



**Organization for Security and Co-operation in Europe
Forum for Security Co-operation**

FSC.GAL/86/12
4 July 2012

ENGLISH only

Chairmanship: Latvia

**OSCE MEETING TO REVIEW THE
OSCE PLAN OF ACTION ON SMALL ARMS AND
LIGHT WEAPONS**

and

**OSCE EXPERT LEVEL SESSION ON SMALL ARMS AND
LIGHT WEAPONS STOCKPILE MANAGEMENT, SURPLUS
REDUCTION AND DESTRUCTION**

Vienna, 22 to 24 May 2012

CONSOLIDATED REPORT

TABLE OF CONTENTS

| | <u>Page</u> |
|---|-------------|
| OSCE MEETING TO REVIEW THE OSCE PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS | |
| Decision No. 9/11 on the OSCE Meeting to Review the OSCE Plan of Action on Small Arms and Light Weapons | 2 |
| Annotated agenda..... | 14 |
| Opening statement by the Chairperson of the Forum for Security Co-operation | 18 |
| Opening statement by the Secretary General..... | 20 |
| Reports of the working session rapporteurs | |
| Working session I | 23 |
| Working session II | 27 |
| Working session III..... | 29 |
| Working session IV..... | 33 |
| Closing remarks by the Chairperson of the Forum for Security Co-operation..... | 37 |
| Survey of suggestions | 39 |
| OSCE EXPERT LEVEL SESSION ON SMALL ARMS AND LIGHT WEAPONS STOCKPILE MANAGEMENT, SURPLUS REDUCTION AND DESTRUCTION | |
| Decision No. 20/11 on Experts Level Session on Small Arms and Light Weapons Stockpile Management, Surplus Reduction and Destruction | 44 |
| Annotated agenda..... | 48 |
| Reports of the working session rapporteurs | |
| Morning session..... | 51 |
| Afternoon session..... | 54 |

**OSCE MEETING TO REVIEW THE OSCE PLAN OF ACTION
ON SMALL ARMS AND LIGHT WEAPONS**



**Organization for Security and Co-operation in Europe
Forum for Security Co-operation**

FSC.DEC/9/11
28 September 2011

Original: ENGLISH

657th Plenary Meeting

FSC Journal No. 663, Agenda item 4

**DECISION No. 9/11
OSCE MEETING TO REVIEW THE OSCE PLAN OF ACTION ON
SMALL ARMS AND LIGHT WEAPONS**

The Forum for Security Co-operation (FSC),

Recalling the commitment by the OSCE participating States to combat illicit trafficking of small arms and light weapons (SALW) in all its aspects, as laid down and detailed in the OSCE Document on SALW (FSC.DOC/1/00, 24 November 2000),

Reaffirming the commitment by the OSCE participating States to the full implementation of the OSCE Document on SALW and the supplementary decisions taken by the FSC,

Recalling the OSCE Plan of Action on Small Arms and Light Weapons (FSC.DEC/2/10, 26 May 2010), in which participating States agreed conduct an experts' meeting to review the implementation of the Plan no later than in May 2012,

Determined to continue playing an active role in international efforts based on the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in SALW in All Its Aspects (2001),

Decides:

1. To organize an OSCE meeting to review the OSCE Plan of Action on SALW on 22 and 23 May 2012, in Vienna, with the participation of relevant international governmental and non-governmental organizations and in accordance with the programme, indicative timetable and organizational modalities annexed to this decision;
2. To task the OSCE Secretariat to support the organization of this meeting;
3. To invite the OSCE participating States to consider providing extrabudgetary contributions for the above-mentioned event.

OSCE MEETING TO REVIEW THE OSCE PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS

Vienna, 22 and 23 May 2012

I. Programme and indicative timetable

Monday, 21 May 2012

Arrival of external participants
(Possibilities for informal discussions amongst participating States)

Tuesday, 22 May 2012

- | | |
|-------------------|---|
| 10–10.30 a.m. | Opening session <ul style="list-style-type: none">– Opening statement by the FSC Chairperson– Opening address by the OSCE Secretary General |
| 10.30 a.m.–1 p.m. | Working session I: Conformity, transparency and practical assistance (with a coffee break) (Ref. Plan of Action on SALW, Section I, paragraphs 1 and 2) <ul style="list-style-type: none">– Introductory address by the working session moderator;– Presentations on aspects of conformity, transparency and practical assistance;– Discussion on the OSCE Plan of Action with reference to conformity, transparency and practical assistance. |
| 1–3 p.m. | Buffet lunch |
| 3–6 p.m. | Working session II: Export and brokering controls (with a coffee break) (Ref. Plan of Action on SALW, Section II, paragraphs 1 and 2) <ul style="list-style-type: none">– Introductory address by the working session moderator;– Presentations on aspects of SALW export and brokering controls;– Discussion on the OSCE Plan of Action with reference to export and brokering controls. |

Wednesday, 23 May 2012

- 10 a.m.–1 p.m. Working session III: Stockpile management and security, destruction, marking and tracing (with a coffee break)
- (Ref. Plan of Action on SALW, Section II, paragraphs 3, 4 and 5)
- Introductory address by the working session moderator;
 - Presentations on aspects of stockpile management and security, destruction, marking and tracing of SALW;
 - Discussion on the OSCE Plan of Action with reference to stockpile management and security, destruction, marking and tracing.
- 1–3 p.m. Lunch break
- 3–4.30 p.m. Working session IV: Way forward on the Plan of Action and OSCE contribution to the UN processes
- Introductory address by the working session moderator;
 - Remarks by panellists;
 - Discussion on the way forward with regard to the Plan of Action on SALW;
 - What is the implementation rate of the Plan of Action?
 - What issues of the Plan require further implementation efforts?
 - Are there additional aspects of the Plan of Action implementation identified by participating States on which the OSCE should focus its efforts?
 - How can the OSCE SALW processes further contribute to global efforts?
 - Discussion of the OSCE contribution to the UN Review Conference on the UN Programme of Action on SALW.
- 4.30–5 p.m. Closing session
- Chairperson’s closing remarks

II. Organizational modalities

Background

The OSCE Plan of Action on Small Arms and Light Weapons (FSC Decision No. 2/10) requested the FSC to conduct an expert’s meeting to review the implementation of the Plan of Action on SALW no later than May 2012. This meeting is to build upon the relevant provisions in the OSCE Document on SALW as well as on the extensive OSCE *acquis* in respect of SALW, developed since 1999. It is also to take into account the

contributions and proposals made by experts on SALW and relevant NGOs in the context of the FSC's work, in particular during its SALW review meeting in 2009.

The meeting is to take full advantage of the Final Outcome Document of the Fourth Biennial Meeting of States to Consider the Implementation of the UN Programme of Action on SALW (BMS-4) as well as the results of the 2011 Experts Group meeting that dealt with marking, record-keeping and tracing.

The meeting, based on a thematic approach, is to discuss further OSCE action with regard to the implementation of the OSCE Plan of Action on SALW, to address specific problems in the OSCE area and is to identify gaps which would require further action by the FSC.

Organization

The FSC Chairmanship will chair the opening and closing sessions.

Each working session will have a moderator and a rapporteur. The rapporteurs will assist the moderators in the preparation of their respective working sessions. Each rapporteur will provide a written summary report, which will become a part of the Chairperson's report.

Each working session will be introduced by the moderator, after which up to four presentations will be given on specific aspects of the topic, either by the moderator or by other experts. The introduction and the presentations are to be in line with point-papers to be distributed via the moderator prior to the meeting. The introductions and the presentations at the working sessions are to be brief, so as to allow maximum time for discussion, and should therefore highlight only the most important elements of the point-papers so as to provide information and set the scene for the discussion.

The Rules of Procedure of the OSCE will be followed, *mutatis mutandis*, at the meeting. Also, the guidelines for organizing OSCE meetings (PC.DEC/762) will be taken into account.

Interpretation from and into all six working languages of the OSCE will be provided at the opening, working and closing sessions.

The FSC Chairperson will provide a report on the meeting not later than 22 June 2012, including a summary of suggestions and recommendations made during the meeting.

The OSCE Secretariat will assist the FSC Chairperson in all matters concerning the organizational modalities of the meeting.

Participation

The participating States are encouraged to ensure the participation of experts involved in the SALW controls, especially those involved in the licensing process, marking and tracing. The OSCE institutions will participate in the meeting. The Parliamentary Assembly and the Partners for Co-operation will also be invited to participate.

Other relevant international and regional organizations that are involved in SALW activities, such as the UN Office for Disarmament Affairs, the UN Office on Drugs and Crime, the UN Development Programme, the UN Institute for Disarmament Research, the European Union and NGOs will also be invited by the FSC Chairperson.

The deadline for registrations will be 8 May 2012.

General guidelines for participants

Prior circulation of briefings, overviews or statements is encouraged. To promote interactive discussion, delegations are requested to provide formal statements in writing only. Delegations are requested to limit the length of their oral statements to five minutes.

Guidelines for keynote speakers and panellists

To facilitate discussion within the time constraints, the keynote presentation will be limited to 15–20 minutes, introductions and presentations in the working sessions to 5–10 minutes, and interventions/questions from the floor to five minutes.

