



**FSC CHAIRPERSON'S PROGRESS REPORT  
TO THE EIGHTEENTH MEETING  
OF THE MINISTERIAL COUNCIL**

**THE CONTINUING IMPLEMENTATION OF THE  
OSCE DOCUMENT ON SMALL ARMS AND LIGHT WEAPONS**



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## Executive Summary

This progress report provides comprehensive factual information on the status of implementation of the OSCE Document on Small Arms and Light Weapons (SALW) for the period from November 2009 to November 2011<sup>1</sup>.

The FSC adopted decisions on:

- OSCE Plan of Action on SALW (FSC.DEC/2/10);
- Information exchange with regard to OSCE Principles on the Control of Brokering in SALW (FSC.DEC/17/10);
- Meeting to review the OSCE Plan of Action on SALW (FSC.DEC/9/11).

The FSC adopted an OSCE Plan of Action on SALW in May 2010, in line with the task contained in Ministerial Council Decision 15/09. The Plan of Action comprised, *inter alia*, elements brought forward at the meeting to review the OSCE Document on SALW and its supplementary decisions in September 2009. The Plan sets out a comprehensive roadmap for the OSCE's future action in the area of SALW.

A reference guide on OSCE commitments on SALW was compiled and distributed in June 2011 (FSC.GAL/70/11).

An electronic end-user certificate for voluntary use by participating States was introduced during the Special FSC meeting on SALW in September 2011.

The level of implementation of annual SALW information exchanges remained stable during 2010-2011. Following the report comparing the OSCE and UN templates for SALW information exchanges (FSC.GAL/50/10), the CPC has issued an updated template for reporting one-off information on SALW (FSC.GAL/38/11). The template facilitated the provision of updated information by at least 12 participating States.

A one-off information exchange was conducted in June 2011 on participating States' present regulations concerning brokering activities with regard to SALW, in accordance with FSC Decision 17/10, and the CPC summary report on the replies was distributed in September (FSC.GAL/95/11), followed by a Special FSC meeting on export and brokering controls in respect of SALW.

The practical assistance given to OSCE participating States through the implementation of SALW projects is a key component in the improvement of security and stability in the OSCE region.

The report notes the successful completion of Phase I of the OSCE-UNDP project on capacity-building on SALW stockpile management and security in Belarus, as well as elaboration of project activities in Bosnia and Herzegovina, and the Kyrgyz Republic.

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<sup>1</sup> The deadline for submitting inputs for this report was 7 November 2011.

Participating States pledged EUR 190,500 for OSCE SALW projects during 2010-2011, which means a substantial reduction in comparison with previous years. The extrabudgetary contributions and the fund-raising remain a core issue.

Following an OSCE initiative, regular informal meetings have been arranged with other international organizations to enhance the co-ordination of efforts with regard to SALW projects.

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## **1. Introduction**

At the Seventeenth Meeting of the Ministerial Council in Athens, the OSCE Forum for Security Co-operation (FSC), through its Chairperson, was requested to submit to the Eighteenth Meeting of the Council a progress report on the continuing implementation of the OSCE Document on Small Arms and Light Weapons (SALW) (MC.DEC/15/09).

The OSCE Document on SALW was adopted on 24 November 2000 (FSC.DOC/1/00). It sets forth norms, principles and measures to address the threat posed to the international community by the excessive and destabilizing accumulation and uncontrolled spread of SALW. This was acknowledged by the OSCE Strategy to Address Threats to Security and Stability in the Twenty-First Century, which regards the OSCE Document on SALW as an important tool for combating threats caused by terrorism and organized crime, and underlines the importance of further strengthening its implementation. In accordance with Section VI, paragraph 2, of the Document, a review of the implementation of the OSCE Document on SALW is regularly undertaken during the Annual Implementation Assessment Meetings.

The OSCE Document on SALW also makes a substantial contribution to the implementation of the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in SALW in all its Aspects (UN Programme of Action on SALW).

## **2. Objectives**

This report is intended to provide an overview of the implementation of OSCE commitments on SALW; it also describes the progress on implementation of OSCE-related SALW assistance projects. It is primarily designed to serve as a basis for determining the status of implementation of the OSCE commitments on SALW and to highlight the most challenging issues to be addressed in the future. The report covers the period from November 2009 until November 2011.

## **3. OSCE Plan of Action on SALW**

Ministerial Council Decision 15/09 requested the Forum for Security Co-operation to develop an OSCE Plan of Action on SALW by May 2010, taking into account suggestions made at the OSCE Meeting to Review the OSCE Document on SALW and Its Supplementary Decisions (September 2009). In line with that request, the FSC negotiated the Plan of Action and adopted it in May 2010 (FSC Decision 2/10).

The Plan of Action on SALW sets out a comprehensive roadmap for the OSCE's future action on the issue. The document's two pillars focus on improvement of the implementation of existing measures and review of the implementation of principles, norms and measures in order to improve capacity and efficiency. Furthermore, it identifies concrete measures and sets deadlines for their implementation, with the final review of the implementation in May 2012, just ahead of the UN Review Conference on SALW.

