

RESOLVING SMALL ARMS PROLIFERATION



Acknowledgements

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Foreword

The United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in all its Aspects (UN PoA) is divided into recommendations for action at national, regional and global levels. All of these are equally important and constitute one integral and inter-dependent whole. In order for national measures to be successful they require a conducive regional environment. Likewise, for the regional measures to advance they require a strong commitment in realising concrete action at national level.

Under the national recommendations section there are 22 paragraphs that identify the measures and actions that each State should undertake in compliance with the Programme. It is clear that some measures and actions that should be undertaken at national level, namely the establishment of national co-ordination agencies and focal points are fundamental points of departure. All of the other measures also require urgent attention and can be usefully realised, in a sustainable and practical manner, through the national decision of undertaking a national plan of action for arms management and disarmament.

In 2002 and 2003, some countries have commenced national plans of action as a tool for compliance with the UN PoA and their own regional initiatives. This is particularly the case in the United Republic of Tanzania, the Republic of Mozambique, the Republic of Uganda and the Republic of Kenya in Africa. The process that these countries are pursuing follows an interesting and successful model developed by SaferAfrica and Saferworld for development primarily in Africa but with the potential for application in all States equally affected by the proliferation of small arms and light weapons.

This publication by Jakkie Potgieter and Angus Urquhart of SaferAfrica and Saferworld will greatly assist those who wish to implement similar processes at national level.

Ambassador Mitsuro Donowaki, Japan
Ambassador Carlos Dos Santos, Mozambique
Ambassador Camilo Reyes, Colombia

June 2003

Introduction

Over the past two years, SaferAfrica and Saferworld have responded to requests from the governments of Tanzania, Uganda, Mozambique and Kenya to assist with the development of National Action Plans for Arms Management and Disarmament (NAPs) to control the proliferation of small arms. SaferAfrica and Saferworld have worked with the governments and civil society in these countries to conduct national assessments, or mappings, of the extent and nature of the small arms problem from which a NAP can be developed.

In Tanzania, the mapping process was completed in late 2001 and a NAP has been approved by Cabinet. It is now in its second year of implementation and the practical impact is already being seen. In Uganda, the information collection phase of the process has been concluded and the NAP is currently being developed. While in Mozambique and Kenya preparations are being finalised for the information collection phase and NAPs will be developed later in 2003.

The mapping projects initiated by the governments of Kenya, Mozambique, Tanzania and Uganda represent some of the most significant and comprehensive national efforts that have been taken to tackle the scourge of small arms. Two years after the agreement of the UN Programme of Action on small arms these projects are evidence of the substantial progress that can, and must, be made. As many governments and civil society organisations across the globe seek to develop comprehensive and sustainable small arms programmes - and in so doing seek to fulfil the commitments of the UN Programme of Action and other international and regional small arms agreements - we felt that it would be useful to share the experiences gained from the mapping and NAP processes in Southern and Eastern Africa.

This report describes the process and environment that has led to the development by SaferAfrica and Saferworld of the small arms mapping/NAP methodology; outlines the methodology; presents some of the practical experiences gained through its implementation; and reflects upon some of the key lessons that we have learnt.

Our thanks go to all the government officials and civil society organisations in Kenya, Mozambique, Tanzania and Uganda who have seized so readily on the NAP idea and worked so hard to make these projects successful. Thanks must also go to the Security Research and Information Centre whose staff, especially Jerry Kitiku, have played an important role in the mappings in Tanzania, Kenya and Uganda. Lastly, thanks to all the staff from SaferAfrica and Saferworld who have given so much time, commitment and expertise, and in particular to Jakkie Potgieter who, as Mapping Co-ordinator, has driven this process so skillfully and effectively.

Virginia Gamba
Director, SaferAfrica

Paul Eavis
Director, Saferworld

BACKGROUND

Countries in Eastern and Southern Africa are gravely affected by the proliferation and illicit trafficking of small arms and light weapons. The availability and spread of weapons is one of the main factors fuelling conflict, crime, human rights abuses and under-development in the region. However, there has been little detailed analysis done at the national level to assess the exact nature and extent of the small arms problem in specific countries, to develop comprehensive strategies to address the problem on the national and sub-regional level, and to capacitate key governmental and civil society participants to engage to fully implement the regional and international agreements that have been developed.

There is now a much greater awareness of the devastating impact that the uncontrolled proliferation of small arms can have on societies and concerted efforts have been made by many actors - both governmental and non-governmental - to address the problems associated with small arms misuse. The primary focus of these efforts has been on creating awareness of the problems related to small arms proliferation, agreeing norms for the control and management of small arms and building the political will to take effective action on these key issues. The results of these efforts have been considerable and there are now a number of international, regional and sub-regional small arms agreements in place.

For the states of Southern and Eastern Africa the key international and regional small arms agreements are:

- the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects;
- the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime;

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- the Bamako Declaration on an African Common Position on the Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons;
 - the Nairobi Declaration on the Problem of the Proliferation of Illicit Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa; and
 - the Southern African Development Community Protocol on the Control of Firearms, Ammunition and Other Related Materials in the Region of the Community.

These agreements set out requirements across a broad range of areas relating to the control of small arms including:

- firearms legislation;
- the establishment of national and regional agencies and points of contact;
- marking, tracing and recording keeping;
- control of the import, export, transfer and transit of small arms;
- brokering;
- destruction and disposal;
- stockpile management;
- public awareness raising;
- information sharing;
- demobilisation and re-integration of former combatants; and
- enhancing operational capacity of law enforcement agencies.

Progress has been made at the regional level in implementing these regional and international agreements. In the Great Lakes Region and the Horn of Africa, the Nairobi Secretariat has been established as the regional co-ordination agency for the implementation of the Nairobi Declaration. The Secretariat has five full-time members of staff which are working on activating the Co-ordinated Agenda for Action and accompanying Implementation Plan, that were agreed in November 2001, and on the revised implementation work-plan and programme concluded at the First Ministerial Review Conference of the Nairobi Declaration in August 2002. In Southern Africa, the Southern African

Regional Police Chiefs Co-operation Organisation (SARPPCO), which has been sanctioned as the implementing agency for small arms in the region, developed an Operational Implementation Programme for the SADC Firearms Protocol in August 2002.

While the regional and international agreements call for action to be taken at the international and regional levels their primary focus is on the national level. Indeed, the UN Programme of Action specifically recognises that it is the primary responsibility of national governments to control small arms. Countries in Southern and Eastern Africa have begun to act, with many states in both regions establishing National Focal Points (NFPs), or equivalent national co-ordination bodies for small arms issues. However, while these NFPs have been established, in many cases they have yet to become fully operational and in very few countries have comprehensive action plans been developed or implemented. Such NAPs are a specific requirement of the Bamako Declaration:

2 (viii) *the institutionalisation of national and regional programmes of action aimed at preventing, controlling and eradicating the illicit proliferation, circulation and trafficking of small arms and light weapons in Africa*

3 A (iv) *develop and implement, where they do not exist, national programmes for:*

- *the responsible management of licit arms*

3 A (viii) *encourage, where appropriate, the active involvement of civil society in the formulation and implementation of a national plan to deal with the problem*

For efforts at the national level to be truly effective it is crucial that a comprehensive approach is taken and this is recognised by many of the regional and international agreements. For instance, the Co-ordinated Agenda for Action of the Nairobi Declaration makes provision for ensuring *'a sustainable solution to the problem through*

the pursuit of a long term co-ordinated and concerted effort¹. Further it calls on State Parties to 'develop, implement and sustain a comprehensive strategy to combat the illicit proliferation of small arms and light weapons, taking into account the linkages between arms proliferation and all aspects of human security and the long term objective of obtaining peace, stability and development in the region².