In their contributions, the speakers at the opening and working sessions should set the scene for the discussion and stimulate debate among delegations by raising appropriate questions and suggesting potential recommendations, and should concentrate on the highlights of their contributions. Speakers should remain present during the entire session they are addressing and should be ready to engage in the debate following their presentation.

In order to promote interactive discussion, formal statements and interventions at the working sessions should be as concise as possible and should not exceed five minutes. The speakers should also contribute to the further substance of the meeting as it evolves and as time permits. Prior circulation of statements and interventions will enhance the possibility for engaging in discussion.

Guidelines for moderators and rapporteurs

The moderator will chair the session and should facilitate and focus dialogue among the participants. The moderator should stimulate the debate by introducing items related to the subjects of the opening and working sessions, as appropriate, in order to broaden or refine the scope of the discussion. The moderators may provide input to the Chairperson for the FSC Chairperson's report.

The rapporteurs should provide written summaries subsequent to the meeting to the FSC chair.

Personal views will not be advanced.

Guidelines for submitting and distributing written contributions

Speakers should submit their written contributions to the meeting moderators no later than 15 May 2012.

By 18 May 2012, participating States and other participants in the meeting are invited to submit any written contributions they may have.

By 18 May 2012, international and regional organizations are invited to submit in writing factual information on their organizations that would be useful for the participants. Such information should not be brought to the attention of participants during the meeting.

PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS

| Measures | Possible measures to implement | Implementation timeline |
|--|---|--|
| I. IMPROVE THE IMPLEMENTATION OF EXISTING MEASURES | | |
| 1. Conformity of participating States' legislation and procedures with existing OSCE commitments on SALW | | |
| (a) Participating States to conduct national evaluation of the implementation of the OSCE SALW commitments and bring it in conformity with agreed norms in accordance with OSCE SALW Document's Sections II (D), III (F) and IV (E). | Updates to be provided, when necessary, in one-off and/or annual information exchanges. | By June 2011 |
| (b) FSC to consider establishing a mechanism for continuous assessment of the situation regarding the implementation of FSC-agreed commitments on SALW. | (1) Improvement of announcing and reminding mechanism with regard to SALW. (2) The CPC will be tasked to develop a matrix based on existing info exchanges and within existing resources, identifying the detailed implementation of SALW commitments. The matrix will be restricted to participating States only. | By December 2010 By December 2011 |
| (c) OSCE to further conduct awareness-raising and provide training, as appropriate, to countries in need, upon request. | (1) Participating States will organize seminars and training events. (2) CPC will organize seminars in relevant countries. | Continuous |

**PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS
 (continued)**

| Measures | Possible measures to implement | Implementation timeline |
|--------------|--|--|
| (d) Projects | <p>(1) FSC, upon request, to provide assistance on developing relevant legislation on SALW in accordance with the OSCE Document on SALW, its supplementary decisions and the OSCE Handbook of Best Practices on SALW.</p> <p>(2) FSC, through PC, to explore the creation of a special SALW and SCA Voluntary Fund with the OSCE accountability controls for projects on SALW and SCA.</p> <p>(3) FSC to give more consideration to gender aspects of SALW. Possible measures to implement:</p> <p>(a) FSC to explore the application of gender aspects in the development of post-conflict SALW programmes, such as disarmament, demobilization, and reintegration projects; and</p> <p>(b) FSC to explore a list of recommendations</p> | <p>Continuous</p> <p>By January 2011</p> <p>Continuous</p> |

**PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS
(continued)**

| Measures | Possible measures to implement | Implementation timeline |
|---|--|---|
| | <p>to ensure the identification and integration of gender aspects in post-conflict SALW programmes.</p> <p>(4) Update FSC Decision No. 15/02 on Expert Advice on Implementation of Section V of the OSCE Document on SALW.</p> | <p>Completed – FSC Decision No. 11/09</p> |
| <p>(e) FSC 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.</p> | <p>(1) Progress report by the CPC.</p> <p>(2) FSC review</p> | <p>By September 2011</p> |
| <p>2. Transparency measures</p> | | |
| <p>(a) FSC to accelerate measures to improve the submission rate of FSC-agreed info exchanges on SALW.</p> | <p>(1) Same as I.1.(b).</p> <p>(2) CPC will align, if necessary, questionnaires' formatting.</p> | <p>By December 2010</p> |
| <p>(b) FSC to consider making public one-off information exchanges on SALW, as appropriate.</p> | <p>The Secretariat will be tasked to create a public web page for this purpose.</p> | <p>Continuous</p> |

**PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS
(continued)**

| Measures | Possible measures to implement | Implementation timeline |
|--|--|-------------------------|
| (c) FSC to consider making public annual information exchanges on SALW, as appropriate. | The Secretariat will be tasked to create a public web page for this purpose. | By June 2011 |
| (d) FSC to raise awareness on SALW work done by the OSCE. | The Secretariat will be tasked to create a public webpage to reflect different SALW reports, studies, assessments carried out by the CPC and continue other venues of raising public awareness (PRs, side events, etc.). | By July 2011 |
| II. REVIEW THE IMPLEMENTATION OF PRINCIPLES, NORMS AND MEASURES IN ORDER TO IMPROVE CAPACITY AND EFFICIENCY | | |
| 1. General | | |
| (a) FSC to review Best Practice Guides on SALW. | | Continuous |
| 2. Export and brokering controls | | |
| (a) FSC to discuss the OSCE's regulatory framework on SALW transfer criteria. | | Continuous |
| (b) FSC to explore the expansion of contacts with the Wassenaar Arrangements Secretariat, including export and brokering controls as topics. | | Continuous |
| (c) FSC to explore the expansion of the scope of transfer controls to include transfer of technology. | | Continuous |

**PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS
(continued)**

| Measures | Possible measures to implement | Implementation timeline |
|--|---|--------------------------------|
| (d) FSC to discuss national experiences and procedures for end-use verification, re-export, post-shipment verification, brokering controls and licensing among participating States. | | Continuous |
| (e) FSC to review OSCE Principles on the Control of Brokering in SALW and update them, as appropriate, in light of GGE recommendations, including: <ul style="list-style-type: none"> – Description of brokering activities; – Record-keeping; – Transparency measures; – Penalties; – Co-operation with other international organizations. | | Continuous |
| 3. Stockpile management and security | | |
| (a) FSC to consider strengthening commitments on stockpile management and security on SALW. | The CPC will be tasked to provide a statistical overview of the information provided by participating States on national procedures related to stockpile management and security of SALW. | Continuous |

**PLAN OF ACTION ON SMALL ARMS AND LIGHT WEAPONS
(continued)**

| Measures | Possible measures to implement | Implementation timeline |
|---|---|-------------------------|
| 4. Destruction | | |
| (a) FSC to consider ways to strengthen participating States' commitment to destroy surplus and illicit SALW. | | By January 2011 |
| (b) FSC to discuss means to improve participating States' capacity for the destruction of surplus and illicit SALW. | | Continuous |
| 5. Marking and tracing | | |
| (a) FSC to take concrete steps to further the implementation of the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit SALW. | (1) FSC to identify means to further implementation. (2) FSC to consider the integration of the International Tracing Instrument's 2005 commitments concerning traceability of SALW in its regulatory framework. | Continuous |
| (b) FSC to discuss national experiences in tracing requests and their outcomes. | | Continuous |
| (c) FSC to explore the needs of OSCE countries to receive assistance on marking in the framework of stockpile management and security assistance. | | Continuous |

**ANNOTATED AGENDA OF
THE MEETING TO REVIEW THE OSCE PLAN OF ACTION ON
SMALL ARMS AND LIGHT WEAPONS (SALW)**

Vienna, 22–23 May 2012

Tuesday, 22 May 2012

10–10.30 a.m. Opening session

Chairperson: Ambassador G. Apals (Latvia)

- Opening statement by Ambassador G. Apals, Chairperson of the Forum for Security Co-operation
- Opening address by Mr. L. Zannier, OSCE Secretary General

10.30 a.m.–1 p.m. Working Session I: Conformity, transparency and practical assistance (with a coffee break)

(Ref.: Plan of Action on SALW, Section I, paragraphs 1 and 2)

- Introductory address by the working session moderator;
- Presentations on aspects of conformity, transparency and practical assistance;
- Discussion on the OSCE Plan of Action with reference to conformity, transparency and practical assistance.

Moderator: Mr. L. Schultz, United States of America, Defense Threat Reduction Agency

Rapporteur: Ms. D. Taneva, Permanent Mission of the Republic of Bulgaria to the OSCE

Efforts undertaken by the OSCE Conflict Prevention Centre to improve the implementation of existing SALW measures
by Ms. M. Brandstetter, OSCE Conflict Prevention Centre

Analysis of national methodologies for compiling OSCE annual information exchanges on SALW imports and exports
by Mr. M. Bromley, Stockholm International Peace Research Institute

The role of women in promoting a gun-free culture and implementing international SALW commitments
by Ms. C. Agboton Johnson, SALW expert

1–3 p.m. Buffet lunch

3–6 p.m.