The implementation of the Plan is continuously reviewed and assessed at the meetings of the FSC and its working group A, as well as in the context of the Informal Group of Friends on SALW.

Most recently, the Forum adopted a decision identifying the dates, agenda and modalities of the OSCE Meeting to Review the Plan of Action on SALW, to be held on 22 and 23 May 2012. (FSC Decision 9/11)

#### **4. Special FSC Meeting on SALW**

On 28 September 2011, the Kazakhstan FSC Chairmanship organized a Special FSC Meeting on SALW. The meeting focussed on the implementation issues, with particular emphasis on brokering and export controls.

During the meeting, the CPC presented its overview of national replies with regard to the information exchange on controls of brokering activities on SALW prepared in line with FSC Decision 17/10 (FSC.GAL/95/11, dated 1 September 2011). In addition, a template for an end-user certificate was presented by an expert from the Stockholm International Peace Research Institute (SIPRI), who had been hired by the CPC for the project. The template is for voluntary use by participating States and could facilitate the implementation of FSC Decision 5/04 on standard elements for an end-user certificate.

The United Nations Office for Disarmament Affairs (UNODA) presented the efforts of the UN directed towards curbing the proliferation of illicit SALW, with particular emphasis on the results of the work of the Group of Governmental Experts on the Illicit

Brokering in SALW and the recent study conducted on the national systems for end-use certification. UNODA also recalled the upcoming conference to negotiate the Arms Trade Treaty in July 2012, and updated the Forum about the ongoing co-operation and co-ordination efforts between UNODA and the OSCE with regard to facilitating the full implementation of the UN Programme of Action on SALW and the OSCE Document on SALW.

The Small Arms Survey presented an analysis of the OSCE commitments on SALW export and brokering controls, identifying areas for further work.

#### **5. Normative aspects**

The OSCE Document on SALW refers mainly to the norm-setting base and establishes an OSCE framework for the development and implementation of national legislation, rules and procedures. The review of these norms and the development of supplementary and/or complementary decisions by the FSC constitute a core issue of the FSC's regular work. The work in 2010 and 2011 centred on the following issue:

##### ***5.1 FSC Decision on an Information Exchange with regard to OSCE Principles on the Control of Brokering in SALW***

Ministerial Council Decision 15/09 requested the FSC to take steps to review the implementation of Ministerial Council Decision No. 11/08 with regard to the establishment or reinforcement of a legal framework for lawful brokering activities within the national jurisdiction of participating States by the end of 2010.

In order to implement the request, on 24 November 2010, the Forum adopted FSC Decision 17/10 on an information exchange with regard to OSCE principles on the control of brokering in SALW. In the decision, the participating States agreed to conduct a one-off information exchange on their present regulations concerning brokering activities with regard to SALW no later than 30 June 2011. Furthermore, the Conflict Prevention Centre (CPC) was tasked with producing a summary report on the replies by 1 September 2011 and posting it on the public website.

By 7 November 2011, 39 participating States had provided national replies in accordance with FSC Decision 17/10. The CPC circulated a summary report on implementation on 1 September 2011 (FSC.GAL/95/11).

## **6. Implementation of existing commitments**

### **6.1 Information exchanges on SALW**

The OSCE Document on SALW commits the participating States to a number of standards, which, if fully implemented, will assist States in their efforts to abide by many of the paragraphs on national implementation in the UN Programme of Action on SALW. Among others, the OSCE Document established a mechanism of transparency measures aimed at raising confidence and security as well as further promoting trust among OSCE participating States.

The OSCE participating States exchange annual and one-off information on various aspects related to transfer controls in respect of SALW and conventional arms more generally. These information exchanges are confidential between the

OSCE participating States, and are regularly discussed at FSC meetings, special seminars and conferences. The general level of implementation in 2010-2011 was significantly lower, and less compliant in timing, than in previous years. The FSC Chair's Announcing and Reminding Mechanism was extensively employed.

OSCE information exchanges relevant to SALW transfer controls include:

- Information exchange on conventional arms transfers (FSC.DEC 13/97 and FSC.DEC 8/98);
- Questionnaire on conventional arms transfers (FSC.DEC 20/95);
- Information exchange on small arms exports to, and imports from, other participating States during the previous calendar year (FSC.DOC/01/00, Section III, (F)1).

In addition, the participating States have agreed to provide each other with updates, as follows, when necessary:

- Information exchange on national marking systems used in the manufacture and/or import of small arms and light weapons (FSC.DOC/01/00, Section II, (D)1);
- Information exchange on national procedures for the control of manufacture of small arms and light weapons (FSC.DOC/01/00, Section II, (D)1);
- Information exchange on national legislation and current practice in small arms export policy, procedures, documentation and brokering controls (FSC.DOC/01/00, Section III, (F)2).

#### **6.1.1 One-off information exchanges**

Under the OSCE Document on SALW, the participating States agreed to share



and submit updated information, when necessary, on national marking systems; national procedures for the control of manufacturing; national legislation and current practice in export policy, procedures and documentation, and control over brokering; small arms destruction techniques; and small arms stockpile security and management programmes.