The most pressing priority is to ensure the effective implementation of these commitments. One of the primary obstacles to this is the lack of detailed knowledge of the problem on a national level. This lack of concrete information and detailed analysis has also hindered the ability of governments in Eastern and Southern Africa to contribute to the different sub-regional processes in a meaningful way.

Having been closely involved in the sub-regional processes in both Southern and Eastern Africa, SaferAfrica and Saferworld recognised the importance of accurately identifying the nature and extent of the small arms problem and the measures needed to address it. We developed a methodology to nationally map the small arms problem in countries in these sub-regions and to assist the governments to create and implement a NAP based on the results of such a national mapping or assessment. A number of key factors form the central principles of the mapping approach.

¹Paragraph 1.1 Co-ordinated Agenda for Action on the Problem of the Proliferation of Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa

²Paragraph 2.2 Co-ordinated Agenda for Action on the Problem of the Proliferation of Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa

KEY PRINCIPLES OF THE MAPPING APPROACH

As has already been highlighted a comprehensive approach must be taken if a true understanding of the nature and extent of the impact of small arms in a particular country is to be gained and an effective response developed. Efforts to strengthen legislation must be combined with building the capacity of law enforcement agencies to enforce controls, enhancing controls on weapons stockpiles, removing weapons from communities, public education and socio-economic initiatives to reduce the demand for small arms. Such an approach must address both the demand for and the supply of small arms and cannot be limited to a narrow technical or solely law enforcement focus (though of primary importance) but must also address the 'softer' societal factors such as infrastructure and service provision, education and economic development. If one particular element is pursued in isolation, then the chances of success are limited - for example collecting weapons from a pastoral community without simultaneously putting in place measures to guarantee their security, encourage non-violent conflict resolution, provide development alternatives and strengthen border controls to prevent new supplies coming in, may simply create a new demand for small arms.

Fully assessing the nature of the small arms situation in different countries and developing comprehensive NAPs to address the problem is therefore vital. This approach is designed to place efforts to tackle small arms in the context of broader development, conflict prevention and good governance issues. Small arms are a useful entry point with African governments for work on these issues and a key objective of the national assessments is to demonstrate these linkages and develop measures to ensure that small arms management initiatives can complement strategies to address broader security and safety issues. This is important both as an end in itself, since the promotion of good governance and effective conflict prevention is crucial to the long term prosperity of many African states, but also when viewed more narrowly with a specific small arms focus. The small arms problem can

only be effectively addressed if the wider issues of poor governance, under-development and insecurity, which fuel the demand for small arms, are tackled. The mapping and NAP approach is based upon the recognition of the connections between these issues. The national action approach therefore discourages the view that effectively tackling the spread of small arms requires purely technical solutions to the problem.

Another key principle of the mapping approach is that the process is one of *partnership*; a partnership between SaferAfrica and Saferworld and the national government, and a partnership between the national government and local civil society actors. In this way the approach aims to be fully *inclusive* by working with all key stakeholders; national governments and civil society as well as donor organisations. The process is also one that is initiated and led by the nationals of the particular country. SaferAfrica and Saferworld will undertake mappings only where we have been invited to do so and where there is considerable political commitment from the national stakeholders. The process is then led by the key national stakeholders with SaferAfrica and Saferworld providing the expert technical assistance and guidance. The mapping and NAP process must be owned by the national stakeholders, by the people of the country. Such a sense of ownership is fundamental to the long term sustainability of the process.

Finally, the principle of *sustainability* is important. The focus of the mapping and NAP in each country will be based upon what is realistically achievable with the available resources. A key element of the mapping assessment is therefore to assess what resources exist, how these can be most effectively utilised and where new resources are both needed and can be attained. A strong emphasis is thus also placed on building the capacity of the government and civil society, to provide them with the necessary resources - both human and material - to consistently and effectively tackle the small arms problem.

In addition, engagement with the donor community is important in ensuring the sustainability of a NAP. Throughout the mapping and NAP process SaferAfrica and Saferworld seek to work closely with the donor community to raise awareness of the small arms initiatives and to investigate how, and ensure that, small arms work can be and is embedded into wider development and sectoral programmes. This is important in ensuring that sustained support is given to the NAPs and that small arms is rightly viewed as a consistent funding priority. Indeed, by taking a comprehensive and inclusive approach based on partnership and local ownership, sustainability is itself enhanced.

MAPPING METHODOLOGY

The mapping and NAP approach therefore is founded on the principles of comprehensiveness, sustainability, inclusiveness, realism and ownership. These are the principles that have informed the creation and ongoing development of the mapping methodology. At the time of writing, in June 2003, SaferAfrica and Saferworld have undertaken and completed mappings in Tanzania and Uganda and are currently engaged in mapping Kenya and Mozambique. The methodology has developed and been enriched by experiences of application and lessons learnt. One of the key lessons that experience of arms control in Africa has taught and that informs the mapping methodology is that each country and each situation is different and requires a nuanced approach. The methodology represents a broad framework that can be developed and adapted to the specific needs and circumstances of an individual country. It is not a 'one size fits all' approach. Such flexibility is of paramount importance. The political, geographic, economic, cultural, historical and societal situation of every country is different. The nature of the small arms problem and the capacity to address it will also differ from country to country. Consequently, a national mapping and NAP must be just that; national. They must both be sculpted to fit the specific needs and circumstances of that individual country. The mapping and NAP approach is therefore a flexible and adaptable process.

The mapping process involves an in-depth analysis of the real demand and supply factors for small arms as well as assessing the real capabilities and needs of the country. The following factors are those that the mapping seeks to uncover and critically assess:

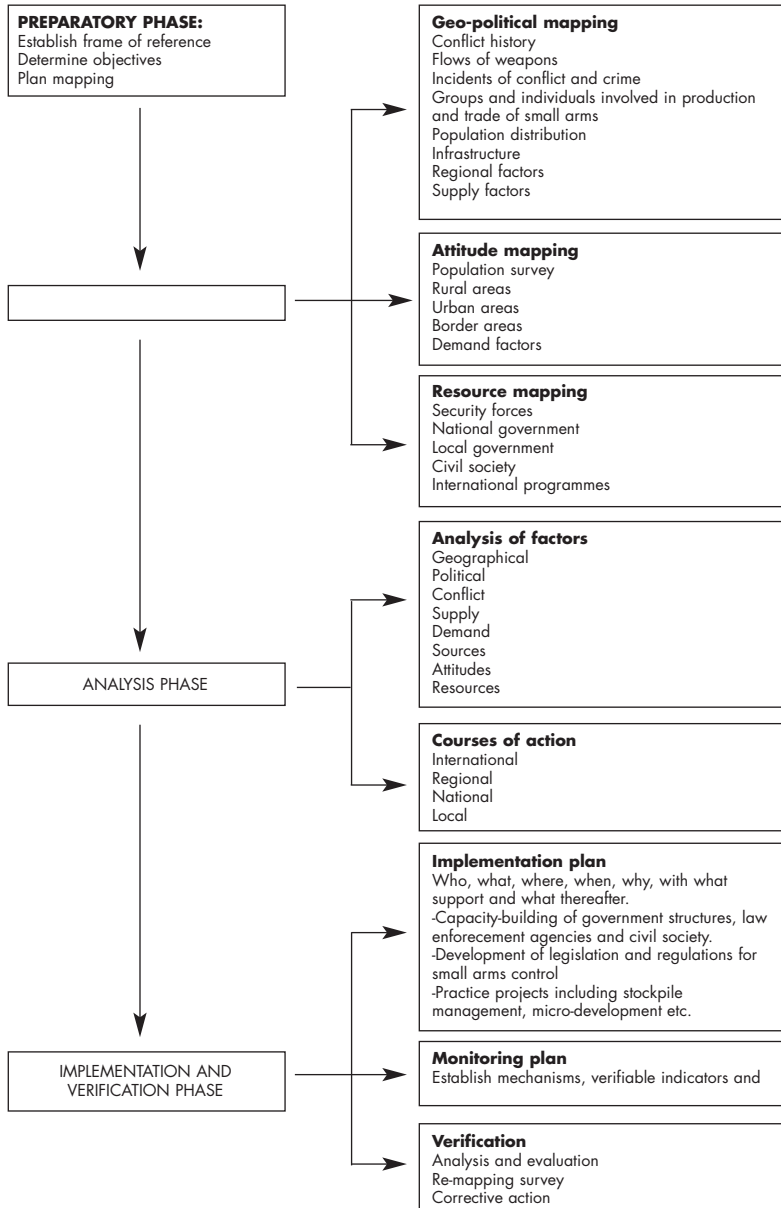
- The extent of illicit small arms penetration in society;
- The impact of firearms penetration on the security, well-being and economic potential of society;
- The mechanisms, routes, circumstances, people and organisations responsible for the proliferation, trafficking and transport of small arms and light weapons as well as the levels of ownership by both state and civilian actors;

