regional organisations, governments and NGOs. Projects include support for weapons collection, management and destruction programmes; assistance in setting up and implementing new regional and country-specific agreements; and support for civil society and NGOs, including IANSA. Funds will also support policy-focused analysis and evaluation of Small Arms problems and their impact.
75. Support was given to:
- Saferworld (GBP 2 460 000 over 4 years until September 2003 for development of policy focused reports on the nature and scale of the SALW problem; organisation of consultations, seminars, training and capacity building workshops; formulation of national action plans etc in Europe, Central, South and South East Asia and East and Southern Africa);
  - International Alert (GBP 572 000 over 3 years until November 2004 for assessment of regional agreements; assessment of national capacity to implement agreements; Identification of national priorities and obstacles to implementation; and Organisation of consultations between donors and affected states; in Europe, Latin America and West Africa);
  - Saferfrica (GBP 710 000 over 3 years to March 2004 for support for the implementation of sub-regional initiatives in Africa; conducting national assessments; developing and managing the implementation of national action plans in Africa;
  - Viva Rio (GBP 463 891 over 3 years to March 2004 in Brazil, Argentina, Chile, Paraguay and Uruguay) for work with police and civil society in the favelas of Rio to develop trust and security; work with police to collect and destroy weapons; running community projects to raise awareness of small arms problems; working with media to raise the profile of the issue; work with the regional government to develop new gun control legislation; work with NGOs across Brazil to replicate the Rio model; work with the Governments of the MERCOSUR region to harmonise legislation and increase controls on arms exports and imports;
  - The Nairobi Secretariat ('Implementing the Nairobi Declaration Activities' GBP 729 030 over 3 years until March 2004) for support to the secretariat, the organisation of a Foreign Ministers meeting; training and capacity building of law enforcement officials; development of a regional public awareness campaign and provision of seed money for the development of national initiatives, in East Africa, the Great Lakes and Horn of Africa;
  - Security Research and Information Centre (SRIC): Controlling SALW in the Great Lakes Regions and the Horn of Africa (GBP 250 000 over 3 years to March 2004) for research and analysis into SALW problems in East Africa; comparative studies of small arms problems in rural and urban areas; piloting a community policing project in Nairobi; supporting the implementation of the Nairobi Declaration; work with Kenya, Uganda and Tanzania on the development of national action plans.

### **II.B.3 Actions taken by Member States in support of affected states**

76. The Member States have provided the following information as regards technical, financial and other assistance given to other states, especially those in affected regions.
77. The UN conducts activities to combat trafficking in SALW, which are funded by the ordinary budget. Given France's assessed rate in 2001, France's contribution to such expenditure amounted to EUR 31 200.
78. France supports the moratorium adopted by the ECOWAS Heads of State and Government.

79. French action against illegal arms trafficking is conducted mainly through bilateral co-operation. France is pursuing a large number of measures for the benefit of various African States, designed to increase the operational capabilities of police and customs in the fight against large-scale cross-border trafficking, including illegal arms trafficking.
80. It provided EUR 3 198 for a sub-regional training mission for a French expert in Abidjan in October 2001.
81. Finland financed and organised training of two police officers from Nicaragua and Guatemala in Finland. The training focused on arms legalisation, licensing of arms exports, arms registration and border control.
82. Denmark supports de-mining and destruction of anti-personnel landmines with more than EUR 9 million through a 6-year programme in Mozambique. Destruction of SALW and ammunition is not part of the terms of reference of the programme, but has been occasionally been carried out as a derived activity.
83. The Swedish National Defence College contributed to international courses in 'Disarmament, Demobilisation and Reintegration of Ex-Combatants (DD&R)' in Nepal, Kenya, Argentina, Ecuador and Sweden, using a curriculum put together in collaboration with Norway and Canada. The course in Sweden was held in June 2001 at the Swedish Armed Forces International Centre training facilities. The Swedish National Defence College was the organiser and the teaching team comprised experts from Sweden, Norway and Canada. The 20 some international participants were representatives from the military and various governmental and non-governmental organisations. The objective of the course was to give a comprehensive view of peace support missions in order to increase the understanding of activities and/or programs needed for a peaceful development, as well as to share experiences from the field. SEK 3,2 million was designated for the continuation of this project.
84. Sweden supports various projects for reintegration of child soldiers in the Democratic Republic of Congo, Sierra Leone, Uganda and Liberia. In total, SEK 31 million has been designated to these projects.
85. Sweden contributed SEK 5,5 million for reintegration of soldiers and collection of SALW in the Democratic Republic of Congo.
86. Sweden contributed SEK 10 million to a World Bank project in Guinea-Bissau, aiming at the demobilisation and reintegration of 23 000 soldiers.
87. Sweden contributed USD 350 000 to the implementation of the ECOWAS Moratorium on the import, export and manufacture of small arms, through the UNDP Programme for Co-ordination and Assistance for Security and Development (PCASED). The total Swedish contribution to PCASED amounts to USD 1 million, which places Sweden among the top donors to the Programme.
88. Sweden contributed SEK 24 million to a World Bank demobilisation program in Cambodia.
89. Sweden contributed SEK 3 million to 'Small Arms and Light Weapons Control Project' in Albania. The Swedish International Development Agency will support this project with a total amount of SEK 7 million during the period 2001-2003. The objective of the project is to contribute to an increased security level in Albanian society, through collection and control of SALW. Finland contributed EUR 1 million (2001-2003) and offered a national expert for this project.
90. In 2001 the Netherlands established a special fund of EUR 2,27 million annually for SALW projects. In the first year running this fund was used for contributions to the following activities and programmes:
  - The small arms programmes by UNDP in the Great Lakes Region and Albania through the trust fund on SALW (EUR 1,8 million) such as;
  - The construction of a SALW destruction facility in Kosovo (EUR 59 405).

