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## SUMMARY OF THE STOCKHOLM PROCESS

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Recognizing the continued need to refine targeted sanctions to maximize their effectiveness, the Swedish Government continued the initiative which the Swiss and German Governments began. The ‘Stockholm Process,’ conducted in cooperation with the UN Secretariat and Uppsala University’s Department of Peace and Conflict Research, was organized in a format similar to that of the Interlaken and Bonn-Berlin Processes, and involved some 120 experts to focus on making targeted sanctions effective.

Recognizing that “implementation” is essential for targeted sanctions to work, the Stockholm Process sponsored three Working Groups to make recommendations on different aspects of implementation – which can be found in the published outcome, *Making Targeted Sanctions Effective: Guidelines for the Implementation of UN Policy Options*.

The first Working Group (responsible for Part II of the report) made recommendations on ways to improve implementation, particularly in terms of strengthening the role of the UN Secretariat. Proposals include designing sanctions with implementation in mind, maintaining support internationally for the sanctions regime, consistently monitoring and improving the regime, and building the Secretariat’s capacity.

Working Group 2 (responsible for Part III) focused on implementation at the national level. For all targeted sanctions, the Group stressed the importance of capacity-building and training programs, and noted that a Model Law can be used to enhance implementation. The Group also acknowledged that various types of targeted sanctions (financial, arms embargoes, aviation, etc.) require different national measures, and identified the measures for each type of sanction.

The third Working Group (authors of Part IV) took an in-depth look at all aspects of targeting and discussed how to overcome the evasion of sanctions. The group noted the need for accurate targeting and procedures to maintain an up-to-date target list, as well as emphasizing the need for States to report to the UN.

The Stockholm Process website – [www.smartsanctions.se](http://www.smartsanctions.se) – provides complete information on the deliberations of the Working Groups, and other relevant documents. The key findings of the Stockholm Process are:

- Design sanctions resolutions with implementation in mind
  - In drafting sanctions resolutions, anticipate what will be required in order to implement the measures; this requires a clear view of the purpose of the prohibitions, the targets and may include an early assessment of the likely impact of the sanctions.

- Establish a Sanctions Committee with necessary authority – in particular a reporting mechanism – to follow through on the measures imposed; the role of the chairperson of the sanction committee is important and requires considerable support from the Council and from the UN Secretariat.
- Maintain international support for the sanctions regime
  - Ensure that implementing Member States are fully informed of the rationale of the measures, to promote a sense of “ownership” of the measures by the whole international community.
  - Ensure transparency in decision making, so that the goals and measures are properly translated into action by all UN members; for example, update the media on the sanctions and their implementation.
  - Targeted sanctions are designed to minimize detrimental humanitarian effects; to maintain international support it is important to ensure that such effects are avoided.
- Monitor, follow up and improve the measures throughout the sanctions regime
  - Ensure that Expert Panels and Monitoring Mechanisms for the follow-up of sanctions have the competence and authority to perform in-depth investigations and that Panel reports meet the highest evidentiary standards.
- Strengthen the sanctions work of the UN Secretariat
  - As a service to Sanctions Committees, Member States, Expert Panels and Monitoring Mechanisms, develop an in-house information database on sanctions within the UN Secretariat.
  - The UN should operate a continuously updated, public research database on current sanctions regimes.
  - The issue of a special UN sanctions coordinator is raised in this Report for further discussion.
  - These measures for improving sanctions implementation will not occur without sufficient allocation of budgetary resources.
- Although different, much can be learned from the UN Counter-Terrorism Committee
  - Specific innovations introduced by the CTC that are relevant to sanctions implementation include: the creation of contact points in all Member States, the continuous reporting of activities, and the development of ideas for capacity-building.

- Effective sanctions requires capacity-building and training programs
  - As the implementation of targeted sanctions may be a strain on state capacity for many Member States, consider measures to train staff and develop institutions, especially in areas critical for sanctions implementation (police, customs, transportation services, financial controls, etc.).
- Implementation can be enhanced through a Model Law
  - Model legislation can be useful for Member States when developing their legal frameworks for sanctions implementation.
- Implementation will vary depending on the type of sanctions
  - The measures needed to implement the range of targeted sanctions will vary; however, there are generic requirements of national implementation (legal framework, administrative agency, information, monitoring, enforcement, etc.) and of strategies to counter evasion (precise definitions of targeted actors, maintaining commitment, considering complementary measures, etc.).
- Maintaining accuracy in sanctions targeting is crucial
  - Sanctions regimes face different challenges at different stages, but the actions in each stage can improve the performance in the next.
  - The planning of sanctions is important for the operations of sanctions, which in turn requires vigilant follow-up procedures; it is necessary to expect retaliation against neighboring countries and thus positive inducements should be available. Also strategies of socially and politically isolating the targeted actors in their own state should be considered.
  - Processes for listing individuals and entities as targets and for removing them from such lists (de-listing) are crucial.
- Reporting on sanctions implementation
  - In order to assist Member States in their duties, consider developing a questionnaire to be addressed to Member States on matters of sanctions implementation; such a questionnaire would ask questions on contact points, specific measures for particular types of sanctions, and types of assistance that may be needed, while encouraging Member States to identify available resources for such support.