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- The regulations and administrative procedures that exist to assist with law enforcement;
 - The functions, responsibilities and capacity of each government department and law enforcement agency that has a role to play in terms of combating small arms trafficking and minimising the impact of the penetration in society;
 - The attitude of the population to security and the spread of small arms (gauged through an extensive quantitative survey). This helps to determine the demand factors present in society (eg fear, insecurity and poverty) and possible agents for change that can be utilised to control small arms proliferation;
 - The requirements of international agreements, protocols and action plans and the changes and actions required of the country to meet these commitments in relation to its own national situation, objectives, legislation, and policies; and
 - The resources available in both government and civil society to tackle the problem immediately, and the capacity and other needs that must be met in order to implement the required action plan.

The conduct of a mapping and the creation of a NAP is undertaken as a full partnership between the key national stakeholders, from both government and civil society, and the Mapping Team from SaferAfrica and Saferworld in response to a request for assistance from the government. The design of the project will depend upon the level of development and progress that has been made nationally on the small arms issue and more specifically on the extent to which effective national structures to address the issue have been established. For a mapping to be successfully conducted and a NAP effectively developed and implemented there must be some inter-agency body to co-ordinate small arms initiatives on the national level. Indeed, the establishment of inter-agency co-ordinating bodies or national focal points is a requirement of all the international and regional small arms agreements. Ideally such a body will include all government departments with a key interest in small arms control issues and representatives of civil society. Where such a body does not exist the first task is to help establish and capacitate a national focal point, helping to develop its mandate, work-plan and identify a lead agency.

Once a national focal point is established, there are four main phases involved in a national small arms mapping process. A summary of the Mapping Process looks as follows on the next page:

Summary of the mapping process



DESCRIPTION

a. Preparatory phase:

The main goals of the preparatory phase are:

- To identify the goals and objectives of the mapping;
- To undertake the logistical planning for the information collection phase; and
- To identify those gaps in information relating to the small arms situation in the country that must be filled during the information collection phase.

The first step is researching and producing a background country report on the political and security situation in the country to identify key local issues. This is essentially a desktop study using existing information from public sources. It will look at the political and security situation in the country, levels of production and exports, status of borders, regional and international small arms commitments etc. It will also include some regional overview research to examine the relationships with neighbouring countries and other regional factors. The information contained in the report will be verified and added to during the fieldwork conducted in the information collection phase.

A series of planning meetings then takes place between the responsible government agencies (usually the national focal point or similar inter-agency body and including civil society representatives) and the Mapping Team. These meetings focus on the following key issues:

- Establishing terms of reference.
- Defining the objective(s) of the mapping exercise.
- Planning the mapping exercise.
- Determining the needs for the mapping exercise.

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- Allocating resources for the mapping exercise.
 - Completing the mapping timetable.
 - Completing physical logistical preparations for the mapping exercise.

These meetings are vital to ensure local ownership of the NAP process. It is important that all stakeholders share the same objectives for the exercise and understand their roles and responsibilities from the outset (as defined and stipulated by the NFP itself). Through this process of determining objectives and planning the information collection phase, the mapping methodology is adapted to meet the specific needs of the country. Typically, this series of meetings will look first at the terms of reference and objectives of the mapping. Then the key national stakeholders will report back with existing information on the small arms problem and other key factors (eg. logistics, capacity, security, political sensitivities) that will impact on the mapping exercise, and needs and resources will be identified. Finally, the mapping timetable will be completed and the logistical preparations concluded.

There is no set timetable for this preparatory phase and its duration will vary greatly from country to country. In many ways this is the most important stage in the process and cannot be rushed. If the initial planning is not done thoroughly the whole process can be derailed further down the line. It should also be recognised that undertaking a mapping exercise is a very large undertaking logistically and one that requires substantial concerted commitment and engagement from a number of actors.

There are many potential obstacles and the better the initial planning, the greater the chance of successfully overcoming the inevitable obstacles that will arise in a process of this magnitude. Indeed during this preparatory stage there may well be need to postpone the information collection and plan development phases because one of a number of essential building blocks upon which a successful plan must be built may not yet be in place.

b. Information collection phase (mapping):

During this phase information is collected in three areas of interest using three primary methods of research.

This phase seeks to collect the following three sets of data:

- **Physical (or geo-political) information** about the nature and extent of the small arms problem in the country concerned and the region.
- **Attitude information** to assess the manifestation of the problem in the country and its impact on civil society.
- **Resource information** to establish what resources are available at the national, regional (provincial) and local levels to currently address the small arms problem and assist with the implementation of the NAP. These resources can come from either governmental or non-governmental sources. Without having a thorough understanding of what is available for assisting with the implementation plan it will be impossible to fully ascertain the additional resources and skills needed for implementation.

These three sets of data are collected using three primary research methods:

- **Law enforcement agency workshops -** these are conducted in each region (province) of the country by the government representatives of the national focal point and the Mapping Team. Visiting each region of the country and identifying its specific circumstances, needs and experiences is important in creating a nuanced NAP adapted to regional needs. Typically, these meetings will be attended by members of the police, army, intelligence, customs and immigration services and representatives of the local administration / authority. Participants will come from both the regional / provincial level and the district level to ensure that

the needs and experiences of officials at all levels are gauged. The workshops aim to both inform the participants of the ongoing mapping exercise and of the development of the NAP, and their involvement as well as assess their level of commitment to the unfolding process. They are also designed to collect information on key security and firearms issues in the region and on issues of resources and capacity and to solicit their views on what should be done. Information is collected during the workshops through open discussion, more targeted discussion in small groups and a specially developed assessment questionnaire looking at specific aspects of law enforcement, small arms and capacity issues. The regional police commander will also present a paper on the small arms issue in the region and presentations will be given by the NFP representative and the mapping team.