91. Other activities of the Netherlands were financed from several other government budget lines, these activities include:
- The organisation of a regional workshop on SALW in Amman, Jordan (EUR 53 000) and the publication of the results of the workshop (EUR 19 000);
  - The production of the DDA reference manual on Destruction of SALW (EUR 15 000);
  - The production of a documentary on the EU SALW project in Cambodia, 'Fighting Weapons for development' (EUR 89 000);
  - The publicity for the Small Arms Destruction Day at the UN Conference, film 'Tackling Small Arms' (EUR 178 000);
  - A seminar for experts on the role of civil society in the implementation of the UN Programme of Action (EUR 29 000);
  - A verification seminar regarding the collection and destruction of SALW in Guinea-Bissau (EUR 9 000);
  - Bilateral support for the Cambodian SALW project (EUR 360 000);
  - Collection and destruction of SALW within the framework of SFOR and operation 'Essential Harvest'.
92. Ireland donated EUR 57 150 to UNIDIR in West Africa in connection with work arising from the ECOWAS moratorium.
93. Germany supported a range of SALW-related activities such as:
- The World Bank trust fund for the Sierra Leone national demobilisation programme, supplemented by bilateral projects for the re-integration of ex-combatants in Sierra Leone;
  - Re-integration of ex-combatants and IDP in Angola;
  - Co-financing of the DDR programme in Rwanda;
  - SALIGAD small arms project in the Horn of Africa;
  - Community policing/conflict prevention in urban areas in South Africa;
  - Destruction of small arms in Albania, training of personnel in the organisation of destruction;
  - SALW-project in Cambodia.
94. During 2001 Spain took part in the following co-operation efforts linked to SALW and their effective control, in affected regions:
- Guatemala: the Guardia Civil participates in a program to support the Guatemalan National Police to improve 'citizen security', including the control and seizure of illegally held arms.
  - Honduras: the Guardia Civil executes a project financed by AECI, the Spanish co-operation agency, aimed at building local capacity among Honduras law enforcement agencies.
  - Romania: the Guardia Civil assists Romanian border control agencies, including control of illicit flows of arms.
  - Albania: Spain assists Albania in building local capacity among its law enforcement agencies.
  - Kosovo: the Spanish armed forces assigned to the KFOR contingent carried out, as one of their tasks, house searches and road check-points, aimed at the seizure of illegally held arms, as well as inspections of security conditions in weapon storage facilities.
  - Bosnia and Herzegovina: the Spanish armed forces assigned to the SFOR contingent carried out, as one of their tasks, house searches and road check-points, aimed at the seizure of illegally held arms, as well as inspections of security conditions in weapon storage facilities.