FSC Decision 11/08 tasked the participating States with exchanging information on national practices related to preventing the spread of SALW through illicit air transport.

FSC Decision 12/08 requested the participating States to provide a sample format of their national end-user certificate and/or other pertinent documents.

Detailed information about the number of participating States that exchanged one-off information can be found in Annex A.

In April 2010, the CPC produced a report comparing the OSCE model answer for one-off information exchanges on SALW and the UN guidelines for reporting on the implementation of the UN Programme of Action on SALW (FSC.GAL/50/10). The purpose of the report was to identify similarities/differences in the information requested under the OSCE Document on SALW and the UN Programme of Action on SALW. The report recommended, *inter alia*, jointly aligning or harmonizing exchanges of information submitted to the UN and the OSCE in order to improve their numbers and quality with possible input from other regional arrangements (e.g., Wassenaar Arrangement).

In line with the recommendation of the report, in March 2011, the CPC issued a revised template for reporting one-off information on SALW (FSC.GAL/38/11), with the suggested start of the reporting on 30 June 2011, in accordance with the deadline for reporting updated in the OSCE Document on SALW. The revised template contains standardized questions and is fully harmonized with the new UN reporting template. The revised reporting template is aimed at reducing the reporting burden on participating States, while making information more comparable and comprehensive. By 7 November 2011, 15 participating States had provided updated inputs to the one-off information exchange on SALW in the new format.

### **6.1.2 Annual information exchanges**

In addition to exchanging information about existing norms and regulations, the OSCE Document requires the participating States to exchange data annually on exports to, and imports from, other OSCE participating States, as well as on small arms identified as surplus and/or seized and destroyed on their territories in the previous calendar year. An overview of this information exchange is displayed in Annex B.

According to the data exchanged, during the period from 2001 to 2010, OSCE participating States destroyed **10,491,881** items of SALW. Details are contained in Annex C.

### **6.2 End-user certificate template**

In order to facilitate the implementation of FSC Decision 5/04 on standard elements of end-user certificates and verification procedures for SALW exports, the CPC, with the help of consultancy from the Stockholm International Peace Research Institute (SIPRI), developed

an electronic template for an end-user certificate (SEC.GAL/153/11). The template was presented during the Special FSC Meeting on SALW held on 28 September 2011.

The template is based on the criteria outlined in FSC Decision 5/04 and is also in line with the International Small Arms Control Standard on end-user certification (2011). The electronic template aims at raising standards for end-user certificates among the OSCE participating States. The template contains mandatory and optional elements and can be voluntarily adopted for use in participating States either in full or only in part.

### **6.3 SALW reference guide**

In an effort to facilitate the implementation of OSCE commitments on SALW, in June 2011, the CPC issued a reference guide (FSC.GAL/70/11). The guide included all the principles, norms and measures on SALW that the OSCE had adopted since 2000.

### **6.4 Awareness-raising**

In 2010-2011, the Informal Group of Friends on SALW continued to assist the FSC Chairmanship on matters related to the implementation of the OSCE Document on SALW, as well as of FSC decisions related to SALW. In particular, the Chair of the Informal Group of Friends on SALW assisted the FSC Chair in negotiating and implementing the OSCE Plan of Action on SALW. Several presentations on SALW were given as part of the FSC's Security Dialogue. Furthermore, the OSCE organized a number of training events and workshops. An overview of these activities as well as other activities related to the promotion of OSCE

SALW initiatives is attached as Annex D.

## **7. Practical assistance on SALW**

### **7.1 Overview**

Implementation of the elements in the OSCE Document on SALW which deal with requests for assistance from participating States to tackle the issues of destruction, management and security of stockpiles of SALW remains an essential part of the efforts of the Forum for Security Co-operation in this field.

Since 2003, the OSCE has received 33 requests for assistance from 16 countries relating to enhancement of the management and security of stockpiles of SALW and of conventional ammunition, including mélange, or destruction of surpluses of them. The requests from participating States for assistance in tackling the issues of destruction, management and security of stockpiles of SALW remain an essential part of the FSC's efforts in this field. In particular, assistance projects in Belarus, Bosnia and Herzegovina and the Kyrgyz Republic can be seen as examples of these activities in 2010-2011.

### **7.2 National co-ordination bodies**

In 2008, the FSC adopted decision No. 4/08 establishing an OSCE Directory of Points of Contact (POC) on SALW and SCA as an additional tool for co-operation and co-ordination among the participating States on assistance projects relating to SALW and SCA. In line with the decision, the CPC has established and maintained an aggregate database of points of contact provided by OSCE participating States and other parties to the directory. During 2010-2011, the CPC provided updated information on projects on

SALW and SCA via the Directory of Points of Contact. However, communications between States and/or to the CPC via the points of contact remain at a low level.