- ***Civil society workshops -***

these are conducted in each region (province) of the country by the Mapping Team and government and civil society representatives of the national focal point. Participants come from active civil society organisations including non-governmental organisations, religious groups and community-based organisations. As with the law enforcement agency workshops, identifying regional peculiarities is important. These workshops seek to inform local civil society actors of the NAP and their potential involvement in its implementation. They also seek to collect information from local civil society on their engagement and knowledge of the small arms issue, their views on what should be done and their capacity needs.

- ***Population (attitude) survey -***

a representative cross-section of the population in terms of age, gender and geographical distribution are surveyed. The survey is conducted by local people trained in research methods by the Mapping Team. In Tanzania, 3,000 surveys were conducted by 41 fieldworkers, while in Uganda 5,000

were carried out by 60 surveyors. The survey itself examines various socio-economic indicators as well as indicators of security and firearms penetration.

In so doing, the survey illuminates some of the factors influencing the demand for small arms and the interconnections between these factors and other societal socio-economic issues as well as highlighting the true impact that firearms are having on society. The results of the survey are particularly important in identifying those regions most seriously affected, prioritising responses within the framework of the NAP and identifying specific strategies to reduce the demand for small arms. The survey also helps to throw light upon the capacity of communities themselves (community structures, ability and willingness to help others etc.) to proactively address the small arms issue.

In addition to these three primary research tools, assessment visits (eg to border regions where illicit trafficking of small arms is suspected) may also be conducted to key problem areas. The time taken to conduct the information collection phase varies from country to country but is likely to take up to six months. In Uganda, for example, the information collection phase began in late October 2002 and was completed at the beginning of March 2003. This period included a break over the Christmas and New Year period and meant that the mapping team was dispatched in the field for two periods of about six weeks each.

c. Analysis and plan creation phase:

During this phase all the primary and secondary information is analysed to determine the possible options for the national plan of action. This analysis is done jointly by key government officials, local civil society and the Mapping Team, and will typically take about two weeks of intensive assessment and discussion. This helps to ensure complete local ownership and that the prescribed

courses of action and the resource allocation are reflective of the existing realities. During the analysis phase the following factors and issues must be identified and critically assessed:

- The factors fuelling the supply and demand for small arms and light weapons within the country and the region.
- The resources and current legislation and regulations that exist to deal with the small arms problem.
- The possible courses of action and options for the national plan of action to manage, resolve and prevent the manifestation of the small arms problem.
- The additional structures, resources, capacity, controls and initiatives that need to be developed to lead to the sustainable resolution of the small arms problem in the target country.

When undertaking this analysis the different levels of engagement and action must be considered: the international; sub-regional; national; provincial; and local levels.

Analysis of collected information against objectives and needs

Supply factors

Demand factors

Facilitating factors

Inhibiting factors

Resources

Resource needs

Who? What? Where? When? Why?
Which resources?

The result of this analysis is the development of a national plan of action that has the full ownership of the national government and civil society, and has emerged from a comprehensive assessment of the small arms situation in the country.

The structure of the national plan itself is dependent on the needs of each country. However experience in Tanzania, where the NAP

is in its second year of implementation, and indications from Uganda, where the information collection phase is now complete, suggest that the establishment of the structures and infrastructure upon which implementation of practical projects can be based is a likely priority for the first year. Capacity building of the implementing agencies and civil society will also be a likely priority during the first and second years of implementation.

Within each country the focus of projects will vary depending upon the needs that have been identified. Each plan will combine initiatives to address a number of arms control, security and societal and developmental issues. During the creation of the NAP the different types of project that are needed, for instance, the establishment and development of a central firearms registry, further research on the dynamics of conflict in a particular region (province) or the establishment of alternative sources of income to the manufacture or trafficking of arms, will be identified. Priorities will also be determined and the mechanics of how and when these projects will be activated will also be decided.

Within this process of need identification and prioritisation, a key factor will be the level of resources available and the consequent need for capacity building and the securing of additional resources. The provision of local resources (government, civil society and private sector) is important to increase local ownership and ensure sustainability. Part of this process of resource identification will involve examining how existing resources can be used more efficiently or where resources can be re-routed to support the implementation of the NAP. From the results of this internal audit of resources it is possible to identify the extent of external support that needs to be generated and in what areas and when this support needs to be accessed.

SaferAfrica and Saferworld will then work to assist the government with the identification of external sources from in-country and overseas donors. In this regard, the ongoing

engagement and consultation with the donor community (governments and international organisations and agencies) is an important way of ensuring that sustained support can be secured. One of the primary goals of this consultation with donors is to identify projects that can fit into an integrated structure of donor support and into the existing priorities and programmes of donor agencies. While external support will be vital to the full and effective implementation of a NAP, in most countries, the prioritisation of projects and the identification and allocation of existing resources means that in the short term significant progress can still be made without substantial external support. For instance, the creation of a national firearms policy and the review and harmonisation of firearms legislation can be undertaken on a tight budget.

The end product of the analysis and plan development phase is a comprehensive NAP, usually covering a five year period, that is based upon a careful identification of needs and resources, out of which a realistic budget and priorities for action are drawn. Once the analysis and internal consultation has been completed and a NAP agreed, the plan will then be forwarded by the NFP to senior government structures for approval. In order to ensure full political support for implementation, the NAP is usually approved by the Cabinet. Upon approval implementation can then begin.

d. Implementation and verification phase:

It is important to sustain the momentum that the creation of a NAP will have generated. In Uganda, Kenya and Mozambique, SaferAfrica and Saferworld are providing concerted support for the first six months of implementation to ensure that some of the fundamentals are in place and to capacitate local stakeholders to drive longer-term implementation. In Tanzania, however, SaferAfrica have been requested to manage implementation over the full five years of the NAP. During the first six months of

implementation a number of practical projects will be started. In Tanzania, these included law enforcement agency training, a review of policy and legislation, public awareness-raising and civil society capacity building.

Shortly after the NAP has been approved, an Implementation and Verification Plan will be developed with the government and civil society, to ensure continuity in implementation and timely verification and adjustment of the plan. The Implementation and Verification Plan allocates clear responsibilities and roles to different government and civil society agencies. This Implementation and Verification Plan ensures that implementation activities are monitored and their impact verified on a constant basis. This ongoing process of monitoring means that adjustment to projects and, where necessary, corrective action can be taken to ensure that the agreed objectives of the NAP are successfully fulfilled. The institutional structure (National Focal Point or Arms Management and Disarmament Committee) that is given overall responsibility for implementing the NAP plays a key monitoring role. During the creation of the NAP itself SaferAfrica and Saferworld will encourage the inclusion of a re-mapping exercise after three years of implementation. This re-mapping would include the conduct of a second population survey to establish whether local people feel more secure and have noticed a reduction in small arms proliferation, or a reduction in the impact of small arms, as a result of the NAP.

In conclusion, the mapping approach encourages national stakeholders to undertake research and analysis into the uniqueness of their own problem; ensures the emergence of a fully agreed national plan at inter-agency and civil society level; assists with the earmarking of national and foreign funds to accomplish implementation; and supports the first phase of implementation to consolidate national capacities and ensure that the foundations are laid for sustainable and effective implementation.



PRACTICAL IMPLEMENTATION EXPERIENCES

a. Engaging with and building capacity of civil society

The involvement of a broad range of civil society organisations is central to the effective creation and implementation of a sustainable NAP. There are a number of tasks that civil society is well placed to carry out including, inter alia, awareness raising, training and education, local research, micro-development projects, support during multidisciplinary law enforcement operations and monitoring of government policy and action. Building their capacity is vital to help ensure the local ownership, sustainability and effective implementation of NAPs.