- Former Yugoslav Republic of Macedonia: one company of the Spanish armed forces took part in operation Essential Harvest, aimed at the control and seizure of illegally held arms.
95. In the year 2001 the Italian armed forces participated in a number of external operations, during which the following SALW were collected/confiscated and destroyed:
96. The 'ITALFOR-KOSOVO' unit:
- revolvers and self-loading pistols: 107 collected/confiscated (77 deactivated/destroyed);
  - rifles and carbines: 87 collected/confiscated (54 deactivated/destroyed);
  - sub-machines guns: 5 collected/confiscated (1 deactivated/destroyed);
  - assault rifles: 183 collected/confiscated (130 deactivated/destroyed);
  - light machine guns: 15 collected/confiscated (5 deactivated/destroyed);
  - portable anti-aircraft guns: 1 collected/confiscated (1 deactivated/destroyed);
  - portable anti-tank guns: 17 collected/confiscated (1 deactivated/destroyed);
  - mortars of calibre less than 100 mm: 3 collected/confiscated (1 deactivated/destroyed).
97. 'ITALFOR-BOSNIA' unit:
- heavy machine guns: 480 collected/confiscated (342 deactivated/destroyed);
  - mortars of calibre less than 100 mm: 3 collected/confiscated (3 deactivated/destroyed);
  - portable launchers of anti-tank rocket system: 20 collected/confiscated (10 deactivated/destroyed).
98. MSU-SFOR: mortar grenades: 2 collected/confiscated.
99. MSU-KFOR:
- revolvers and self-loading pistols: 9 collected/confiscated and handed over to the multi-national brigade;
  - rifles and carbines: 35 collected/confiscated and handed over to the multi-national brigade;
  - sub-machine guns: 5 collected/confiscated and handed over to the multi-national brigade;
  - assault rifles: 33 collected/confiscated and handed over to the multi-national brigade;
  - light machine guns: 3 collected/confiscated and handed over to the multi-national brigade;
  - portable anti-tank guns: 17 collected/confiscated and handed over to the multi-national brigade;
  - mortars of calibre less than 100 mm.: 1 collected/confiscated and handed over to the multi-national brigade;
  - heavy machine guns: 1 collected/confiscated and handed over to the multi-national brigade.
100. Italian contingent in FYROM (operation 'Essential Harvest'):
- various SALW: 681 collected and handed over to the UK contingent.
101. The Danish defence forces have through their participation in the SFOR and KFOR in the Western Balkans taken part in activities which include repatriation, demobilisation and disarmament of military forces and monitoring and inspection of Weapons Storage Sites. Danish soldiers have carried out activities aiming at limiting the local populations' accumulation and stocks of small arms and light weapons. These undertakings have not been part of SALW projects per se, but rather part of day-to-day tasks to control and combat accumulation and spread of SALW.

102. UK forces continued to play a leading role in the weapons and ammunition collection programmes that form part of Operation Leatherman in Kosovo and Operation Harvest in Bosnia. The UK funded the supply and training in the use of UK-made weapons destruction machinery to the Kenyan police. Customs have attended an Arms Embargo and Sanctions Seminar in Budapest in April 2001 and the Licensing and Enforcement Experts meeting of the Wassenaar Arrangement in June 2001.
103. As troop contributor to SFOR, KFOR and Harvest as well as Amber Fox Germany participated in SALW collection in SE Europe; under the Dayton regulations it supported the destruction of mortars (82 mm) in Bosnia and Herzegovina. Prevention of trafficking of firearms/SALW forms part of integrated border management schemes supported by German police co-operation in the framework of the Stability Pact for SE Europe. Austria also supports the SALW initiatives in this framework.
104. In the context of military operations, in close cooperation with its allies, France has played an active part in arms collection in the former Yugoslavia: in Bosnia within the framework of SFOR, in Macedonia as part of the 'Essential Harvest' operation which enabled 3 875 weapons to be recovered and almost 180 000 pieces of ammunition, but also in Kosovo as part of the permanent 'weapons amnesty' measure which enabled 459 weapons and over 50 000 pieces of ammunition to be recovered.
105. Greece has supported various SALW projects in South East Europe, including the UNDP Pristina 'Kosovo Illicit Small Arms Control Project'; the Stability Pact Regional Implementation Plan for South Eastern Europe — Small arms and light weapons; NATO's programme on SALW in FYROM.
106. Greece participated actively in regional efforts addressing SALW issues and the illicit trafficking in conventional arms such as the Initiative for the Vlora Anti-trafficking Centre; the Adriatic and Ionian Initiative and the South East European Co-operation Initiative.
107. Greece provided logistical and technical support and organised seminars for the Albanian police. The seminars included, amongst others, issues on SALW and arms export control. Supporting the international efforts for the implementation of the Albanian programme for the collection and destruction of illicit SALW and ammunition, Greece proposed to dispatch two army officers to offer their expertise. Greece has decided to finance the above programme, for the period 2002-2006, with the amount of 50 000 EUR per year.
108. Greece consulted and co-operated with Bulgaria on SALW and border control issues according to the provisions of the police co-operation agreement with Bulgaria. Greece also provided legal assistance to the process for the formulation of the Bulgarian legislation on arms exports and the application of the EU Code of Conduct on Arms Exports.
109. Participating in the NATO programme on SALW, Greek authorities destroyed 4 000 small arms.
110. Greece signed police co-operation agreements with Russia and Ukraine. The agreements included clauses on border and arms export control. Similar agreements are being negotiated with Georgia and Kazakhstan.