Working session II: Export and brokering controls (with a coffee break)

(Ref.: Plan of Action on SALW, Section II, paragraphs 1 and 2)

- Introductory address by the working session moderator;
- Presentations on aspects of export and brokering controls;
- Discussion on the OSCE Plan of Action with reference to export and brokering controls.

Moderator: Mr. V. Pavlov, Ministry of Foreign Affairs of Belarus
Rapporteur: Lt. Col. S. J. Macrory-Tinning, United Kingdom
Delegation to the OSCE

Proliferation of SALW: the mechanisms for diversion of weapons
by Mr. J. Bevan, independent consultant

New challenges to export control: SALW transfers to private security
companies
by Ms. C. Topp, Bundesamt für Wirtschaft und Ausfuhrkontrolle
(BAFA), Germany

Eurocontrol support to investigations of illicit trafficking of SALW by
air
by Mr. A. Leggat, European Organization for the Safety of Air
Navigation (Eurocontrol)

SIPRI support to investigations of illicit trafficking of SALW by air
by Mr. H. Griffiths, Stockholm International Peace Research Institute

Wednesday, 23 May 2012

10 a.m.–1 p.m.

Working session III: Stockpile management and security, destruction,
marking and tracing (with a coffee break)

(Ref.: Plan of Action on SALW, Section II paragraphs 3, 4 and 5)

- Introductory address by the working session moderator;
- Presentations on aspects of stockpile management and security,
destruction, marking and tracing of SALW;
- Discussion on the OSCE Plan of Action with reference to
stockpile management and security, destruction, marking and
tracing.

Moderator: Col. P. Chaudhuri, Ministry of Defence of Switzerland
Rapporteur: Maj. C. Aguado Valladares, Permanent Mission of Spain
to the OSCE

Interpol's firearms programme and opportunities for OSCE/Interpol complementary efforts
by Ms. T. Hite, Interpol

Lessons learned from the Regional Approach to Stockpile Destruction initiative
by Mr. P. Gobinet, Small Arms Survey

Towards universal standards on SALW and conventional ammunition: consequences for OSCE best practice guides
by Mr. D. Prins, Conventional Arms Branch, UNODA, and
Dr. P. McCarthy, ISACS Project Co-ordinator, United Nations
Co-ordinating Action on Small Arms (CASA)

Ongoing projects by Germany on stockpile management and security, record-keeping, destruction, marking and tracing
by Lt. Col. A. Nehring, Ministry of Defence of Germany

Presentation on the SALW record-management software application developed in the framework of the OSCE-UNDP-MOD of Belarus Capacity-Building Programme on SALW
by Mr. V. Baranov, Ministry of Defence of Belarus, and
Mr. A. Martyniuk, OSCE Conflict Prevention Centre

1–3 p.m.

Lunch break

3–4.30 p.m.

Working session IV: Way forward on the Plan of Action and OSCE contribution to the UN processes

- Introductory address by the working session moderator;
- Remarks by panellists;
- Discussion on the way forward with regard to the Plan of Action on SALW;
 - What is the implementation rate of the Plan of Action?
 - What issues of the Plan require further implementation efforts?
 - Are there additional aspects of the Plan of Action implementation identified by participating States on which the OSCE should focus its efforts?
 - How can the OSCE SALW processes further contribute to global efforts?
- Discussion of the OSCE contribution to the UN Review Conference on the UN Programme of Action on SALW.

Moderator: Col. A. Byrén, Permanent Delegation of Sweden to the OSCE

Rapporteur: Mr. V. Krška, Permanent Mission of the Czech Republic to the OSCE

Panel discussion with the participation of:

- Mr. D. Prins, Conventional Arms Branch, UNODA
- Ms. S. Grassi, Division for Treaty Affairs, UNODC
- Mr. P. McCarthy, ISACS Project Co-ordinator, United Nations
Co-ordinating Action on Small Arms (CASA)
- Mr. M. Geertsen, OSCE Conflict Prevention Centre
- Mr. G. MacDonald, Small Arms Survey

4.30–5 p.m.

Closing session

- Chairperson's closing remarks

**OPENING STATEMENT BY THE CHAIRPERSON
OF THE FORUM FOR SECURITY CO-OPERATION AT THE
MEETING TO REVIEW THE OSCE PLAN OF ACTION ON
SMALL ARMS AND LIGHT WEAPONS**

Tuesday, 22 May 2012

Mr. Secretary General,
Distinguished permanent representatives,
Ladies and gentlemen,

It is a pleasure for me today to open the Meeting to Review the Implementation of the Plan of Action on SALW and to welcome the large number of representatives from capitals, international organizations and NGOs who have travelled to Vienna to contribute to our discussions over the next two days. Your attendance is a testament to the importance of this work, both in relation to the OSCE, and in the wider global context.

The problem of SALW proliferation is not new to the OSCE agenda. Yet, the negative effects of illicit SALW continue to pose serious threats to safety and security in the OSCE region and globally. Thousands of people are killed every year with small arms, leading to the deterioration of security, escalation of violence, slowdown of economic development and other factors constituting the framework for regional, national and individual security.

The OSCE Document on Small Arms and Light Weapons adopted in 2000 created the necessary framework for the Organization to fight the proliferation and diversion of weapons. While the Document on SALW established a comprehensive base for addressing the issue in the OSCE area, globalization and the worldwide spread of small arms require a global response. The development of the UN Programme of Action on SALW in 2001 provided this so much needed answer.

Over a decade has passed since the adoption of these two important documents. While we have identified the “what” of the problem and the “where” in terms of concrete outcomes, the “how” needed to be elaborated and developed for each region based on its priorities and challenges. The OSCE’s answer to this question was the Plan of Action on SALW. Adopted in 2010, within a remarkably short time frame, the Plan sets out the OSCE road map to fight illicit SALW and contribute to global efforts. The Plan is quite ambitious and, no doubt, requires continuous and serious engagement on the part of the FSC and the participating States, as its implementation goes hand in hand with the implementation at the national level and in the OSCE framework.

The FSC has actively taken up the Plan in its work. A number of concrete initiatives have been launched to address many points of this document. While our primary focus remains on the OSCE area, we have also looked to partners working outside the OSCE region, in order to balance our work so as to fit into international concerns. Co-operation and co-ordination have become increasingly important and have been systematically developed over the past years.

Just three months before the UN Review Conference on the Programme of Action on SALW, it is ever more important to compare notes and look at the OSCE's efforts in light of the overall implementation of the UN Programme of Action to ensure that the OSCE contribution will be timely and effective and not duplicate already existing initiatives.

Finally, all initiatives require proper preparation and need sufficient financial resources in order to take place. Therefore, I would like to express gratitude to the Government of Germany for providing a generous financial contribution to support the conduct of this important event.

This meeting provides an excellent opportunity to take stock of our work and seek out the challenges that remain. We have substantial work ahead of us, and I think that we have an opportunity to shape our regional and global contribution to dealing with the wide range of issues associated with SALW, to contribute substantively to the UN process on SALW, and to enhance the OSCE's reputation in this field.

**OPENING STATEMENT BY THE SECRETARY GENERAL
AT THE MEETING TO REVIEW THE OSCE PLAN OF ACTION ON
SMALL ARMS AND LIGHT WEAPONS (SALW)**

Tuesday, 22 May 2012

Mr. Chairperson,
Excellencies,
Ladies and gentlemen,

It is a great pleasure to address the opening session of this important meeting. I am particularly glad to do so, given my close involvement on this issue both as an Italian delegate actively engaged in the negotiations of the 2000 OSCE Document on SALW, and later on, as Director of the Conflict Prevention Centre, in the dissemination of that document and the Best Practices Guides and in the development of relations with other regional actors – the UN first of all – on all aspects of SALW activities.

The illicit trade in small arms is a serious concern for the OSCE. This stands to good reason. The OSCE region includes major producers and exporters of SALW. Ninety per cent of illicit traffic is diverted from the legal market. Internationally accepted norms, measures and standards, along with co-operation at the regional and global levels, are essential for establishing effective control over the entire cycle of SALW and stopping their diversion.

With this in mind, the OSCE participating States have declared their willingness to develop an effective regulatory framework in this field. The Organization has worked since the 1990s at the forefront of international efforts to curb illicit trade in SALW and to develop effective national and regional practices in respect of control of SALW.

The adoption of the 2000 Document on Small Arms and Light Weapons has established the pioneering role of the Organization and has firmly placed SALW on the agenda of the OSCE. The Forum for Security Co-operation has since worked to further enhance this comprehensive instrument for tackling the risks arising from small arms. The subsequent adoption of specialized decisions to facilitate effective export control and make it possible to provide voluntary assistance to States on destruction and stockpile management and security, in order to tackle the specific regional concerns, has underpinned the OSCE's special role in contributing to individual, regional and international security.