The mapping methodology therefore seeks to involve civil society at all stages of the development of the NAP, from planning, information gathering, analysis and the creation of the NAP, through to implementation.

One of the biggest challenges that has been encountered thus far is the lack of capacity of local NGOs to effectively engage with the issue of small arms and light weapons, as well as a vacuum of knowledge about national, regional, continental and international small arms agreements and processes. Civil society structures in general are extremely weak and there are few organisations in a position to effectively engage to the degree necessary with the implementation of an action plan. As a result a major part of the initial implementation activity is directed at building the capacity of those organisations that are to engage in the Action Plan. In Tanzania, the Centre for Peace and Development (CEPEDE) is an example of a local NGO that has been capacitated to assist the National Focal Point with mobilising the support of civil society for the implementation of the NAP through inter alia the establishment of a network of NGOs working on small arms and related issues.

One of the lessons learnt from the mapping process in Tanzania is the importance of consulting with broader civil society - rather than just those established organisations in the capital city, who often have no constituency outside the capital. Consequently, in Uganda and subsequent mappings, the civil society workshop component has been added to this phase. In Uganda, this has provided the Mapping Team with vital information as to the capacity and engagement on the firearms issue of civil society organisations across the country. Outside of the capital, Kampala, there was very little awareness of the impact of firearms on the work of these organisations - even where there appeared to be a considerable and important linkage, for instance the presence of firearms in refugee camps and how this impacted on the work of refugee support organisations. There were also very few organisations that had undertaken work specifically on firearms control. What was encouraging nonetheless was the level of enthusiasm for and interest in the prospective NAP.

Given the lack of civil society capacity in many countries though, and the crucial role that civil society must play, engaging with organisations and beginning to enhance their capacity may be something that will in the future be undertaken during the preparatory phase before the information gathering starts. This would help to ensure that civil society organisations can engage more effectively with the collection of information and are better placed to assist with implementation at an early stage.

b. National conferences as tools for awareness raising and consensus building

Raising awareness of the small arms issue is a fundamental aspect of a NAP. One of the ways this has been done within the framework of the mapping and NAP process is by arranging national conferences. These bring together government officials and a broad spectrum of national and local civil society actors,

many of whom may not have a specific focus on small arms, to discuss the nature of the small arms problem in the country and the possible ways and means for civil society and government to address it.

In Tanzania, a national conference was held following the creation of the NAP and this was the first time that civil society organisations had had the opportunity to engage the Government on security issues. The conference helped to raise awareness of the NAP and identify roles for civil society organisations in support of its implementation. Such a conference can also serve a very useful function if held before the start of a mapping and the creation of a NAP, as it can help to bolster the political and public will and momentum to effectively tackle the proliferation of small arms. This has been the case in Namibia and Botswana where national conferences were held in October 2002 and May 2003, respectively. The need for a NAP was a key recommendation of participants from both countries.

A national conference is only part of a broader awareness raising strategy as can be seen from the civil society activities that are currently being conducted as part of Tanzania's NAP. A civil society needs assessment has been conducted and an NGO network, to facilitate the sharing of information, has been developed. In addition, local NGOs are being capacitated specifically to conduct education and awareness raising programmes in key regions where the small arms problem is most acute.

Identification of the civil society invited to attend a national conference is of paramount importance. Participation must be apolitical and representative of all sectors of society. In Tanzania, a process of identification was undertaken that included: obtaining the lists of all 1500 NGOs that had legal status in the country; contacting these organizations for more information in relation to their activities; putting conference advertisements in two languages in the major newspapers; radio programming; setting

up an office to respond to faxes and calls; and asking church officials and local authorities to obtain information from those in their regions. With the information provided, it was possible to differentiate between existing and defunct organisations and those that had activities that could be attached to a national effort. These organisations were verified and invited to participate in the national conference.

A national conference must have not just NGOs but also professional associations, trade unions, traditional leaders and authorities, private sector representatives, members of parliament, local, provincial and national authorities and must reflect the inter-agency composition of the national focal point. For the national conferences of Botswana and Namibia, furthermore, prior workshops were organised for the invited NGOs so that they could participate more effectively.

c. Population surveys

A key element of the information collection phase is the attitude survey of a cross-section of the national population. The survey measures indicators of socio-economic development, perceptions of security and the levels of firearm penetration in society in general. This information is vital to the development of the NAP and its subsequent implementation as it identifies the extent of the small arms problem and those factors facilitating the demand for small arms. By highlighting the capacity of local communities to support one another and identifying the figures or structures in a community that people respect, trust and interact with most frequently, the survey also enables the development of targeted firearm reduction strategies.

The survey -

conducting the survey is a major logistical undertaking. In Tanzania 3,000 surveys were conducted while in Uganda 5,000 were completed. The survey is conducted with a representative

cross-section of the population in terms of age, gender and geographical distribution. The structure of the questions has been developed and adapted over a number of years to accurately measure socio-economic factors and provide the more sensitive indicators regarding perceptions of security and the extent of firearms penetration. The basis of the survey is therefore well tested, however, it is vital to adapt certain aspects to the specific circumstances in which the survey is being conducted. The NFP, or co-ordinating agency for the mapping, is therefore asked to input into the fine-tuning of the survey. In Uganda, this resulted in some changes being made to the survey that was conducted in the Karamoja region, in the north east of the country. The Karamoja region is populated predominantly by pastoralists and is an area that has been seriously affected by cattle rustling and firearm-related instability. As such it was necessary to adapt particular aspects of the survey, including the cultural composition of the survey teams.

The surveyors -

who conducts the survey is an important factor in ensuring the integrity of the survey's results. In Tanzania, the initial survey was carried out by junior police officers. This was mostly because of a lack of resources to be able to engage trained civilian surveyors. However, the use of police officers was, retrospectively, deemed to have potentially affected the results, in particular, with regard to the more sensitive questions on security, perceptions of the law enforcement agencies and firearm penetration. It was felt that people might have been reluctant to be fully open with police officers on such matters. Follow-up surveys to confirm certain aspects of the results were then done by trained surveyors from civil society. Consequently, in subsequent countries members of civil society have been recruited and paid to carry out the surveys.

There are a number of factors that need to be considered when profiling and recruiting surveyors. They need to be responsible, reliable, literate, sensitive to local customs, conversant in local

languages, motivated and have a fair degree of stamina (conducting a hundred 40 minute long surveys and frequently travelling long distances is an onerous and physically draining task). In Uganda, applicants were mostly young, university-educated people. They were recruited from across the country but trained in Kampala. The bulk of the surveyors were able to operate in nearly all the districts of Uganda, however, special provision had to be made for those working in the Karamoja. Consequently, two special teams of surveyors originating from the Karamoja region were recruited and trained. Had this not been done, access to parts of the region would have been difficult (if not impossible), surveyors would have been put at risk and the responses gathered would have been seriously compromised, as there would have been a reluctance to answer questions.

Training of surveyors -

In Uganda, adverts were posted calling for suitable applicants to apply to become surveyors. The applications were then sifted and candidates meeting the profile needs underwent a selection process, including a personal interview. Those successfully coming through the selection process returned for two further days of training, with some applicants attending a third day's instruction to be trained as team leaders. The training, conducted by members of the Mapping Team and assisted by members of local NGOs, sought to familiarise the surveyors with the survey itself and instruct them in the techniques needed to properly conduct the survey, such as how to elicit answers without influencing the interviewee's response and how to handle certain awkward or difficult circumstances that they might encounter. The theoretical training is followed by two instructional field surveys during which attention is paid to every surveyor's technique and accuracy. The final survey teams are only selected once their performances have been tested during the instructional surveys.