#### **II.B.4. Co-ordination of practical measures with other Member States and with the EU Commission**

111. Spain regularly uses the mechanism for consultations with other Member States built in the EU Code of Conduct on arms exports.
112. All reports of loss or theft of firearms are transmitted to the Liaison Office of the Judiciary Police Service, which relays all relevant data to the Schengen information system.

113. Issues of SALW were discussed in 2001 in the COARM, CODUN and CONOP troika meetings with the Associated countries, the EEA-EFTA countries, the Russian Federation, Ukraine, Canada, the United States, China and South Korea as well as in the Joint Working Groups on SALW between the EU and the US and Canada.

#### **II.C. Organising and participating in international seminars and conferences by Member States**

114. The Member States have provided the following information as regards organising and supporting international seminars and conferences. In addition, the EU Member States have participated in numerous seminars and workshops on export controls and on SALW.
115. Italy, Sweden, Austria, the Netherlands, UK and Belgium participated in the EU-SADC seminar on advancing action to tackle the proliferation of small arms in Southern Africa, organised by Saferworld and the Institute for Security Studies (Brussels, 24-25 April 2001).
116. In March 2001, France (and Italy) participated in a seminar organised in Geneva (12-13 March 2001) by France and Switzerland on the traceability, marking and registration of SALW and in a Seminar on SALW organised in France at the Bourges Military Academy (Ecole supérieure et d'application du matériel (esam)) for 15 foreign officers from member countries of the partnership for peace.
117. France participated in April 2001 in a seminar organised in Budapest by Hungary and Canada on international embargoes and sanctions in relation to SALW and in May 2001 in a seminar organised by the International Law Association on the legal aspects and international rules of trade in SALW (Geneva, 17-19 May 2001). Italy also participated in the latter seminar.
118. In April 2001 Spain attended the Second Interparliamentary Meeting among Members of the Parliaments of Spain, Sweden, and Central American countries. This meeting was part of a process geared at improving the arms legislation of Central American countries through the exchange of experiences among Members of Parliament. Promotion of the universalisation of the relevant international treaties is also an integral part of the project. The Third Interparliamentary Meeting will take place in Madrid in the fall of 2002. Sweden allocated SEK 970 000 to these meetings.
119. Spain attended in Warsaw, Poland, in January 2001, and in Nicosia, Cyprus, in June 2001, two seminars about control of arms exports with the EU Associated Countries.
120. Finland together with Canada, Costa Rica and the Arias Foundation funded a seminar for Central American countries (San Jose, Costa Rica, 3-5 December 2001). (Italy and Belgium attended). The Finnish contribution was EUR 28 500.
121. Denmark's overall Strategy for Development Co-operation 'Partnership 2000' gives increased prominence to conflict prevention activities, particularly in Africa. In June 2001, Denmark hosted 'The Maputo Conference on Conflict Prevention and Peace Building in Africa' which was attended by Ministers of Foreign Affairs and Ministers of Defence, key government civil servants, eminent African scholars and representatives of the international community. They discussed how to view conflict prevention and peace building in Africa. The conference focused on the role of regional organisations, peacekeeping capacity building, security sector reform, conflict prevention and democracy, conflicts over natural resources and the problems with SALW.
122. Belgium took part in a seminar organised by the EURISC Foundation (European Institute for Risk, Security and Communication) and Saferworld in Bucharest on 16 and 17 June 2001 on the theme of 'Improving European law enforcement and security co-operation to combat organised crime, corruption and illicit arms trafficking.'