In doing so, the OSCE carefully crafts the balance between meeting the needs of its own region while managing to complement and stimulate action in the framework of the United Nations. The contribution of the Organization plays a vital role in global processes of fighting illicit proliferation – first, by contributing to more effective legislative controls in the OSCE area, and second, by strengthening the implementation of the UN Programme of Action on Small Arms and Light Weapons (PoA). We should recall that effective action at the regional level paved the way to the adoption of the UN PoA.

The adoption of the OSCE Plan of Action on SALW in 2010 laid out a road map for action at both the national and the regional levels identifying priority areas. The implementation of existing norms constituted one of the two pillars of the Plan of Action and remains a key area for future work. I congratulate States on the substantial work done in this

area, resulting in concrete achievements in both the legislative and practical assistance spheres. However, in order to fully assess the implementation and guarantee the long-term success of such endeavours, we need to develop implementation benchmarks. Such benchmarks would measure the achievements and the remaining loopholes in setting up an effective control system related to every stage of the life of a small arm. The initial steps have already been taken in the revised OSCE and UN reporting templates. However, they should be developed further, with the close engagement of participating States.

Given the OSCE's comprehensive approach, we should also further strengthen practical links between the issue of illicit SALW and other domains of the OSCE's work, such as the conflict cycle and transnational threats. Such a pragmatic approach would enhance the impact of our activities.

Finally, during a time of scarce resources, we need to seek ways to make our activities even more effective and efficient without duplicating similar action elsewhere. Therefore, we need to intensify the dialogue with counterparts from other international organizations. In this respect, I am pleased to note that, currently, we are discussing with the United Nations Office for Disarmament Affairs (UNODA) a proposal for a memorandum of understanding on SALW to further improve co-ordination, planning and joint activities in a practical manner, complementing similar agreements we have already reached with the United Nations Development Programme (UNDP) and the United Nations Office for Drugs and Crime (UNODC).

Much hard work remains ahead of us. An estimated 875 million small arms remain in circulation around the world, killing up to half a million people every year. The impact of such a loss on the livelihood of women, children and men who are dependant on those who are killed is beyond measure. The stakes are high.

I look forward to your discussions over the next two days. This Meeting is important, because it will make it possible to take stock of work done until now and to look into new areas where the OSCE could provide complementary value in curbing the illicit proliferation of small arms. The OSCE has proven its ability to effectively contribute to these efforts. This should be consolidated and developed further.

Thank you.

REPORTS OF THE WORKING SESSION RAPPORTEURS

WORKING SESSION I

Wednesday, 22 May 2012

Report of the Working Session Rapporteur

Conformity, transparency and practical assistance

Working session I of the OSCE Meeting to Review the OSCE Plan of Action on SALW was devoted to the significance of conformity, transparency and practical assistance in fulfilling the commitments stemming from the OSCE Document on SALW and the Plan of Action.

In his opening remarks, the moderator of the session, Mr. Larry Schultz, United States Defense Threat Reduction Agency, underlined the importance of combating all aspects of illicit trafficking of SALW. There were controls in place at both the global and the regional levels, including in the OSCE, to counter the illicit spread and destabilizing accumulation of SALW. He drew attention to the decreasing number of participating States responding to the annual information exchange on SALW. In 2011 alone, only 49 participating States had submitted reports. In addition, in-depth analysis of the data provided identified serious discrepancies, the reasons for which should be carefully studied and addressed by proper measures in order to make the data reported comparable to the data submitted. With regard to practical assistance, he stressed the need for more attention to be paid to fulfilling obligations in areas such as marking and tracing, detailed record-keeping, training, assistance in developing relevant national legislation on SALW, and financing of SALW projects. He also reminded the participants that consideration should be given to gender aspects of SALW, particularly the role of women in raising awareness, promoting a gun-free culture and implementing SALW commitments. Finally, he drew the attention of the forum to the capabilities of the Multinational Small Arms and Ammunition Group, which assisted participating States in implementing the measures contained in the OSCE Best Practice Guide, with the aim of improving safety, security, and accountability in respect of State-controlled stockpiles of SALW and conventional ammunition.

Ms. Maria Brandstetter, OSCE Conflict Prevention Centre (CPC), provided an overview of efforts undertaken by the CPC in the past two years to facilitate the implementation of existing commitments on SALW, including those contained in the Plan of Action. The Centre was focusing on the issues of transparency, export controls, co-operation with other international organizations and practical assistance projects.

With regard to transparency, the focus of the CPC work had been to help States improve the quality of their SALW-related reporting while reducing the reporting burden. Two initiatives had been implemented: (1) a standardized reporting template harmonized with the UN template; and (2) a study on information exchanges on imports and exports of SALW. The in-depth study of the national methodologies used in compiling States' submissions on imports and exports of SALW had been launched following a CPC internal analysis in 2011 which had showed that less than five per cent of the data provided matched.

With regard to export controls, the CPC's activities had focused on the topics of end-user certificates, brokering, legislative assistance and capacity-building.

In 2011, together with the Stockholm International Peace Research Institute (SIPRI), an electronic end-user certification form had been developed for voluntary use by participating States, and the CPC stood ready to provide the necessary assistance in tailoring the template to national legislation and procedures. In the 2011 information exchange on brokering controls of SALW, 28 participating States had reported having a definition of the “brokering activity”; three participating States had reported no national legislation on brokering; five participating States had reported having enacted new legislation; and two participating States had reported on cases of prosecution on grounds of illicit brokering.

With regard to legislative assistance activities, in 2011, a country-specific dialogue had been initiated with Moldova at the request of that country, jointly with the German federal export control agency (BAFA), UNODC, UNODA and UNDP; it covered the whole spectrum of export controls, both military and dual-use, including those covered by UN Security Council resolution 1540 (2004). The project highlighted the importance and mutual benefit of co-operation among various international organizations in the field. The CPC would continue co-ordination and co-operation with its various partners (UNODA, UNODC, UNDP, EU, NATO, BAFA, the Wassenaar Arrangement, UN CASA), in both formal and informal frameworks, aiming to avoid duplication while placing emphasis on the OSCE’s comparative strengths and advantages in the field of SALW controls. With regard to practical assistance projects, he noted that adequate funding remained a serious challenge.

Mr. Mark Bromley, Stockholm International Peace Research Institute, presented an analysis of States’ submissions on exports and imports of SALW under the OSCE Document, and the methods States used for collecting and reporting data. The goal of the project was to get a clearer understanding of national methodologies for collecting data in order to reduce the rate of mismatches in the information provided.

The analysis concluded that there was a declining trend in the match rate for small arms from seven per cent in 2009 to four per cent in 2011. He suggested three possible explanations for the low level of correlation in States’ submissions, namely, differences in reporting templates, differences in sources of information used to collect data and differences in the coverage of States’ submissions. The recommendations included sharing of practices in the compilation of data on deliveries; discussion of transfers bilaterally before reports were issued; clarification of the coverage of the OSCE Document on SALW; and harmonization of the UN Register of Conventional Arms and OSCE reporting templates.

Finally, Dr. Christiane Agboton Johnson, an independent SALW expert, spoke about the role and the potential of women in the promotion of a gun-free culture and in the implementation of the instruments to counter illicit SALW. The necessity of an increased participation of women in all SALW-related processes was strongly stressed, given the present complex global environment, in which there had been significant developments, both in the types of individuals who used armed violence and in the circumstances in which arms were used.

In many regions of the world, women were involved in SALW programmes through participation in awareness-raising campaigns; disarmament, demobilization and reintegration programmes; and peacekeeping operations. However, the results were not always commensurate with the magnitude of the task. Examples given in that regard related to the role of women in the Economic Community of West African States (ECOWAS) Convention

on Small Arms and Light Weapons and the UN Programme of Action, where women were generally relegated to second place, or disappeared altogether in the course of implementation.

The conventional approach to security was a major cause of women's under-representation. In order to overcome that situation, concerted efforts were needed, such as targeted programmes for security-sector reform, taking the composition of the security forces into consideration from a new angle. The gender approach was essential – involvement of women at all levels, and specifically in the structures responsible for implementing national, regional and international instruments to counter illicit SALW.

A “human” approach to security could well serve the purpose, as it would encourage the involvement of other parties concerned, such as civil society (and therefore women). In addition, further attention should be paid to the implementation of existing instruments, including Security Council resolution 1325 (2000).

Women should take advantage of their role in the primary socialization of children, since the issue of arms had aspects other than those linked to cultures that placed a value on weapons. Women could also make a contribution in relation to new threats linked to the Internet, and to violence committed by young people, and thus could help to transmit values conducive to a culture of peace.

The presentations were followed by several interventions.

One delegation commented on its experience with regard to its efforts to avoid discrepancies in national reporting; it attempted to match data with those of counterparts prior to the publication of the reports. In addition to the reasons mentioned by SIPRI in its analysis, that delegation shared its own observation that data often did not match because some transfers were divided over calendar years. Furthermore, the same delegation inquired whether the CPC took the necessary measures and precautions to guarantee the confidentiality of sensitive national data when access to it was given to outside consultants for analysis purposes, as in the case of the study conducted by SIPRI. The CPC gave information on the precautionary measures taken to ensure the confidentiality of information, such as non-disclosure forms.