### ***7.3 Memorandum of Understanding with UNDP***

In line with the UN Programme of Action on SALW, which encouraged regional organizations to co-operate, and to develop and strengthen partnerships for sharing resources to combat illicit SALW, the OSCE developed a general framework for technical co-operation with the UN Development Programme (UNDP). A Memorandum of Understanding signed in 2006 provides a non-exclusive framework for technical co-operation for the implementation of SALW and conventional-ammunition projects. In 2007, two large joint projects were launched in the framework of the Memorandum, in Belarus and Montenegro. Two more joint projects with a SALW component, in Bosnia and Herzegovina and in the Kyrgyz Republic, are in the planning phase.

In April 2010, the Memorandum was extended for two years, until June 2012. By November 2011, the OSCE had transferred to UNDP a total of EUR 2,491,344 for the implementation of joint projects.

### ***7.4 Assistance projects***

#### **7.4.1 Republic of Belarus**

Based on the Memorandum of Understanding between the OSCE Secretariat and UNDP, the OSCE and UNDP continued the implementation of the joint project on capacity-building for SALW in Belarus, addressing issues of the physical security and stockpile management of 13 State-held SALW storage sites. The

first phase of the programme, designed to enhance the capacity of the Ministry of Defence of Belarus to safely guard SALW at five storage sites, was successfully completed in the summer of 2010. The donors' visit was held in 2010 to mark the finalization of Phase 1. Also the number of sites addressed within the project was reduced to thirteen in favour of concentrating SALW at larger storage sites. Currently, UNDP, which is serving as the implementing agency for this project, together with the Ministry of Defence, is implementing the second phase of the project, focussing on two large storage sites, in Gomel and Kolosovo, and two smaller sites, in Baroŭka and Zaslonava.

The status update and work plan for 2012-2013 were presented to the FSC by UNDP and the Ministry of Defence in the context of the Security Dialogue in October 2011.

#### **7.4.2 Bosnia and Herzegovina**

In March 2011, BiH requested assistance from the OSCE in enhancing the security and stockpile management of Ministry of Defence storage sites containing their conventional ammunition (five sites) and small arms and light weapons (two sites). In order to evaluate the safety and security of the existing SALW and conventional ammunition, as well as to determine the parameters of a potential assistance project, the OSCE conducted an assessment visit from 20 to 24 June 2011. The assessment confirmed the need for assistance in enhancing security and stockpile management of SALW and SCA storage sites.

Furthermore, the assessment recommended the refurbishment of the SALW storage sites at Teufik Buza and Rabic to enhance the current levels of safety and security, so as to bring

them into compliance with the OSCE Handbook of Best Practices on SALW, and the refurbishment of the conventional ammunition storage sites at Kula 1 and Krupa to bring them into compliance with the OSCE Best Practice Guide on Procedures for Management of Stockpiles of Conventional Ammunition. Given the involvement of other international actors in various aspects of SALW and SCA issues, the OSCE assessment team stressed the need for close co-ordination of activities, and, where possible, co-operation.

Also, given the increasing number of SALW and SCA projects in South-Eastern Europe, it was recommended that a post of SALW and SCA adviser in the Western Balkans should be established.

#### **7.4.3 Kyrgyz Republic**

In February 2008, the Kyrgyz Republic submitted a request for assistance to the FSC for enhancing the management and security of stockpiles of SALW and conventional ammunition in the southern part of the country, where an increase in the activity of radical extremist groups is putting the current storage facilities at risk. Kyrgyzstan suffers from excess stocks of outdated ammunition left behind after the dissolution of the Soviet Union. Safety and security measures need to be significantly updated at the SALW and conventional ammunition storage sites, and coupled with the instability of some of the ammunition, the situation poses a serious danger to the civilian population, since some storage sites are located close to populated areas. Moreover, some of the storage buildings are in poor condition and in some cases are not weatherproof, thus leading to a risk that residues from decaying ammunition could

contaminate the soil around the storage sites.

In July 2008, the request was substantiated by the questionnaire that provided detailed information about the type of assistance requested. During the period from 14 to 18 March 2011, a second assessment visit was carried out by the OSCE team in order to evaluate the safety and security of stockpiles of SALW and conventional ammunition and the scope of possible assistance, and to define the technical requirements of the future assistance project. The assessment determined that the areas in which improvement is needed fall into three broad categories:

- Training on management and security of stockpiles of SALW and conventional ammunition;
- Construction and refurbishment of ammunition storage sites; and
- Destruction of surplus and unserviceable SALW, including MANPADS.

In consultation with the Kyrgyz authorities, a project plan is being developed by the OSCE Centre in Bishkek and the Conflict Prevention Centre with a view to providing the necessary assistance in 2011-2013.

In 2010, the Kyrgyz authorities requested the assistance of the OSCE in collecting SALW looted during riots in the spring and summer of 2010 to supplement national efforts that had been undertaken up to that time. In response, the OSCE, jointly with UNDP, initiated an assessment visit to the country from 7 to 12 February 2011 to evaluate the situation on the ground and assess the feasibility and the scope of a future assistance project. The assessment recommended:

- Conducting a comprehensive survey of SALW and security; and

- Designing an amended SALW collection programme.