**II.D. EU and Member State participation in the work of international organisations and regional arrangements in the field of conventional arms, especially small arms and light weapons, and efforts to build consensus in relevant regional and international fora on the principles of the Joint Action**

**II.D.1. *The United Nations (in particular the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects)***

123. Due to the importance that the EU attaches to the measures to combat the uncontrolled spread and destabilising accumulation of small arms, the EU has taken an active interest in the preparations for the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects.
124. The EU has put forward proposals in key areas, such as export controls and criteria; marking and tracing; brokering; stockpile management, surplus and destruction; disarmament, demobilisation and reintegration of ex-combatants; assistance for implementation of concrete measures and follow-up, in pursuit of a politically binding Programme of Action with forward looking measures at the national, regional and global level. EU Member States took active part in the Conference as well as in the meetings of the Preparatory Committee to the Conference. In its capacity as Chair of the G8, Italy focussed also on SALW issues during the preparation of the G8 ministerial meeting. The Italian Deputy Minister of Foreign Affairs conveyed a message on behalf of the Foreign Ministers of the G8 at the opening ceremony of the UN Conference.
125. In February, the UK organised a major international seminar at Lancaster House, London. The then Secretary of State for Foreign & Commonwealth Affairs, Robin Cook gave the keynote address. The seminar sought to contribute to preparation for the UN Conference by exploring possible outcomes and examining how best States might implement them.
126. Working closely with the EU Presidency and Partners, the UK gave its full support to Sir Michael Weston, UK and EU candidate to chair the UN Conference.
127. Some EU Member States provided funding for the attendance at the third PrepCom of the Conference for expert delegates from African countries or for attendance of participants of conferences on SALW (Sweden, 56 000 Euro). The Netherlands, has granted EUR 56 000 to provide for the delegates to attend conferences. Belgium provided a contribution of BEF 1 008 000 to cover the travel and accommodation expenses of the government experts of southern and eastern Africa who attended the third PrepCom and the Conference. Ireland contributed 19 050 EUR to fund the attendance of three experts from SADC at the UN Conference. France provided EUR 32 014 to enable representatives of French-speaking African NGOs involved in combating SALW trafficking to travel to the Conference. The UK contributed GBP 70 000 for the participation of 20 governmental experts from developing countries in the Conference.
128. Furthermore, Belgium, Finland, France, Germany, UK and Sweden have participated in the work of the United Nations Secretary-General's Group of Governmental Experts on small arms, which has produced two reports on the issue.
129. The UK looks forward to being actively involved in the new UN Panel of Governmental Experts that will examine the feasibility of developing an international instrument on the tracing of Small Arms. Already a topic of concern, the UK expects that the events of 11 September will give added impetus to this work.
130. France has appointed a representative of the Ministry of Defence to participate in the discussions of the group of experts set up by UNGA Resolution 56/24 V on 24/12/01.
131. France, in co-operation with Switzerland, presented during the Second session of the Preparatory Committee for the United Nations Conference a franco-swiss initiative on the traceability of SALW. This initiative was the subject of a seminar held in Geneva on 12 and 13 March 2001. The initiative now in progress to set up a mechanism for the traceability of SALW is based on Chapter 2(36) of the action plan adopted at the Conference.

132. The EU Member States have continued to participate actively in the negotiations on the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transitional Organised Crime, which was adopted without vote by the General Assembly on 31 May 2001. Italy chaired the ad hoc committee on the elaboration of the Convention. France is currently preparing the signing and ratification of the Protocol. Denmark took part in the elaboration and negotiations of the Protocol and expects to sign it in 2002. Ireland expects to be in a position to sign the Protocol in 2002. Italy signed the Protocol on 14 November 2001 and is starting its domestic procedures for ratification. Austria has signed the Protocol on 12 November 2001. Greece expects to sign in 2002.

#### II.D.2. *The United Nations General Assembly*

133. Member States have taken the following positions on the resolutions relating to small arms issues, which were adopted by the 56th General Assembly of the United Nations:
- 'Consolidation of peace through practical disarmament measures' (56/24P)
    - Germany (tabled), EU Member States co-sponsored
  - 'Transparency in Armaments' (56/24Q )
    - Germany and the Netherlands (tabled), EU Member States co-sponsored
  - 'Illicit Trade in small arms and light weapons' (56/24V)
    - EU Member States co-sponsored
  - 'Assistance to States for curbing illicit traffic in small arms and collecting them' (56/24 U)
    - EU Member States co-sponsored
  - 'Relationship between disarmament and development' (56/24E)
    - adopted by consensus