Conducting the surveys -

following the training the teams are then dispatched into the field typically for between 10 days and two weeks of surveying - the

exact period taken will be dependent upon the size of the country and its accessibility. However, it is desirable to conduct the surveys in as short a period of time as possible to ensure the comparability and thus integrity of the results. The surveying teams are sent to every district of the country to ensure that the survey provides a true indication of circumstances and perceptions across the entire nation. However, sometimes access to the entire country is not possible. This was the case in Uganda where the ongoing rebel activities of the Lord's Resistance Army in the northern Acholi region of the country meant that the security of surveyors could not be guaranteed.

Capturing and analysis of survey results -

as the surveys are completed they are returned to the Mapping Team's Survey Co-ordinator for verification and coding. Once the consistency and accuracy have been verified and the surveys coded they are passed to a team of data capturers for entry into a computer database. A special statistical programme is used to tabulate and analyse the results, and enables the comparison and cross-analysis of results. For instance, results on the level of firearm ownership can be disaggregated by region, gender and age, and the incidence of firearm possession analysed against financial well-being or perceptions of insecurity. This detailed analysis of results means that the key factors influencing demand for small arms, and the inter-relations between them, can be identified to inform the development of the NAP.

d. Engaging with donors

To preserve the integrity of the Mapping Process it is crucial to ensure that it is driven by national needs and realities, rather than by perceived needs and realities. It is, however, useful to engage with the donor community at an early stage in the process to inform them of the activity, create interest in the process, and generate long-term support for the sustainable implementation of

a NAP. Consequently, from the outset of the mapping process, the Mapping Team will engage with donor agencies active in the country to provide information on the process and keep them abreast of progress.

This process of consultation serves a number of purposes. Firstly, it is an opportunity for the Mapping Team to raise awareness of the small arms issue, the prospective NAP and what this will involve and how donors may support the plan once it is finalised. Secondly, it allows the Mapping Team to gather information that can assist with the assessment of the security situation in any given area, the functioning of civil society organisations active in the country and prospective partners in the process of Mapping and implementation of the NAP. Thirdly, it highlights the existing donor-supported projects in the country and helps ensure that the NAP incorporates ongoing and already supported work related to aspects of the plan. Finally, consultation with donors provides an opportunity to attempt to mainstream small arms into specific existing development, conflict prevention and good governance programmes. This process of early engagement can ensure the NAP's sustainability and increase the likelihood of support from donor agencies and the international community for the implementation of the plan.

e. Developing institutional structures

Effective institutional structures are key in co-ordinating the implementation of a NAP. Consequently, an important element of the mapping process and a NAP is the identification, or where they don't exist, establishment, training and capacity building of sustainable, efficient and practically-focused institutional structures.

The model foreseen by the regional and international agreements is one in which there is a regional co-ordinating agency, such as

the Nairobi Secretariat, which links with NFPs, which then in turn link with provincial bodies (in Tanzania these are known as Regional Task Forces) within their respective country.

National Focal Points -

a functioning national co-ordinating agency is essential for the process of mapping to begin. Where SaferAfrica and Saferworld have received requests to conduct mappings and no such body is in place we have first sought to facilitate the establishment of a NFP or equivalent body. This may include assisting with the identification of members and a lead agency, and establishing the terms of reference and mandate. Experiences in many countries have shown the importance of ensuring that the NFP consists of representatives from all government departments and agencies with a role in small arms control. This includes the Ministries of Defence, Foreign Affairs, Interior, Development and Planning, Justice, Information and Wildlife, as well as the Police, Customs, Immigration and Intelligence services, and the President's and Prime Minister's Offices. Experience in Tanzania has also shown the importance of engaging officials from the Ministry of Finance and Planning. It is their role to plan and make provision for the NAP in the government budget or engage with donors for support of implementation where the government cannot provide immediate or sufficient support. If they are not fully aware of the NAP and the benefits for sustainable development of controlling small arms, this may hinder the availability of resources and funding. It is also important to ensure that civil society is represented on the NFP, as is now the case in Kenya, Mozambique, Tanzania and Uganda.

As part of the implementation activities of the NAP, the operations of the NFP will be further developed. For instance as part of the first phase of implementation in Tanzania, a Standard Working Procedure for the NFP was completed which guides and frames the daily business of the NFP, establishes and details the roles, functions and tasks of the NFP members and provides clear

guidelines for communication and information sharing. This working procedure has proved very useful in the further guidance of the activities of the other NFPs in the region and that of the Nairobi Secretariat.

Regional / Provincial Task Forces -

these bodies are the operational agents or foot soldiers of the NFP on the regional / provincial level, responsible for the implementation of many aspects of the NAP. They are multi-disciplinary, inter-agency co-ordination mechanisms consisting of bodies such as the various law enforcement agencies, social and welfare departments, local governance structures and civil society, working at the provincial level. As part of the first phase of implementation in Tanzania, Regional Task Forces have been established in all 20 provinces of the country and these Task Forces have all received specific training in issues of small arms control and disarmament. Following this training, a pilot operation was conducted in the Tanzanian province of Kagera, one of the provinces worst affected by small arms proliferation. Officials from all the law enforcement agencies and the local government co-operated for the first time in a joint operation to specifically address illicit firearms and ammunition. During this operation 140 suspects were arrested for firearms related crimes. Of these, 80 were illegal immigrants from neighbouring countries including DRC (2), Rwanda (15), Burundi (46) and Uganda (17). A total of 1,743 firearms were seized (4 times the national average of previous years) in the region along with numerous rounds of ammunition (3,111) and explosives. Many of the arrested have since been successfully prosecuted.

f. Cross-border co-operation

Effectively tackling the proliferation of small arms requires co-ordination and co-operation with bordering countries. While improving the situation in one country, the implementation of

practical and effective projects through a NAP can create unintended consequences in border areas and in neighbouring countries, such as the spill over of illicit firearms and criminals. On the other hand, co-ordination of simultaneous action on both sides of a common border can greatly enhance the effectiveness of any arms reduction activity. It is therefore imperative that consultation and co-ordination takes place with neighbouring countries regarding the implementation of NAP activities. For example, the disarmament operations conducted by the Ugandan Government in the Karamoja region could have been much more effective if they had been done in co-ordination with the NFP in Kenya.

As part of the NAP in Tanzania, and feeding into the prospective NAPs in Uganda, Kenya and Mozambique, a number of Cross-border Co-operation Committees are to be established. The three Committees will be formed as follows: Tanzania, Mozambique, Malawi and Zambia; Tanzania, Burundi, Rwanda and DRC; and Tanzania, Uganda and Kenya. The members of each committee will undergo joint training and discuss and develop co-operation and information sharing mechanisms between the law enforcement agencies of the respective countries. The Cross-border Co-operation Committees therefore provide an opportunity to share information and experience on the development and implementation of NAPs. In the Tanzania NAP, resources are also available for joint cross-border operations.

Once NAPs are established in neighbouring countries (as will soon be the case in Kenya, Uganda, Tanzania and Mozambique) then there is the opportunity to take co-ordinated action on a number of issues ranging from harmonising legislation to establishing economic and social development programmes in key affected areas such as the Kenya/Uganda border. Effective co-ordination between NFPs on a bilateral basis will be crucial to this. Co-ordination is also vital with the regional small arms focal point (in Eastern Africa, the Nairobi Secretariat). As the central points of contact mandated for the co-ordination and

implementation of regional small arms agreements, it is crucial that the regional co-ordination agencies are regularly updated on mapping processes, their findings and the implementation of NAPs.

g. Micro-development projects

Developing practical projects to reduce the demand for small arms is also likely to be a priority during the implementation of a NAP. Detailed proposals for a number of longer-term community and micro-development projects will be developed in conjunction with local NGOs and donors in the priority areas of the country that are identified in the national plan. The results of the population survey will form the basis for the assessment of those areas where economic factors are playing a key role in fuelling the demand for small arms.