Currently, the OSCE and UNDP are in the process of initiating the survey in consultation with the authorities of the Kyrgyz Republic.

## **8. Outreach and co-operation**

### ***8.1 Operational support and information exchange***

The OSCE Secretariat holds annual staff talks with the UN to share information about the latest developments and new initiatives, both on the setting of norms and standards and on practical assistance in respect of SALW.

In 2010, the CPC initiated informal regular consultations with the UN Coordinating Action on Small Arms (CASA), which consists of over 20 relevant UN agencies and programmes that deal with SALW issues, including the UN Office for Disarmament Affairs (UNODA), the UN Office on Drugs and Crime, the UN Development Programme and the UN Institute for Disarmament Research and others. Since December 2010, two consultations (via videoconference) have been held to exchange information about ongoing and planned initiatives, to co-ordinate action and to seek synergies.

Furthermore, the OSCE Secretariat conducts biannual staff talks with NATO. Issues related to the implementation of projects on SALW and conventional ammunition are discussed in detail. Such talks serve to share information and lessons learnt, avoid duplication of effort, establish possible synergies and increase the effectiveness of projects.

Finally, the OSCE Secretariat holds bi-annual staff talks with the EU to exchange information and discuss a wide range of issues. In 2010-2011, the OSCE and the EU have explored the possibilities for EU financial support for SALW projects, in order to be able to ensure longer-term financing and to make possible the implementation of projects for which funding is lacking.

The CPC exchanges information on OSCE project activities, as well as on normative achievements in the area of SCA, with other international organizations. Since 2008, informal meetings have been organized in Vienna with other international organizations to enhance co-ordination of efforts with regard to projects on small arms and light weapons and stockpiles of conventional ammunition. The purpose of the meetings is to take stock of the projects relating to SALW and SCA being implemented by international organizations, to exchange lessons learnt and best practices, and to co-ordinate ongoing and future activities. Such meetings are organized in line with the following modalities:

- The one-day informal co-ordination meetings are held twice a year;
- When applicable, the scope of such meetings may be expanded to accommodate relevant projects and issues outside the field of SALW and SCA.

In 2010-2011, the co-ordination meeting was held in Belgrade, Serbia.

### ***8.2 Participation in the UN Biennial Meeting of States to Consider the Implementation of the Programme of Action on SALW***

The OSCE actively participated in the Fourth Biennial Meeting of States to Consider the Implementation of the

Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (BMS-4), held in New York from 14 to 18 June 2010. The purpose of the BMS-4 was to assess the implementation of the Programme of Action to date and to further chart its future. States also reviewed progress on the implementation of the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons (ITI).

During the Meeting, the FSC Chairmanship made a statement on the OSCE's efforts towards implementing the UN Programme of Action on SALW and the ITI. In addition, the OSCE organized a side event on the Organization's work on small arms and light weapons. The side event attracted approximately 50 participants. At the side event, the OSCE presented both its normative SALW work and its projects, including the film on FSC projects. At the question-and-answer session, questions were asked about the control by the OSCE of the SALW manufactured, the possibility of making public the information exchange on SALW and the feasibility of conducting information exchanges on global import/export of SALW as well as about the verification procedures during destruction of SALW.

The OSCE had also submitted its report on implementation of the Programme of Action to UNODA in advance of the BMS-4. The OSCE Plan of Action on SALW was annexed to the report.

### ***8.3 Participation in the Open-Ended Meeting of Governmental Experts on the Implementation of the Programme of Action on SALW, focussing also on the International Tracing Instrument***

From 9 to 13 May 2011, an Open-Ended Meeting of Governmental Experts was held by the UN to address key implementation challenges relating to the UN Programme of Action on SALW. The meeting focussed on marking, record-keeping, tracing and international assistance and co-operation. The FSC Chairmanship made a statement at the meeting, outlining the OSCE's efforts directed towards contributing to the full implementation of the UN Programme of Action on SALW and the ITI with regard to marking, tracing and record-keeping.

## **9. Conclusions**

### ***9.1 Normative Work on SALW***

The implementation of the OSCE Document on SALW continues to play an important role as a norm-setting document in the OSCE area.

The substantive decisions by the FSC in 2010-2011 were the adoption of the OSCE Plan of Action on SALW, the decision on a one-off information exchange on brokering regulations and the decision to review the Plan of Action on SALW. Furthermore, there were four FSC meetings devoted to SALW in 2010 and two in 2011. A reference guide on the OSCE commitments in respect of SALW, a revised reporting template for one-off information exchange and an electronic end-user certificate for voluntary use by participating States were introduced to support the

implementation of the OSCE commitments.

In the past two years, the FSC has adopted an active approach in implementing the OSCE *acquis* on SALW issues. However, the implementation of the Plan of Action on SALW in relation to review of the implementation of principles, norms, and measures with a view to improving capacity and efficiency has been weak.

## ***9.2 Practical assistance on SALW***

The practical implementation of the OSCE Document on SALW through measures to respond to the increasing number of participating States' requests for assistance has remained a key OSCE activity. Steps continue to be taken to enhance the effectiveness of SALW activity through regular regional co-operation and informal co-ordination with other international organizations.