#### II.D.3. *The Organisation for Security and Co-operation in Europe*

134. EU delegations have taken active part in the elaboration and the implementation of the OSCE Document on SALW. The OSCE Document, negotiated under UK co-ordination, is a regional contribution to combating the proliferation and misuse of SALW as well as a major confidence-building step towards the UN Conference. As established by the Document, Denmark, Sweden, the Netherlands, the United Kingdom, Italy and Belgium contributed to the first information exchange on SALW in June 2001. The information covered areas such as national legislation and procedures on export controls (including brokering), manufacture, marking systems and weapons destruction.
135. Finland financed and seconded a national expert, as of December 2001, for the OSCE Conflict Prevention Centre to prepare an overview of the first OSCE Information exchange. Finland also contributed EUR 50 000 to the OSCE Voluntary Fund for Moldova for the destruction of small arms and ammunition and financed the participation of a national expert to Moldova for the meetings concerning the destruction programme (EUR 2 360). The Netherlands contributed to the Fund. Out of the contribution destruction of SALW and munitions will be financed (EUR 2,7 million).
136. Denmark granted more than EUR 300 000 to an OSCE 'Voluntary Foundation for Activities related to the Removal and Destruction of Russian Military Equipment and Ammunition in Moldova', primarily aiming at SALW. Germany contributed as well. The foundation aims at supporting the implementation of a bilateral agreement between the Russian Federation and Moldova on withdrawal and destruction of Russian military equipment from Moldova before the end of 2001.

137. Together with Canada and Switzerland, the Netherlands financed five regional seminars in Central Asian states on the implementation of the OSCE document concerning SALW. The Netherlands contributed USD 20 000. Germany actively participated. Italy participated in the workshop co-sponsored by Switzerland and Azerbaijan on 'Small Arms and Light Weapons: Practical Challenges for the Implementation of Current Undertakings in the OSCE and EAPC' (Baku, 21-22 June 2001).

#### ***II.D.4. The Economic Community of West African States***

138. In July 2001, the EU expressed its support for the extension of the West African Small Arms Moratorium.

#### ***II.D.5. The Wassenaar Arrangement***

139. The EU Member States participated actively in the work of the Wassenaar Arrangement. EU Member States have actively supported proposals to enlarge the scope of reporting on arms transfers to include SALW. France suggested that until decisions on transparency measures were taken to look at other measures that would facilitate increased traceability and guarantees as to end-use and risks of diversion.

#### ***II.D.6. Southern African Development Community***

140. In regular bilateral contacts with SADC States, including at ministerial level, the United Kingdom has supported efforts to bolster the EU/SADC process and the implementation of the EU/SADC Regional Action Programme.

#### ***II.D.7. The Euro-Atlantic Partnership Council and the North Atlantic Treaty Organisation***

141. EU Member States participated actively in the work of the Euro-Atlantic Partnership Council Ad Hoc Working Group on NATO initiatives to combat the SALW problem.

### **PART III**

#### **PRIORITIES FOR THE FUTURE ASSISTANCE OF THE EUROPEAN UNION**

##### **III.A. Priority guidelines**

142. The EU will make an important contribution towards eradicating the problems caused by destabilising and uncontrolled spread of SALW. As stated in the European Programme for Conflict Prevention endorsed by the European Council (Göteborg, 15-16 June 2001), working towards the elimination of this source of destabilisation and conflict will be a great contribution to preventing future conflicts. The actions already taken by the EU represent important steps in this regard and should be followed up by determined efforts in the same direction. The adoption by the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, of a Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects adds to the commitment taken earlier by the EU through its Joint Action on small arms. This commitment would be served by the consideration given at EU level to the possibility of establishing regular funding of projects by the EU in pursuit of the end objectives of the UN Programme of Action. Politically the EU should consider how to minimise possible negative political consequences from not being able to reinforce its negotiating positions on policy and projects (e.g. in 2003) with a record that reflects co-ordinated and results-based implementation of the UN Programme of Action with reference to the EU Joint Action.

143. With a view to improving and deepening the implementation of the Joint Action and the Programme, Member States have identified a number of guidelines on issues on which decisions should be taken or to which attention should be given in the near future. These guidelines will obviously be subject to periodical reviews, according to the experience accumulated in the process of implementing EU projects.