One delegation expressed dismay over the fact that only four per cent of the annual information on SALW exports and imports matched, and advocated measures to increase the match rate. In addition, it strongly supported increasing the role of women in implementing the various agreements on SALW. As a positive example, it pointed to the participation of women in particular demining activities and SALW assistance projects.

One delegation presented the steps undertaken in the past few years to strengthen its national export-control legislation and to further build the capacity of the respective national authorities, including customs and border controls.

One delegation suggested that more information with regard to OSCE initiatives on SALW, including national reports and SALW projects, should be made available on the OSCE website so that it would be readily accessible to experts in capitals when needed. In reply, the CPC outlined the steps undertaken to raise the profile of OSCE activities on SALW.

One delegation inquired about procedures aimed at facilitating the implementation of reporting commitments. In response, the CPC gave a detailed description of all the established procedures and mechanisms.

One delegation pointed to the need for further work to identify categories of weapons in order to increase the match rate of data reported.

WORKING SESSION II

Wednesday, 22 May 2012

Report of the Working Session Rapporteur

Export and brokering controls

The moderator opened the session by introducing his food-for-thought paper. The focus of the session was emphasized as the control of exports and brokering to prevent the illicit transfer of SALW and the creation of destabilizing accumulations. Moreover, the session might provide potential inputs to both the Arms Trade Treaty (ATT) and the review of the United Nations Programme of Action.

The first presentation, by Mr. James Bevan, Conflict Armament Research, described the most common forms of “diversion” of SALW and ammunition. Using case studies, the speaker showed how flows of illicit SALW could quickly lead to destabilizing accumulations across broad regions. Having outlined the causes of diversion, he also proposed some solutions, including enhanced export controls, improved stockpile management, and better enforcement activities.

Ms. Claudia Topp, German Bundesamt für Wirtschaft und Ausfuhrkontrolle (Federal Office for Economic Affairs and Export Control) (BAFA), set out her Government’s response to the new challenge of licensing Private Security Service Providers operating in the counter-piracy role. New regulations and processes would be introduced to help German-flagged vessels deal with the threat of piracy. She emphasized the challenge of combining the objectives of export control and that new task. However, she acknowledged that, owing to the complexities of the field, a great deal of policy development and work remained to be done in order to refine and improve policies. She also related how other countries had adopted different approaches and were co-ordinating their efforts.

Mr. Anthony Leggatt, Eurocontrol, outlined his organization’s capabilities in the monitoring and recording of all air movements within the 39 member States; Eurocontrol’s activities facilitate the identification of patterns of potentially illicit trafficking of SALW by air. The service could be used as an early warning mechanism relating to suspicious aircraft or operators, which could give a State or international organization a cue for an interdiction.

The final speaker, Mr. Hugh Griffiths, Stockholm International Peace Research Institute (SIPRI), described an EU-funded project that had developed risk-assessment software designed to identify suspicious aircraft operations. He outlined how the software could be used in conjunction with Eurocontrol flight data and other mechanisms, in support of the enforcement of embargos and other export or transfer controls. Noting the strong correlation between movements of illicit SALW by air and conflict, he suggested that the tool could be used by participating States or the OSCE both in the control of SALW and in conflict-prevention activities.

A comprehensive open forum discussion followed. Questions for the panel and interventions by various participating States went into greater depth on topics which included prevention of maritime trafficking; controlling re-exports of SALW; manufacture of weapons

under invalid or expired license, which are susceptible to diversion; strengthening of export control decision-making, including taking account of stockpile management and security; the risks of diversion to terrorists, insurgents and regions of instability; destruction as the favoured means of disposal; and the efficacy and verification of end-user certificates (EUCs). On the specific question of using Eurocontrol flight plan data and EU risk-assessment software to help identify illicit activity,¹ individual participating States, or indeed the OSCE, were encouraged to consider that possibility.

A summary of measures for further work derived from working session II could therefore include:

- Developing measures to minimize the risk of SALW being diverted following their legitimate use by licensed Private Security Service Providers;²
- Introducing a mechanism to prevent illicit trafficking in the maritime environment, drawing upon recent guidance from the International Maritime Organization;
- Improving national legislation and/or the use of aspects of a Wassenaar Arrangement document within the OSCE to better control re-exports;
- Achieving greater supplier vigilance through improvements to end-user certificates; more dynamic verification, monitoring and enforcement procedures; and a thorough assessment of stockpile management and security;
- Broadening the assessment of the receiving State's suitability by conducting a more in-depth and networked analysis of regional stability to further enhance export controls;
- Using the correlation between movements of illicit SALW by air and instability for the OSCE's work on early warning and transnational threats.

1 The EU will apparently pay for the provision of the software and training for any participating State/organization that requests it.

2 There is also scope to link this subject to discussions on the Code of Conduct on Politico-Military Aspects of Security on 11 July 2012.

WORKING SESSION III

Wednesday, 23 May 2012

Report of the Working Session Rapporteur

Stockpile management and security, destruction, marking and tracing

Working session III examined the issues covered by Section II (paragraphs 3, 4 and 5) of the OSCE Plan of Action on SALW, addressing stockpile management and security, destruction, marking and tracing of SALW. The session was opened by the moderator, Colonel Prasenjit Chaudhuri, Ministry of Defence of Switzerland, who introduced the session by recalling the continuous efforts to improve implementation of international standards and best practices in order to counter the destabilizing accumulation and illicit transfer of SALW as well as to avoid unplanned explosions in ammunition depots with their devastating effects. He welcomed the trend during the past decade in the world of SALW towards a co-operative approach. The relevance of that approach was demonstrated by the successful implementation of SALW and ammunition projects in the framework of the assistance mechanism, which sustainably strengthened the OSCE SALW regimes.

Ms. Tracy Hite, Interpol, provided an overview of Interpol's Firearms Programme ("Interpol's Firearms Programme and opportunities for OSCE/Interpol complementary efforts"), stressing its operational focus. The programme consisted of four operational tools to assist countries in the mining of available intelligence in respect of firearms used in crime, the Interpol I 24-7 Secure Global Communications Network being the gateway through which to access all of Interpol's databases and tools. In that regard, four elements were presented:

- The Interpol Firearms Trace Request, which allowed the ownership history of a firearm used in a crime to be requested from the country of origin or legal import. That tool would be replaced by the Interpol Illicit Arms Record and Tracing Management System (iARMS);
- The Interpol Firearms Reference Table (IFRT), which enabled investigators to identify a firearm correctly before submitting a trace request to another member country;
- The Interpol Firearms Identification online training, which provided users with a basic understanding of the function, assembly, markings and identification elements necessary for tracing;
- The Interpol Ballistic Information Network (IBIN), which provided a global platform for the centralized collection, storage, cross comparison, and analysis of ballistic images.

She noted that an opportunity for enhanced co-operation between Interpol and the OSCE might be afforded by ensuring expanded access to Interpol's I 24-7 among participating States. In addition, Interpol might support a broad use of the OSCE standardized template for an end-user certificate. Another possibility for interaction between the two

organizations might be the iARMS system, which, complementary to the OSCE's brokering and export control initiatives, could be the central repository for the reporting of small arms diverted from legal commerce.

Mr. Pierre Gobinet, Small Arms Survey, presented the lessons learned from the Regional Approach to Stockpile Reduction (RASR) initiative, whose main goal was to encourage participating governments of South-Eastern Europe to develop a proactive, co-ordinated and regional approach to the management of surpluses of small arms/light weapons and conventional munitions and their destruction. The presentation examined the initiative covering those domains in which the RASR initiative might facilitate greater co-ordination among regional actors, namely, national and regional policy; infrastructure; training, education and capacity-building; sharing of information and best practices; and standardization.

Referring to the challenges, he highlighted the difficulty of finding synergies owing to the disparity in stockpiles, differences in national capacities to destroy or demilitarize and variations in national policies and legislation, and owing also to the lack of domestic and regional co-ordination among government stakeholders. Logistics, which absorbed 50 per cent of the finance of demilitarization projects, and environmental legislation, were also important challenges.

Regarding the way ahead, he identified a number of specific approaches that could be adopted: more involvement by political decision-makers as well as industry contractors; formulation of concrete implementation goals; invitation of other South-East European countries as observers; possibilities of transfers to other regions; and the search for alternatives to the current "funding-driven" approach.

Mr. Daniel Prins, United Nations Office for Disarmament Affairs (UNODA), and Mr. Patrick McCarthy, UN Co-ordinating Action on Small Arms mechanism, provided UN views through the presentation entitled "Towards Universal Standards on SALW and Conventional Ammunition: Consequences for OSCE Best Practice Guides".

Mr. Prins presented the development of the technical guidelines for the management of stockpiles of conventional ammunition, commonly known as the International Ammunition Technical Guidelines (IATG). Those Guidelines were based on the most comprehensive and highest existing standards and had been developed using a three-tiered approach which would allow a progressive attainment of those standards. He also noted the living nature of the Guidelines, which were reviewed and amended every five years.