In Tanzania, a number of micro-development projects have been identified for implementation. Currently research projects are underway to develop projects on the shores of Lake Victoria and Lake Tanganyika to improve the lake management and the economically-viable usage of the fish resource. The manufacturing of homemade firearms is a significant industry in Tanzania, providing an income to a substantial number of families in the Iringa and Mbeya regions. International and regional protocols, together with new national legislation prohibiting the manufacture, trade and ownership of these weapons, are not going to induce change in this age-old custom unless economically-viable alternatives are provided to the artisans. A study will be undertaken in the near future to assess the probabilities of integrating the existing skills of the artisans in other metal work activities such as the manufacture of exhaust systems and bull-bars for sale nationally and sub-regionally.

h. Stockpile management and destruction

In both Tanzania and Uganda the mapping and NAP process has been a spur to the review of existing government arms stockpiles. In Uganda, following an internal review of existing state holdings, thousands of arms and munitions have been identified for destruction. The Mapping Team has helped to facilitate this process and the NFP is now liaising directly with the UN Development Programme to organise the systematic destruction of substantial surplus and captured stocks.

In Tanzania the issue of stockpile management is a fundamental part of the NAP. Policy guidelines and legislation have been put in place to establish a national database and proper recordkeeping procedures, and a nationwide stocktaking of all existing stocks is to take place shortly. National records of legally-owned firearms are currently being audited and entered into the database. Once the process has been completed, surplus stocks will be disposed of according to the national policy and the NAP. Seized and captured stocks in possession of the law enforcement agencies are currently being brought to the police quartermaster in Dar es Salaam for recording, classification and destruction. The first public destruction will take place during August 2003 where the burning and destruction of 1,000 illicit or excess small arms and light weapons will take place.

i. Legal reform

Reviewing and where necessary amending legislation and regulations relating to small arms control is usually an integral part of a NAP. Often there is no policy to inform the government's approach to small arms control and legislation is frequently outdated, ineffective and hardly enforced.

As a starting point, a national policy on arms control and disarmament needs to be created that will then form the basis for a review of legislation. In Tanzania such a policy was developed and finalised during the first phase of implementation and in Uganda it is also likely to be a key priority for year one of implementation.

On the basis of a national policy document a review of legislation can take place. In Tanzania a task force was specifically established to conduct a review of firearms legislation in July 2002 and a new law has now been drafted. The process of review will be informed by the policy document - which itself is based upon the commitments of the regional and international small arms agreements - and will seek to rationalise all existing legislation governing issues of firearms control and ensure that legislation is coherent and consistent. In Tanzania it was found that there were 17 different pieces of legislation that contained some form of controls on firearms. A process of review will also have to consider the broader regional environment to ensure that regional harmonisation of firearms legislation occurs.

A major development that has arisen from the NAP's review of legislation in Tanzania is the realisation by the Government of the need to review bilateral trade agreements. Agreements with some landlocked neighbours allow for the undisturbed movement of goods through Tanzania, making the inspection of freight impossible. These agreements have been abused by some countries suffering from conflict who have compromised Tanzania's reputation as a responsible state in controlling the trafficking of small arms and in preventing the pillaging of non-renewable natural resources. These agreements are now to be re-negotiated to make law enforcement possible.

LESSONS LEARNED

The mapping and NAP methodology is the first such comprehensive national approach to the small arms issue of its kind. The nature and scope of the project are also very broad and encompass a huge number of different actors, at different levels, across a large geographical area and cover a vast array of different factors and issues, many of which are sensitive in nature. Consequently, in the course of the practical application of this methodology we have encountered a large number of challenges and learnt a number of valuable lessons that have contributed to the further development and refinement of the mapping and NAP methodology. These lessons learnt follow below.

a. Political environment:

The political environment within which the mapping takes place determines both how comprehensive a NAP can be and the prospects for its sustainable implementation.

- **Commitment in itself is not enough:** Many governments have agreed in the various international, regional and sub-regional initiatives to deal with the problem of small arms and light weapons on the political level, without having the real resolve to fully implement these agreements. For example, in the Great Lakes Region and Horn of Africa, ten states negotiated and signed the Nairobi Declaration on the Problem of the Proliferation of Illicit Small Arms and Light Weapons in the Great Lakes Region and Horn of Africa in March 2000. The first Ministerial Review took place in August 2002, and the ten state parties agreed upon a revised Implementation Plan. Yet to date, only half of the signatories have started with the implementation of the Co-ordinated Agenda for Action, which has effectively hampered progress and the co-ordination of action in the region.

Developing a NAP in circumstances of little or no active support is almost unthinkable, since it requires more than just political commitment to address the problem in a practical and effective manner. It is crucial to the successful creation and implementation of a NAP that there is considerable practical commitment and that the government contributes its own resources. In the case of both Tanzania and Kenya the commitment of the government to the creation of the NAP has been exemplary. The Tanzanian Government's commitment to the NAP and the willingness of donors to support the process have ensured the NAPs comprehensive and sustainable implementation. There is currently no reason to believe that the same will not be true in the case of Kenya. Elsewhere, however, the road has been substantially more difficult.

- **Knowledge is the key:** Understanding the implications of, and requirements for, implementation is imperative for a successful NAP. Knowledge of the basic tenets of the various small arms initiatives, agreements and protocols, as well as the basics of the substantive issues governing arms management, can assist greatly in creating a conducive environment for action in those government agencies involved with implementation. Taking the existence of such a knowledge-base for granted from the outset of the mapping process can be a costly mistake. Establishing or confirming the basic knowledge-base through seminars and discussion sessions during the pre-mapping phase has proved invaluable in keeping the process on track and within reasonable time limits.
- **Inclusiveness is essential:** It was quite clear that following the agreement of the international and different regional initiatives, any process dealing with the small arms problem would have to include a broad range of actors from both government and, crucially, civil society. In most of the mapping activities that have taken place to date such an

inclusive approach has been taken from the start, involving all relevant government departments and agencies, civil society and the donor community. This has ensured the effective engagement of all the key stakeholders and has enhanced the ability of the NFPs and the Mapping Team to fully understand the problem and consequently develop effective small arms initiatives. In one specific country though, where a feasibility study was conducted, the inclusion of functional civil society organisations and non-security related government agencies was not possible because of the prevailing political environment and no real progress could be made.

b. Security environment

- **There is a need for practical governance on the ground:** Developing a NAP requires basic governance structures to be in place on the ground. During the mapping phase, gathering information on the experiences and needs of law enforcement agencies, social and welfare departments and local government structures in dealing with the small arms problem, is important in shaping the NAP and is dependent on two main factors. Firstly, these agencies, departments and structures must actually be present on the ground and working in the local communities. And secondly, these actors must be fully engaged and in-touch with the local environments in which they are working. Effective governance structures are also crucial to the implementation of a NAP. It will, for example, be very difficult to implement improved import and export regulations without a government presence at a border post or entry point. The security situation can also prevent effective governance and therefore make the mapping activity and the implementation of a NAP impossible. In such cases it will be advisable to postpone the development of a NAP until effective governance is established. Countries or areas engulfed in more serious conflict, or those devoid of

governance structures on the ground, are therefore not really suitable for this type of methodology which deals with the problem in a structured and logical manner.