### III.B. The need for a comprehensive approach

144. Although there is a wide recognition that further international actions should be taken to deal with the problems of SALW, there are many complex factors and processes that need to be taken into account, such as international and internal security, trade, civil-military relations and the role of weapons in society. These problems cannot be solved by one quick fix. They must be addressed through a comprehensive approach dealing with the different aspects of the problem — which might differ from region to region — and the solutions must be sought through a wide range of agreed measures. Member States agreed that such efforts should aim both at the reduction of existing destabilising accumulations and at the prevention of further uncontrolled spread of these weapons. Through assistance, local capacities to address these issues can be strengthened.
145. As regards financial support to SALW related projects, the objective of the EU will be to strengthen the efforts to reduce the availability and supply of SALW to areas of conflict or potential conflict, to help to develop a range of international measures to limit the demand for SALW in such areas, and to help governments to cope with the problems these weapons cause. Such measures will be taken by the EU or at the Member State level, and by acting through the appropriate regional or global institutions. The respective efforts of the Member States and of the Commission will aim for complementarity, and reflect the ambition to deal with the different aspects of the small arms problem at the national, sub-regional, regional and global level.
146. The projects selected for EU financing should ensure real and tangible benefits for the recipients of the project. An important part of the financing should be targeted at own, carefully designed projects implemented by the EU. Therefore it is imperative that a proper implementing framework has been identified and that the project can function both technically and politically in the planned context. Funding projects — budget permitting — also from a broader range of countries and regions could be considered, bearing in mind the need to optimise the impact and sustainability of EU initiatives and taking the need of 'added value' and tangible benefits from EU funds into account in the light of agreed criteria.
147. Special attention should also be paid to a closer co-ordination with efforts already carried on at the multilateral level (i.e. UNDP, UN Regional Centres, NATO, EAPC and others) as well as at the bilateral level looking for synergies.

### III.C. The need for targeted action

148. Countries with high levels of insecurity or violence cannot make effective use of development assistance. Therefore, assistance to conflict-prone countries or regions should be provided to promote security, disarmament, demobilisation and reintegration into the society of ex-combatants as an integrated part of social and economic development programmes.
149. In those cases where the governments are actively concerned with reducing the arms flow into and circulation of SALW within their region, the EU should co-operate with them in this task. In practice, recipient governments may lack the capacity to implement their own control programmes. Therefore, the EU is prepared to consider providing practical support for initiatives such as capacity building and training, awareness raising etc. Priority should be given to projects enhancing national implementation abilities as to control of the flow of weapons (export/import control, tracing ability) and to collection and destruction programmes in post conflict situations. Given the size of some projects particularly in the field of ammunition destruction for SALW it might be advisable as EU to join forces with non-EU partners (e.g. EAPC projects).

### III.D. Lessons learnt

150. Taking past EU actions on SALW into account and drawing from experience in the previous assessments, implementations and evaluations of SALW projects, the following benchmarks should be kept in mind with regard to project identification:

1. The holding of biannual CODUN expert meetings on SALW issues and projects is a useful exercise and should be continued.
2. Allocations of funds for the following year must be decided by the autumn SALW CODUN expert meeting at the latest in order to allow for a proper preparation of the projects and optimal use of resources in the Community budget. The Council Decisions concerning individual projects will be made starting from the beginning of the following year, subject to available appropriations in the budget.
3. Efforts should focus on a limited number of large-scale projects. EU involvement should be better analysed and implemented. When supporting third party projects the visibility of EU contributions must be ensured.
4. Timely and thorough preparation of the 'Action Statements' must be taken into account. The context and content of the underlying project and parts to be financed must be described.
5. There should be a clear picture of the implementation modus, including an assessment of the 'implementing body or agency/NGO' envisaged for the action, and of their ability to carry out the action in a satisfying way.
6. Co-operation on projects with non-EU national donors is politically useful, but very difficult to organise in practice due to differing political priorities, budgetary procedures, working methods, etc. Careful attention should be paid to the practical organisation of such co-operation.
7. Co-operation between the EU and MS national efforts leaves a lot to be desired.
8. More efforts should be directed towards involving NGO's as well as the private sector.
9. Commission contribution based on EU-ASAC project:
  - It is essential that the project works in close co-operation with a host state government that is committed to limiting the ownership and use of small arms and light weapons in the society. At the same time, the project should be sufficiently autonomous from the government to be able to pursue the project's objectives as set in the Council Decision.
  - The project should ideally have an integrated, multi-faceted, approach ('SALW programme') where the impact of each programme component individually is strengthened by the implementation of the other components, thereby combining to form a powerful integrated package. Such a programme could include, *inter alia*, the following components (example from the EU ASAC in Cambodia):
    - assistance to drafting and introduction of Arms Law
    - weapons registration and safe storage
    - 'Weapons for Development' schemes, where the local population are encouraged to hand in illegal weapons to the police in exchange for community development projects
    - weapons destruction
    - public awareness campaigns.
  - A country needs a legal framework that clearly regulates the possession and use of SALW in society. Once an Arms Law is in place, it is important that police are trained in understanding and applying the law and that the public is informed about the implications of the law. Project assistance is valuable in both drafting and introduction phases.