Mr. Prins made reference also to the UN SaferGuard Programme, which oversaw and promoted the implementation of the IATG. The Programme, which had three key components (UN SaferGuard Ammunition Board, roster of experts and Global Trust Fund), and the IATG provided a framework for open dialogue and co-operation between the UN and international organizations such as the OSCE. He encouraged OSCE participating States and Partners for Co-operation to nominate experts to the roster, and also to support the Global Trust Fund. Referring to the OSCE Best Practice Guides (BPG), he also suggested that a continuous co-ordination with the IATG might help to develop the OSCE BPGs further. He concluded his presentation by calling for further co-operation between the UN and OSCE.

Mr. McCarthy reflected on the role that the OSCE had played in helping to develop the International Small Arms Control Standards (ISACS) that would be launched at the end of August 2012. The purpose of ISACS would be to provide clear, comprehensive and practical guidance to SALW policymakers and practitioners on a broad range of SALW control issues. He described the framework and foundation of the ISACS. The presentation focused on the consequences of ISACS for the OSCE Best Practice Guides, reflecting on the interaction between international and regional standards. It was also noted that ISACS would not diminish the BPGs, since the OSCE standards and guidelines, due to the Organization's regional scope, would be more attuned to and focused on the specific needs and capacities of the participating States. Rather, ISACS would act as a global reference which would encourage regional efforts to achieve the desired convergence. In that regard, the OSCE electronic template for end-user certificates was mentioned as an example of the co-operation between the UN and OSCE.

He pointed out that the ISACS would be a living document and could always be improved with the inputs and assistance of regional organizations such as the OSCE.

Lieutenant Colonel Andreas Nehring, Ministry of Defence of Germany, spoke on the topic of "Ongoing Projects by Germany on Stockpile Management and Security, Record-keeping, Destruction, Marking and Tracing". He analysed the challenges posed by SALW in the current security environment, emphasizing the need to tackle the problem at its root, since it was a key element in crisis prevention. In that regard, he noted that the issue exceeded the national scope and the co-ordination role played by the UN and the OSCE should be enhanced. Specifically, the serious threat posed by man-portable air-defence systems (MANPADS) was highlighted.

He stressed Germany's commitment to SALW control and reported on the country's contribution to several projects in that field, with special attention to those in South Sudan, Ivory Coast and Libya. The three elements that played a crucial role in their activities were awareness-raising, institution-building and training of experts. In that field, the OSCE was the country's main partner in Europe and it would continue supporting the Organization's activities. In conclusion, he suggested that the German view was that transparency was one of the areas that needed to be increased.

Colonel Vladimir Baranov, Ministry of Defence of Belarus, and Mr. Anton Martyniuk, OSCE Conflict Prevention Centre, delivered a presentation on the topic "SALW Record-Management Software Application Developed in the Framework of the OSCE-UNDP-MoD of Belarus Capacity-Building Programme on SALW".

Colonel Baranov introduced his presentation by recalling the historical problem that Belarus had faced with regard to the accumulation of SALW and SCA after the collapse of the Soviet Union, and the consequent need to improve its security with modern systems. The presentation followed the development of the SALW and Conventional Ammunition Inventory Management Application from its initial requirements to the final design of the software, and outlined its possibilities.

Mr. Martyniuk supplemented the presentation by updating the participating States on the way ahead for the project with regard to rolling out the electronic inventory management system on SALW to other interested States, including technical adjustments, hardware and software requirements, as well as training.

The presentations were followed by discussion.

After the presentations and before opening the floor for questions and discussion, the moderator closed the first part of the working session by saying that significant results had been achieved in co-ordinating the activities and initiatives of different organizations; however, there still was a clear need for further work in the area of project co-ordination, as well as synchronization of international procedures, standards and best practices.

One delegation provided information about keeping in storage over 350,000 tons of surplus conventional ammunition, 70 per cent of which represented a threat to nearby residential areas. Since 2003, a joint project on SCA had been implemented with the OSCE that comprised three main components: establishment of a digital database, destruction of ammunition and restoration of an SCA testing laboratory. While the first two areas had been successfully implemented, the project relating to a test laboratory had not yet been realized due to lack of resources. A mobile facility for destruction of conventional ammunition was an important tool, which facilitated the destruction of ammunition near the storage sites.

One delegation referred to some of the presentations. With reference to the RASR presentation, it was in agreement. The delegation also stressed the need for greater attention at the policy level. There was a need to link the RASR work to concrete projects, since that would measure the success of the RASR Initiative. That delegation also referred to two specific issues: the increasing number of unplanned explosions at munitions sites and the important challenge posed by uncontrolled MANPADS, which it also looked upon as a priority.

Mr. Gobinet, Small Arms Survey, concurred with the comments of the previous delegation and stressed that physical security would remain an issue, confirming also the relevance of unplanned explosions at munitions sites. The Survey's research showed that, unfortunately, measures were taken after the unplanned explosions and not before.

Mr. Prins, UNODA, highlighted two points. First, in the present financial situation, the cost factor should not be underestimated, considering that the maintenance of stockpiles of ammunition was normally very expensive. The argument that it was cheaper to destroy the surpluses and buy new ammunition later on if needed might be used to pursue ammunition destruction awareness. The second point related to MANPADS, since a trend could be seen towards singling out the MANPADS as a standalone category and trying to exclude it from the SALW package and therefore from the UN Programme of Action on SALW.

WORKING SESSION IV

Wednesday, 23 May 2012

Report of the Working Session Rapporteur

Way forward on the Plan of Action and OSCE contribution to the UN processes

The subject of working session IV was a discussion of the way forward with the OSCE Plan of Action on SALW and the OSCE contribution to the Review Conference on the UN Programme of Action. Two food-for-thought papers were distributed by the moderator before the session. The moderator opened the session by pointing at the role of the Plan of Action, and said that it was time to consider in which direction the OSCE wanted to continue the work on SALW. The OSCE had been a successful forerunner, and now needed to decide how to optimize the parallel OSCE-UN processes, and especially what to do in respect of the Plan of Action.

Panellist Mr. Daniel Prins, UNODA, opened by raising the issue of the co-ordination between the UN and the OSCE and the challenge for regional organizations of properly aligning their work with the actions they decided on at the global level. He suggested that the OSCE could align its meeting cycle more closely to the UN six-year cycle with its biennial meetings. That would effectively make possible regional follow-up action on how the global commitments would translate best for the region, and would also allow for a more structured regional input in global meetings. That was a message the UN conveyed to all regions, and it was increasingly being heeded. He supported the idea of updating the OSCE Plan of Action only after the UN Programme of Action Review Conference had been concluded, precisely to take the possible new global commitments fully into account in the future work of the OSCE on the issue. Regarding national reports, he stressed that each OSCE participating State had reported on its implementation of the UN Programme of Action at least once in the past, and 93 per cent of the OSCE participating States had communicated their contact points.

Panellist Mr. Diman Dimov, United Nations Office on Drugs and Crime (UNODC), pointed out that there were more UN processes to consider, including those under the UN Convention against Transnational Organized Crime (UNTOC) and the Protocols Thereto. The UN Firearms Protocol was the only legally binding treaty on firearms. The UNODC and the OSCE had worked closely for years in the area of firearms control. Their co-operation had been based on mutually agreed policy documents, for example, the current joint OSCE-UNODC action plan. The co-operation that had been agreed on was also being implemented in practice. A recent example was the joint country visit to the Republic of Moldova in March 2012. The UNODC would like to continue looking for new areas for co-operation with the OSCE. If the Conference of the Parties adopted the review process in respect of the UNTOC and the Protocols Thereto in October 2012, the UNODC and the OSCE could discuss the possibility for the OSCE to facilitate the process of collecting information about the implementation of the Firearms Protocol. The OSCE had provided such support in the past. As a result, the highest rate of response to the UNODC questionnaire came from the States in the OSCE area. Another field for possible co-operation was the pre-ratification support for States in the OSCE area that had signed the UNTOC but had not ratified the Firearms

Protocol. Finally, the organizations had also discussed the possibility for joint programme planning and fundraising.

Panellist Dr. Patrick McCarthy, UN Co-ordinating Action on Small Arms mechanism, said that he saw the consideration by the FSC of the possibility of making information exchanges public through a website as appropriate; that could lead to an enhancement of compliance with the commitments and could encourage public interest. A summary report on replies by participating States on the control of brokering in SALW had already been launched publicly and was serving as a good example. In addition, a UN-OSCE joint template already existed. Negotiations on an Arms Trade Treaty could have implications for the Plan of Action and concerning the Review Conference on the UN Programme of Action; the issues to focus on during the next six years could also be chosen by the OSCE so as to make a coherent contribution to the debate. The template for end-user certificates had advanced that issue and, if supplemented to ensure accuracy of content and prevent falsification, would advance it even further. The best practices guide on marking was a good starting point, but co-operation could be intensified and the OSCE could consider developing a template for the information to be marked when manufacturing weapons and for the parts to be marked. The OSCE framework on SALW was already broad and comprehensive, but there was scope for stepping up the co-operation, especially on concrete technical issues related to end-user certification and marking. He noted that he very much valued the fact that the OSCE had recently taken the gender dimension of the SALW into account.