Periodic/regular information sharing or briefings on the projects, both by the Co-ordinator and by the actors involved, should raise awareness and help mobilize resources from the participating States.

However, extrabudgetary contributions and fund-raising remain a core issue in the absence of predictable multi-year funding strategies for SALW and SCA projects by participating States.

## **10. Annexes**

Annex A: Overview of the one-off information exchange on marking, export controls, stockpile management and destruction procedures in respect of SALW

Annex B: Overview of the annual information exchange on export-import of SALW, surplus SALW and/or SALW seized and destroyed

Annex C: Destruction of SALW in the OSCE area

Annex D: Meetings, seminars and conferences on SALW organized by the OSCE from December 2009 to November 2011

Annex E: Participation in events organized by other international organizations and in jointly organized events

Annex F: Donors to SALW projects



***Annex A: Overview of the one-off information exchange on marking, export controls, stockpile management and destruction procedures in respect of SALW, as well as on brokering, samples of end-user certificates and illicit air transport***

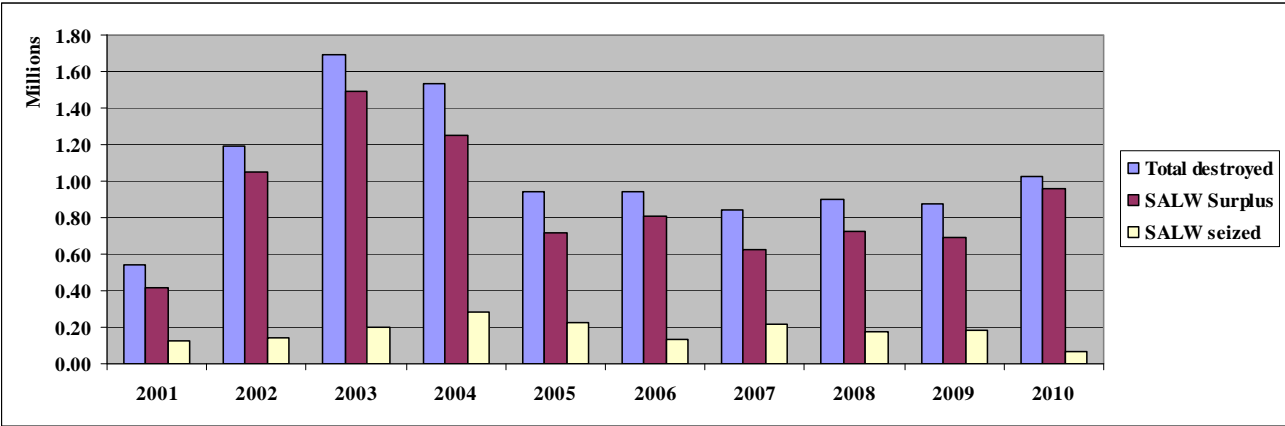
Reference (paragraph)	Citation regarding implementation measures	Current status		
		Exchanged to date	Updates in 2010	Updates in 2011
Section II, (D)1 (starting from 30 June 2001)	The participating States agree to conduct an information exchange on their national marking systems used in the manufacture and/or import of small arms.	54 participating States	5 participating States	16 participating States
Section II, (D)1 (starting from 30 June 2001)	The participating States agree to exchange with each other available information on national procedures for the control of the manufacture of small arms.	54 participating States	2 participating States	19 participating States
Section III, (F)2 (starting from 30 June 2001)	The participating States will exchange with each other available information on relevant national legislation and current practice on export policy, procedures, documentation and on control over international brokering in small arms in order to spread awareness of “best practice” in these areas.	54 participating States	4 participating States	17 participating States
Section IV, (E)2 (starting from 30 June 2002)	The participating States will exchange information of a general nature about their national stockpile management and security procedures. The FSC will consider developing a best practice guide, designed to promote effective stockpile management and security.	54 participating States	4 participating States	17 participating States
Section IV, (E)3 (starting from 30 June 2001)	The participating States agree to exchange information on their techniques and procedures for the destruction of small arms. The FSC will consider developing a best practice guide of techniques and procedures for the destruction of small arms.	53 participating States	3 participating States	14 participating States
FSC Decision 11/07 (by 25 January 2008)	The FSC requests participating States to exchange information on their present regulations concerning brokering activities with regard to small arms and light weapons.	48 participating States		
FSC Decision 11/08 (by 30 June 2009)	The FSC decides that the participating States shall provide, as an update to the one-off information exchange	45 participating States	1 participating State	3 participating States

	established by Section III, part F, paragraph 2, of the OSCE Document on SALW, additional information on national practices.			
FSC Decision 12/08 (by 27 March 2009)	The FSC requests participating states to provide a sample format of their national end-user certificate and/or other pertinent documents.	49 participating States		2 participating States
FSC Decision 17/10 (by 30 June 2011)	The FSC requests participating States to exchange information on their present regulations concerning brokering activities with regard to SALW.	n/a	n/a	39 participating States