- **There must be visible government support:** Small arms and light weapons have exclusively been the realm of the state and security agencies for a very long time in the developing world. Research and discussion of small arms and their impact on society was therefore not widely undertaken and this situation is only beginning to change now. Consequently, given the sensitivity of the issue, having visible government support for the mapping activity, and specifically the information gathering activities, is imperative. Survey teams and individual researchers have been refused freedom of action and in some cases actively harassed and prevented from doing their work. It was only following the direct involvement of the government that they were able to continue their work unimpeded. Visible and vocal political support for the process from the outset has also greatly assisted the smooth conduct of mapping activities and in ensuring support from security agencies and governance structures, at all levels. Given the importance of government support to the mapping process, it is prudent to allow enough time for formal instructions and guidelines to be passed down to all levels of government before the information gathering phase begins.
- **Dealing with volatile areas:** Information gathering and interaction with the population is sometimes impossible in areas affected by conflict and insecurity. Yet it is the dynamics in these areas that are major contributors to the existing small arms problems. Avoiding affected areas will invariably impact on the integrity of the research data and will mean that a full and wholly accurate assessment of the current situation is not always possible from the field research alone. It is therefore important to work with other agencies, such as relief operators and international organisations who normally have access to

such areas, to collect as much information from them as possible and fill in those gaps in knowledge arising from an inability to conduct field research. The implementation of NAP activities may also have to be deferred until the situation is more stable in a specific area. Nonetheless, it is important that difficult areas are not avoided if some interaction is possible. In some cases the act of engagement itself, in crime and violence-ridden neighbourhoods, has led to the improvement of access and has helped to start to resolve the problems that are causing the insecurity.

c. Mapping and plan creation

- **It is important to have clear objectives:** Once the nature and scale of the information gathering process becomes apparent to the parties involved, the process can easily become a 'collect all' serving different purposes. To ensure that the original purpose of the mapping is achieved, it is imperative that the objectives of the surveys and workshops are agreed upon before the information gathering phase and that they are subsequently adhered to. Time consuming diversions that do not contribute to the main objective of the mapping activity should be avoided. Similarly, objectives and priority areas for action should also be agreed on according to the information and analysis at hand. Implementation of activities in the home-area of some or other dignitary just for the sake of political gain can drain resources and impair implementation.
- **Co-ordination and communication are vital:** Effective co-ordination across the many government agencies and departments involved in mapping and implementation, and with civil society organisations and the Mapping Team, is essential from the start of the process. It becomes difficult to determine and achieve the priorities for mapping and

implementation and guidelines for policy development if all participants are not kept informed and on board throughout the process. It is essential that regular briefings to the full NFP are held and that effective communication between all stakeholders is maintained throughout the entire mapping process and the implementation of the NAP.

- **There must be full time commitment on the part of key government stakeholders:** This is particularly important with regard to the Head of the NFP. Changes of personnel often mean that many activities have to be started again from afresh, as the process of building mutual trust and understanding of the issues is a lengthy process. To avoid an unnecessary loss of time and knowledge, it is better to have one person dealing with the co-ordination of the mapping activity.

d. Implementation

- **A logical step approach needs to be taken:** It is important to resist the temptation to try to achieve quick results before the foundations for a sustainable programme to control the small arms problem have been put in place. High-profile operations such as weapons collection and burnings have a useful role to play but they must not be pursued in isolation. Usually the NAP implementation works much better if the first projects to be implemented are those that provide the general institutional and legal framework, provide intensive capacity building for both governmental structures and civil society organisations, and raise public awareness. Once the right mechanisms, laws and fully trained and operational personnel are in place, and detailed research has been undertaken to target development projects, then sustainable weapons collection and destruction initiatives, and programmes to reduce the demand for arms, can be effectively implemented.

The logical step approach guarantees the strengthening of institutions and civil society while at the same time creating the crucial sense of ownership and responsibility for the future management and reduction of arms flows in and out of the country.

- **Co-ordination is key:** Just as the illicit trade in small arms cannot be combated by any one country alone, nor can a single government agency or civil society actor inside a country fully prevent, combat and eradicate the small arms problem. For a NAP to be truly effective it is crucial that all the government agencies at the national and provincial levels are committed to co-operating and co-ordinating their activities, both with their sister agencies and departments and with civil society. At the regional level, co-ordination across borders to share information and conduct joint operations is equally crucial. Similarly, due to the complex nature and richness of civil society in any one country, co-ordination and co-operation between civil society actors is very important. Ultimately, the effective implementation of a NAP is all about the efficient and co-ordinated management of scarce resources.
- **Capacity building is vital:** It is imperative that the indigenous actors have the skills and resources to effectively implement the NAP. Of all the issues mentioned here, capacity building is the single most important element. For example, the political creation of an NFP by decree is only as useful as the actual operational capacity of the NFP itself. To operationalise an NFP, training and capacity building need to be provided. The same is true for every level of the implementation of a NAP whether in relation to governmental structures or civil society initiatives.

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- **Monitoring and verification:** The implementation of a NAP usually takes place over a five-year period and during this time there are many factors that can change and influence efforts to address the small arms problem. There is also a need to monitor and evaluate the impact of a NAP as it is being implemented. One way in which this important monitoring and verification can take place is by repeating the survey and workshopping activities first undertaken during the assessment phase, three years into the implementation of a NAP. The results of the two sets of surveys and workshops can then be compared, changes in the environment identified and activities under the NAP evaluated and, where necessary, altered accordingly. This monitoring and verification process will enable the NAP to be adapted where necessary, as well as allowing for lessons to be drawn for future small arms projects, and is crucial to ensuring the long term effectiveness of a NAP.

Annex A:

The success of the NAP in Tanzania

In terms of evaluating the success of the NAP in Tanzania, it is worthwhile looking at some of the achievements highlighted by the Minister of Home Affairs of Tanzania, Hon. Ramadhani Mapuri concerning phase one of the implementation of the Tanzanian NAP up to the end of 2002.

- *Increase in public co-operation in information giving leading to recovery and surrender of illicit firearms:* Before the start of the programme, Tanzania was recovering about 400 illicit firearms on average per year but the figure has now risen to over four times more.
- *Increase in co-operation amongst the members of the law enforcement agencies:* Since the establishment of the NAP there has been more co-operation among members of the law enforcement agencies and several successful joint operations have been conducted. One of the examples is the operation in Kagera Region on our borders with Uganda and Rwanda where law enforcement agencies managed to seize a good number of illicit firearms and arrest their illicit owners, most of whom happen to come from the neighbouring countries of Burundi, Rwanda, Democratic Republic of Congo and Uganda.
- *General increase in public support and co-operation:* It is not easy to measure what has been achieved through public support and co-operation but the impact can be measured by the type of media coverage which is taking place. The members of the public have now increased their participation in preventing or exposing criminal gangs by 'Sungu Sungu'.
- *Promotion of regional cooperation between states:* Tanzania has been invited and participated in several regional workshops where our position as a case study was expressed during the presentation, and our practical experience on having the first ever National Focal Point on small arms has been widely drawn upon by several member states in both SADC and the Great Lakes Region and the Horn of Africa. Our most valuable advice to other NFPs is to establish standard working operating procedures in line with international, regional and sub-regional agreements and protocols.
- *Improvement of Partnership with the European Union Members States:* The relationship between Tanzania and European Union Members States has greatly improved.