Panellist Dr. Glenn McDonald, Small Arms Survey, said further attention should be paid to updating or fine-tuning OSCE norms in some areas—such as brokering and marking, record-keeping and tracing—in light of new developments at the UN and elsewhere. The key challenge for the OSCE was, however, to strengthen the implementation of existing norms. In order to address discrepancies in reporting on exports and imports, one could develop common templates and common definitions. Information exchanges could be analysed to better target assistance efforts. One could also explore ways of making the results of such exchanges public, while safeguarding national commercial and security interests. The OSCE could expand its work on the assessment of diversion risks at the transfer licensing stage and on post-delivery verification. Those efforts did not necessarily cost anything. It was also important to increase the participation of women in the development and implementation of small arms measures. Last but not least, there were opportunities for broadening co-operation with other international organizations and for recognizing linkages with other aspects of OSCE work, such as security sector reform. Generally, it was important to ensure that OSCE small arms norms were kept up to date and to ensure the full and effective implementation of existing OSCE measures.

Panellist Mr. Mathew Geertsen, OSCE Conflict Prevention Centre (CPC), pointed to the Plan of Action as an FSC road map for continuing its activities in fighting the proliferation of illicit SALW and recalled several achievements, e.g., the participating States' success in exchanging information about brokering activities, the increasing quality and quantity of national reporting, the joint SIPRI-OSCE development of a template for the end-user certificate, the harmonized OSCE-UN reporting template and the study on national methodologies for reporting imports and exports. For the UN Review Conference, the CPC had offered to the FSC an OSCE report and a side event. He concluded that significant progress had been achieved with the Plan of Action, but some priorities had also shifted since the adoption of the Plan, and the OSCE could benefit from it in its early warning efforts. The Plan of Action should be responsive to changing realities, and in order to take assessments

and proposals from the meeting into account in a structural manner, consideration should be given to discussing an amendment or a review of the Plan.

The panellists' remarks were followed by a discussion. One participating State was deeply concerned about the practice of manufacturing SALW using expired licences and making economic use of the products by exporting them, and about re-exports of SALW without the primary exporting country being formally notified. According to the delegate, some immediate measures and a multilateral approach against illicit trafficking were urgently needed, preferably under the leadership of the UN, where all States were represented and whose documents, including concrete steps, were legally binding, in order to stop the market, hidden tolerance and perceived double standards.

One participant acknowledged the outstanding work on SALW done by the OSCE and proposed that a greater visibility of the significant achievements should be striven for and promoted. The first simple step might be just linking the relevant websites. Also, a stronger communication between the CPC and gender organizations and subsequent integration of gender issues into the action on SALW might bring additional added value. Concerning marking and tracing, she suggested making use of contemporary developed technology.

Another delegation drew attention to the basic conditions for a prosperous multilateral co-operation, namely, enhancement of transparency and compliance, harmonization of templates and formats, sharing of information and open exchange of information. A risk assessment carried out by one participating State should be shared with others. It was equally important that each participating State make financial contributions to SALW projects according to its capacity. The delegate also stressed the link to other dimensions.

The next delegation noted that sometimes some participating States gave the impression of competing, rather than co-operating. There was a real need to co-ordinate donors, recipients, international organizations and governments. Moreover, duplication of work or non-co-ordinated holding of meetings in different organizations should be avoided. The delegation also stressed that a legal framework was missing and the possibility of a roster for SALW should be looked into.

One delegation mentioned that the Wassenaar Arrangement had recently made some progress with its document entitled "Elements for Objective Analysis and Advice Concerning Potentially Destabilising Accumulations of Conventional Weapons", and suggested that the OSCE should consider embodying parts of the Wassenaar Arrangement document into its procedures. It considered that, the OSCE SALW Document also required participating States to take into account the stockpile management and security procedures of a potential recipient country when making export control decisions, but the Document provided no guidance on how that should be done or what standard should be applied. It asked the panel whether any such guidance existed, and especially whether any was contained in the recently published UN International Ammunition Technical Guidelines (IATG).

The last delegation stressed the need for more implementation, rather than more meetings. Regional organizations could focus on implementation of global commitments at the regional level. It stressed the importance of co-operation, not competition or duplication, and of the avoidance of overlapping meetings such as the Plan of Action Review Meeting and the Firearms Protocol meeting that was taking place simultaneously.

The moderator concluded that the Plan of Action was pointing in the right direction for the SALW work of the OSCE, but it should be a living document; it should be revised and the outcome of the UN processes in 2012 should be taken into account. Furthermore, many areas that could be added to the Plan had been discussed during the Meeting, including transparency measures, gender aspects, revision of the best practices, licensing issues and tracing. The norms should be fine-tuned or updated and implementation should be strengthened. Summing up, the moderator also said that current co-ordination between the OSCE, the various UN agencies and other organizations appeared to be significant and should continue. Moreover, regional actions should be effectively connected to the global processes in order to achieve the best results, including alignment of the work cycles. The regional level could contribute to the global level, e.g., by development of the end-user certificate, since technical issues were probably easier to move forward on. SALW had a link to more than politico-military areas, also geographically, and projects were still a central part of the concrete OSCE work. Finally, the SALW work of the OSCE needed to be given more visibility so as to attract more attention and support from capitals.

**CLOSING REMARKS BY THE CHAIRPERSON
OF THE FORUM FOR SECURITY CO-OPERATION AT THE
OSCE MEETING TO REVIEW THE OSCE PLAN OF ACTION ON
SMALL ARMS AND LIGHT WEAPONS**

Wednesday, 23 May 2012

Distinguished permanent representatives,
Ladies and Gentlemen,

We have concluded two days of intensive discussions on the OSCE Plan of Action on Small Arms and Light Weapons. It has been a very fruitful and successful event that brought new ideas, suggestions, questions and answers on topical issues.

In four sessions we have covered a wide spectrum of issues, ranging from export and brokering controls, stockpile management and security and destruction to the marking and tracing of small arms and light weapons.

We heard illuminating presentations setting out some of the challenges of, and potential solutions to, the diversion, licensing and illicit trafficking of SALWs. We had an opportunity to look at regional approaches to tackling stockpile management. We all benefited from the concrete examples and initiatives that were presented to us.

The volume of destabilizing flows, the illicit-transfer mechanisms depicted and the weaknesses identified in some norms and procedures are a stark reminder of how important it is for us to continue our work in this area.

Among other important issues that generated discussion, the need for improved re-export controls; verification of arms deliveries and end-user certificates; inventory management; record-keeping; reporting; improved export and brokering controls; and co-operation are all substantive topics for our work in the future.

Finally, we looked at the OSCE's efforts in the context of the global action on fighting the illicit spread of SALW, especially in light of the need to synchronize activities with other international organizations and to launch complementary initiatives.

The Meeting has shown that concrete results have been achieved in some areas related to the implementation of the Plan of Action. However, it also demonstrated the need for further efforts to boost the implementation of the norms, measures and principles agreed in the Plan. Therefore, the Forum will carefully examine the suggestions emanating from the Meeting, with a view to incorporating them into its future work plan.

With this, let me express my sincere gratitude to all the participants in the Meeting for their active involvement; to the guest speakers for their comprehensive and stimulating presentations; and to the moderators, rapporteurs and interpreters, whose contributions were invaluable in conducting the Meeting. I would like to extend my appreciation to the FSC Support Section, especially to Ms. Maria Brandstetter, for their tremendous efforts in organizing this important event.

Before I close the Meeting, let me call to your attention that, as a continuation, we will have the special session on SALW tomorrow. This session will be devoted to expert-level discussion on the topics of stockpile management, surplus reduction and destruction of small arms and light weapons. The participants will examine the entire project cycle, including the needs assessment of the host country, and the planning and execution of a project. Particular attention will be paid to the role of donors.

SURVEY OF SUGGESTIONS

Conformity/Transparency

Annual information exchange on SALW transfers

- Share best practices among States in compiling data on SALW exported/imported during the previous calendar year in order to improve the matching rate in the information reported by participating States (Reference: FSC.DEL/40/12);
- Encourage States to discuss bilaterally transfers and the mechanisms by which they gather information on SALW exported/imported during the previous calendar year before submitting their responses to the OSCE (Reference: FSC.DEL/40/12);
- Establish a working group in the FSC to discuss types of transfers that should be included in the information exchange on SALW exported/imported during the previous calendar year (Reference: FSC.DEL/40/12);
- Improve clarity on the sources used and coverage of submissions in compiling information exchange on SALW exported/imported during the previous calendar year (e.g. export licenses, production reports, customs data, etc.) (Reference: FSC.DEL/40/12);
- Harmonize the templates used for the submission of data to the UN Register on Conventional Arms and OSCE reporting on SALW exported/imported during the previous calendar year to reduce the reporting burden on States and increase the number of matches in the national submissions (Reference: FSC.DEL/40/12);
- Consider improving the definitions of categories of SALW types in order to improve reporting on SALW exported/imported during the previous calendar year.

One-off information exchange on SALW

- Extend information exchange to other normative issues, such as enforcement of national legislation on brokering controls;
- Optimize the framework for the overview of the implementation of OSCE commitments in the field of SALW.