- Support to weapons registration and safe storage helps governments reduce uncertainty about the number, type, location and security of weapons they possess. Experience has shown that, once all weapons in a given military region have been registered, the military authorities can be convinced that they have more weapons than they need and that the surplus can be destroyed. The setting up of safe storage facilities is relatively inexpensive and at the same time particularly important in poor countries with large quantities of arms.
- 'Weapons for Development' (WfD) projects are likely to be more successful if they include support to improve the performance of the local police. Villagers will not hand in their weapons if they feel that their personal safety is still in danger. The unit cost per one weapon handed in is relatively high, but WfD brings for the communities 'security value' which is difficult to measure in monetary terms.
- Destruction of illegally-held weapons that have been handed in as well as military and police surplus weapons in 'Flames of Peace' ceremonies may have high symbolic value and give the image of progress towards a more peaceful society. Smaller destruction ceremonies are particularly appropriate in areas where Weapons for Development projects are being implemented, strengthening confidence that the weapons handed in by the villagers are actually destroyed and not used against them.
- Illegal trade of SALW across borders hampers any efforts to tackle the problem of SALW in a given country. Enhancing border controls would be an area to consider in future EU support.
- EU visibility in the field of SALW is increased by implementation of own carefully designed EU projects and not by giving small contributions to projects implemented by other actors.

### III.E. Criteria for allocation of funds

151. The EU is in the process of developing a more systematic approach of potential projects to support, in particular with regard to project identification and design. The following criteria have been identified against which the EU will make a preliminary assessment of applications:
1. Assistance by the EU in the field of SALW must be based on a genuine political will in the recipient state. A clear answer should be given to the question: 'expression of a clear political, thematic or geographical vision or strategy, OR is it deliberately and justifiably an ad hoc action serving distinct purposes?'
  2. The proposed projects must enhance either local, national or regional security within the recipient state/region (e.g. contribute to control of small arms, confidence building measures, reconciliation, regional stability). This implies an *ex ante* and the effective impact of the project on the envisaged overall objective, such as conflict prevention, creation of a peaceful environment, etc.
  3. Assistance in the field of SALW should be part of an overall development and security strategy with regard to the recipient country. In cases where this is not possible, the project proposal should outline how this activity will contribute to integrating SALW policy into wider security and development policy.
  4. Coherence with past/current/future actions in the same country or in the same region must be assured.
  5. Assistance projects will be based on close co-operation with the authorities in the recipient state and the role of different actors should be defined.
  6. In projects, which include a weapons collection component, all weapons collected should, in principle, be destroyed.

7. For each project, clear objectives will be established and benchmarks and time lines identified, so as to make it possible to assess impact of the project. The practical needs of the final beneficiary should be assessed. Results and 'lessons learnt' from past similar experiences taken into account.
8. Requests for assistance should clearly state how the proposed project will further the aims and objectives of the EU Joint Action.
9. Requests for assistance should clearly state how the proposed project would enhance the recipient state's ability to implement existing regional or international commitments.
10. More efforts should be directed towards involving NGOs as well as the private sector, where possible.
11. The sustainability of the project must be taken into account in the assessment.
12. Co-operation between EU and Member States' national efforts must be assured.

The criteria are for the most part based on the result of evaluations undertaken and expertise gained by the Commission in the implementation of CFSP budgets.

### III.F. The need for thorough assessment and evaluation

152. It is important that the projects supported by EU funds are thoroughly assessed and evaluated. Measures to achieve this include:
- The implementation of the projects should be according to sound principles of financial management.
  - A final report will be submitted at the end of a project, summarising the results achieved.
  - An assessment will be made in order to evaluate if its objectives have been reached and if a follow-up is needed. Such an assessment will be made at least towards the end of the project. Projects, which are implemented over a long period of time, or to which the financial contribution of the European Union is important, will be assessed also during the period of implementation.
  - The Commission will reflect on setting up comparable templates for evaluation of supported projects as well as for the assessment of new project proposals.
  - The assessment will be organised by the Commission within its budgetary implementation competence and carried out by independent expert. It will be presented to the relevant EU working group or the Commission in close coordination with the Presidency. Allocation of funds must be decided timely in a timely fashion for the following year by the autumn SALW CODUN at the latest and additional efforts should be directed to the timely and thorough preparation of the 'Action Statements' for projects. The allocation of funds is made with the understanding that Council Decisions concerning individual projects will be made starting from the beginning of the following year, subject to available appropriations in the Community budget.
  - The final report and the assessment will also be used to identify lessons to be learned for future projects. It is suggested that the Commission provide the assessment on the basis of the above criteria.
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## ANNEX

## SALW

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