***Annex B: Overview of annual information exchange on export-import of SALW, surplus SALW and/or SALW seized and destroyed***

Reference (paragraph)	Citation regarding implementation measures	Status by 2011	
		2010	2011
Section III, (F)1	The participating States agree to conduct an information exchange among themselves about their small arms exports to, and imports from, other participating States during the previous calendar year. They also agree to study ways to further improve the information exchange on transfers of small arms.	48 participating States	44 participating States
Section IV, (C)1  Section IV, (E)1	The participating States agree that the preferred method for the disposal of small arms is destruction.  The participating States agree to share available information on the category, sub-category and quantity of small arms that have been identified as surplus and/or seized and destroyed on their territory during the previous calendar year.	34 participating States	40 participating States

*Annex C: Destruction of SALW in the OSCE Area<sup>2</sup>*



<sup>2</sup> It should be noted that, in cases where a participating State has not differentiated between surplus and seized weapons, the statistics are reflected as surplus.

***Annex D: Meetings, seminars and conferences on SALW organized by the OSCE from December 2009 to November 2011***

**Combating Illicit Trafficking of Small Arms and Light Weapons in Central Asia: Regional Follow-Up Meeting**

The Conflict Prevention Centre and the OSCE Centre in Astana, jointly with the Government of Kazakhstan, organized a regional follow-up meeting on combating illicit trafficking of small arms and light weapons in Central Asia. The meeting took place on 16 and 17 September 2010, in Almaty, Kazakhstan, and brought together representatives from relevant agencies of Kazakhstan, the Kyrgyz Republic, Tajikistan and Turkmenistan. Also, a number of expert speakers from other international organizations, participating States and NGOs took part in the event. The purpose of the meeting was twofold: to examine the main achievements and challenges in implementing effective SALW controls, using reporting as a self-assessment tool, and to discuss how to make the best use of international best practices and assistance offered by the international community to combat illicit trafficking in small arms.

**Regional Workshop on Customs Procedures and Licensing Issuance: Integrating the National Processing of Dual-Use Goods and Conventional Weapons Through Information Sharing**

The Conflict Prevention Centre (FSC Support Section and Borders Team) and Regional Arms Control Verification and Implementation Assistance Centre (RACVIAC) jointly organized a regional workshop from 25 to 27 October 2011 in Zagreb, Croatia, for licensing officers and customs agencies for South-Eastern European countries. The Workshop brought together representatives from Albania, Bosnia and Herzegovina, Bulgaria, Croatia, the former Yugoslav Republic of Macedonia, Greece, Montenegro, Romania, Serbia and Turkey. Experts from international organizations and academia also took part in the Workshop. During the three days, licensing and customs experts exchanged experiences and information with a view to facilitating risk assessment and detection in order to prevent illicit transfers of controlled and dual-use goods, including SALW. It is planned to hold similar regional events for other OSCE participating States and Partners for Co-operation in 2012.

**Other events**

**Presentations related to SALW in the context of the Security Dialogue of the FSC**

FSC Chairpersons regularly invite guest speakers to address the Forum, also on issues related to SALW. In 2010-2011, the presentations on topics related to SALW included the following briefings:

- Presentations by Mr. Daniel Prins, Chief, Conventional Arms Branch, United Nations Office on Disarmament Affairs, on national efforts in the preparation for the Biennial Meeting of States (BMS) on the UN Programme of Action on SALW; and on initiatives on SALW by the UN and the OSCE;
- Presentation by Ambassador Sune Danielsson, Head of the Secretariat of the Wassenaar Arrangement, on the activities of the Wassenaar Arrangement;
- Presentation by Mr. Patrick McCarthy, Project Co-ordinator, UN Co-ordinating Action on Small Arms (CASA) Mechanism, on International Small Arms Control Standards (ISACS);
- Presentation by Glenn McDonald, Senior Researcher at the Small Arms Survey, on international transfer and brokering controls: continuing challenges;

- Presentation by Paul Holtom, Programme Director, Arms Transfers Programme, Stockholm International Peace Research Institute, on the launch of the OSCE template for the end-user certificate for SALW;
- Presentation by Mrs. Valentina Stalyho, UNDP Programme Manager in Minsk, on the SALW project in Belarus: progress and constraints; and by Colonel Vladimir Baranov, Ministry of Defence of Belarus, Chief of Department, National Co-ordinator of the OSCE-UNDP SALW project, on the OSCE-UNDP project on capacity building in respect of SALW stockpile management and security in Belarus.

#### Exhibition at the High-Level Military Doctrines Seminar

On the margins of the High-Level Military Doctrines Seminar, on 24 and 25 May 2011, the FSC Support Section presented a photo exhibition reflecting FSC assistance projects on SALW and conventional ammunition. The exhibition displayed different stages of project assessments and implementation in countries in which assistance had been provided, including Belarus, Georgia, Kazakhstan, Montenegro, Tajikistan and Ukraine.

***Annex E: Participation in events organized by other international organizations and in jointly organized events***

The OSCE continued its active external co-ordination and co-operation with other regional and international organizations and civil society, including participation in events organized by other actors.

In 2010-2011, representatives of the CPC continued to promote the OSCE's outreach activities by participating in events organized by other international and regional organizations. Seminars and workshops at which presentations were given are listed below.

<b>OSCE/FSC participation in SALW-related events organized by other international and regional organizations in 2010-2011</b>		
<b>Date</b>	<b>Title</b>	<b>Place</b>
18-19 February 2010	UN Regional Seminar on Enhancing International and Regional Cooperation to Prevent, Combat and Eradicate Illicit Brokering in SALW in East and Southeast Asia	Bangkok, Thailand
23-24 March 2010	NATO Maintenance and Supply Agency Symposium on System Dismantling and Disposal of Military Equipment and Ammunition	Luxembourg
1 June 2010	Meeting on co-ordination with other international organizations in respect of projects on SALW and SCA	Belgrade, Serbia
14-18 June 2010	Fourth Biennial Meeting of States on the Implementation of the UN Programme of Action on SALW	New York, USA
2-4 November 2010	Regional Approach to Stockpile Reduction (RASR) Workshop on Conventional Weapons and Munitions	Sarajevo, BiH
15-16 November 2010	Shaping, Fine-Tuning and Finalizing International Small Arms Control Standards	Geneva, Switzerland
3 December 2010	UNIDIR seminar on the implementation of the Programme of Action on SALW	Geneva, Switzerland
12 April 2011	EU Working Group on Global Arms Control and Disarmament (CODUN) meeting	Brussels, Belgium
23-25 May 2011	Regional Approach to Stockpile Reduction (RASR) Workshop on the Regional Approach to Stockpile Reduction	Ljubljana, Slovenia
22-23 September 2011	NATO Structured Information Exchange on Projects on SALW and SCA	Brussels, Belgium

**Annex F: Donors to SALW projects**

The table below indicates pledges of financial support made by delegations towards the implementation of projects on SALW received from 2005 through 2011.

Donor	Funds pledged (EUR)	Country assisted
<b>2005</b>		
Finland	100,000	Tajikistan, Phase I
Norway	30,000	Tajikistan, Phase I
Norway	In kind (secondment of chief technical adviser)	Tajikistan, Phase I (SALW and conventional ammunition)
Slovenia	40,000	Tajikistan, Phase I
Sweden	170,575	Tajikistan, Phase I
USA	In kind (physical security and stockpile management course)	Tajikistan, Phase I
USA	164,000	Tajikistan, Phase I
<b>Total for 2005:</b>	<b>504,575</b>	
<b>2006</b>		
Belgium	50,000	Tajikistan, Phase II
Belgium	55,331	Belarus, OSCE-UNDP project
Finland	100,000	Tajikistan, Phase II
Norway	In kind (secondment of chief technical adviser)	Tajikistan, Phase II
Norway	60,000	Tajikistan, Phase II (SALW and conventional ammunition)
Spain	100,000	Belarus, OSCE-UNDP project
Sweden	100,000	Tajikistan, Phase II
Sweden	524,846	Belarus, OSCE-UNDP project
UK	145,000	Belarus, OSCE-UNDP project
USA	In kind (physical security and stockpile management course)	Tajikistan, Phase II
USA	235,800	Tajikistan, Phase II
<b>Total for 2006:</b>	<b>1,370,977</b>	
Donor	Funds pledged (EUR)	Country assisted
<b>2007</b>		
Norway	309,006	Belarus, Phase I
Norway	Secondment of chief technical	Tajikistan, Phase II



Donor	Funds pledged (EUR)	Country assisted
	adviser	
Spain	150,000	Tajikistan, Phase II
Sweden (through UNDP)	200,000	Tajikistan, Phase II
<b>Total for 2007:</b>	<b>659,006</b>	
<b>2008</b>		
Austria	30,000	Tajikistan, Phase II
Denmark	7,000	Tajikistan, Phase II
Finland	345,000	Tajikistan, Phase II
Luxembourg	40,000	Tajikistan, Phase II
Norway	30,000	Tajikistan, Phase II
<b>Total for 2008:</b>	<b>452,000</b>	
<b>2009</b>		
Finland	80,000	Belarus, Phase II
France	15,000	Belarus, Phase II
Greece	30,000	Belarus, Phase II
Norway	213,253	Belarus, Phase II
Spain	100,000	Belarus, Phase I
<b>Total for 2009:</b>	<b>438,253</b>	
<b>2010</b>		
UK	15,000	Kyrgyzstan, training in physical security and stockpile management, and destruction of SALW
Germany	50,000	Belarus, Phase II
<b>Total for 2010:</b>	<b>65,000</b>	
<b>2011</b>		
France	15,000	Belarus
Italy	10,000	Belarus
USA	100,500	Kyrgyzstan, training in physical security and stockpile management, and destruction of SALW
<b>Total for 2011:</b>	<b>125,500</b>	
<b>Total for 2005 - 2011:</b>	<b>3,615,311</b>	