Public information

- Improve public information on the OSCE work on SALW. Particularly, enable easier access to information exchange and reporting, by making all relevant FSC decisions on SALW accessible on the website of the OSCE.

Assessment of implementation of agreed commitments

- Develop concrete benchmarks to make it possible to measure implementation of the agreed commitments on SALW, the achievements and the remaining loopholes in

setting up an effective SALW control system (References: SEC.GAL/119/12 and FSC.DEL/62/12);

- Strengthen practical linkages between SALW and other domains of the OSCE work, such as the conflict cycle and transnational threats (References: SEC.GAL/119/12 and FSC.DEL/62/12).

Export and brokering controls

Trafficking by air

- Reinforce the OSCE early warning function by making use of Eurocontrol's flight data in the OSCE area and the related risk-analysis software designed by SIPRI (Reference: FSC.DEL/41/12).

End-user verification

- Reinforce end-user verification procedures relating to the exporting of SALW;
- Develop international mechanisms for the verification of end-user certificates to combat diversion of SALW.

Re-export

- Share best practices on re-export control in respect of SALW; develop a best practices guide on the topic within the OSCE framework;
- SALW re-export should be governed by a legal framework agreed in a multilateral setting;
- Strengthen post-export verification by carrying out longer-term end-user risk assessment, since often little information on the end recipient is available and onward diversion represents one of the main risks for the proliferation of SALW.

Export criteria

- Update the export criteria listed in the OSCE Document on SALW based on the Wassenaar Arrangement's Updated Elements for Objective Analysis and Advice Concerning Potentially Destabilising Accumulations of Conventional Weapons;
- Broaden the assessment of the receiving State's suitability by conducting a more thoroughgoing analysis of regional stability to further enhance export controls.

Other

- Take action on weapons that are produced in third countries without manufacture licenses of the original exporter;

- Develop measures to minimize the risk of SALW being diverted following receipt by legitimate private security-service providers (Reference: FSC.DEL/42/12/Rev.1);
- Complement existing OSCE norms on trafficking by air with standards to prevent trafficking by sea;
- Use Interpol's I 24-7 tracing system for exchanging end-user certificates issued, in order to facilitate the authentication process.

Stockpile management and security

- OSCE participating States and Partners for Co-operation are invited to nominate experts to the UN SaferGuard roster of experts;
- Participating States are also invited to support the UN global trust fund for ammunition stockpile management to mitigate the risks of explosion and diversion around the world.

Marking and tracing

- Develop harmonized regional marking requirements, including the elements that should be included in a marking as well as the parts and the weapon parts that should be marked;
- Extend support to Interpol's I 24-7 tracing system for police who investigate firearms-related crime to ensure its wide access and use (Reference: FSC.DEL/42/12/Rev.1);
- Use Interpol's iArms system for identifying and tracing SALW diverted from legal trade (Reference: FSC.DEL/42/12/Rev.1).

OSCE Plan of Action

- Develop concrete tools and objectives in the framework of the Plan of Action with a view to strengthening the gender aspect in SALW control, *inter alia*, by increasing the representation of women at all decision-making levels in security sector institutions dealing with SALW-related issues (Reference: FSC.DEL/62/12);
- Further develop and review best practices guides on SALW in close co-ordination with other international organizations, including the UN, working in the field of SALW (Reference: FSC.DEL/48/12);
- Link OSCE SALW initiatives to other aspects of the OSCE work, such as security-sector reform;

- Review the Plan of Action to include updating of norms to make them coherent with those adopted at the global level (i.e., the definition on brokering, marking and tracing, and record-keeping);
- Make SALW information exchanges public in order to contribute to transparency on the issue;
- Make use of international norms and standards on SALW when reviewing OSCE best practices, on brokering, export control and end-user certification.

OSCE contributions to the UN Process

- Harmonize OSCE definitions on SALW with the definitions adopted at the United Nations;
- Examine how the OSCE could further reinforce the UN Programme of Action, which remains the main political and legal framework for international action in the field of SALW (Reference: FSC.DEL/62/12);
- Align the planning of meetings at the regional level with that of meetings at the global level, to make the meeting cycles coincide;
- Consider a targeted intervention under the agenda item “regional implementation” during the upcoming UN Review Conference on the UN Programme of Action on SALW;
- Offer pre-ratification support to participating States that have not yet ratified the UNODC Firearms Protocol;
- OSCE participating States and Partners for Co-operation are invited to nominate experts to the UN SaferGuard roster of experts;
- Participating States are also invited to support the UN global trust fund for ammunition stockpile management to mitigate the risks of explosion and diversion around the world.

Other

- Elaborate measures to enhance the role of women in SALW-related issues by, *inter alia*, increasing the representation of women at all decision-making levels in the security sector dealing with SALW-related issues;
- Broaden the focus from military security to human security when applying gender aspects of SALW (Reference: FSC.DEL/62/12);
- Improve co-ordination between different actors, including international organizations involved in SALW, and improve the flow of information among them.

**OSCE EXPERT LEVEL SESSION ON SMALL ARMS AND
LIGHT WEAPONS STOCKPILE MANAGEMENT, SURPLUS
REDUCTION AND DESTRUCTION**



**Organization for Security and Co-operation in Europe
Forum for Security Co-operation**

FSC.DEC/20/11
19 December 2011

Original: ENGLISH

669th Plenary Meeting

FSC Journal No. 675, Agenda item 2

**DECISION No. 20/11
EXPERTS LEVEL SESSION ON SMALL ARMS AND LIGHT
WEAPONS STOCKPILE MANAGEMENT, SURPLUS REDUCTION
AND DESTRUCTION**

The Forum for Security Co-operation (FSC),

Reaffirming their commitment to the full implementation of the OSCE Document on Small Arms and Light Weapons (SALW) (FSC.DOC/1/00, 24 November 2000) and its supplementary decisions,

Recalling Ministerial Council Decision No. 15/09 tasking the Forum for Security Co-operation (FSC) to develop a plan of action on SALW, taking into consideration suggestions made at the OSCE Meeting to Review the OSCE Document on SALW and Its Supplementary Decisions, by May 2010,

Determined to fully implement the OSCE Plan of Action on Small Arms and Light Weapons (FSC.DEC/2/10) in an effort to enhance further controls to effectively counter the uncontrolled spread and destabilizing accumulation of illicit small arms and light weapons,

Mindful of the OSCE's important contribution to the full implementation of the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (December 2001) and the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit SALW (2005),

Acknowledging the negative impact that armed conflict has on women and children, and in support of UNSCR 1325 (2000) "Women, Peace and Security" and UNSCR 1674 (2006) on "the protection of civilians in armed conflict," and consistent with both Ministerial Council Decision No. 14/04 on the 2004 OSCE Action Plan for the Promotion of Gender Equality and Ministerial Council Decision No. 14/05 on women in conflict prevention, crisis management and post-conflict rehabilitation,

Decides to:

- Conduct a special session of the FSC devoted to an expert-level discussion and training session on the topics of stockpile management, surplus reduction and destruction of small arms and light weapons;

- To hold the meeting of the FSC devoted to this topic on 24 May 2012;
- Pursue the following agenda for the expert-level discussion and training session.

AGENDA

Thursday, 24 May 2012

Morning session

9 a.m.–1 p.m.

Introduction (30 min): CPC

- Importance of donor programmes
- Rationale of conducting an Expert-Level Best Practices session
- How the training supports the SALW Plan of Action

Initiating a programme (60 min): CPC and host nation commentary

- Creating an actionable request from a host government
- Evaluating a request – needs, capabilities, expectations
- Funding decision
- Positive examples of requests for support – Bosnia and Herzegovina, Serbia

Conducting an effective assessment (60 min): United States of America and Kyrgyzstan

- Kyrgyzstan case study
- Country/assessment visit reports
- Lessons learned (short, mid, long range implementation)

Virtual tour (30 min): United States of America

- Risk assessment and prioritization/planning exercise
- Cost-benefit analysis to maximize assistance funds

Afternoon Session

3–6 p.m.

Planning a project (45 min): Austria, Sweden, Switzerland

- Project plan, MOU, objective, milestones
- Co-ordination
- Host nation performance and local ownership
- Exit strategies

Executing a project (60 min): Germany, United States of America

- The 2nd order effect of training – capacity building
- Co-ordination
- Demilitarization versus destruction
- Managing expectations

Donor roundtable (30 min): United States of America

- Positive experiences with SALW country visits
- Lessons learned

**ANNOTATED AGENDA OF
THE OSCE EXPERT LEVEL SESSION ON
SMALL ARMS AND LIGHT WEAPONS STOCKPILE MANAGEMENT,
SURPLUS REDUCTION AND DESTRUCTION**

Vienna, 24 May 2012

Morning session

10 a.m.–1 p.m.

Introduction (30 min): CPC

- Importance of donor programmes
- Rationale of conducting an Expert-Level Best Practices session
- How the training supports the SALW Plan of Action

Mr. M. Geertsen, Senior FSC Support Officer

Initiating a programme (60 min): CPC and host nation commentary

- Creating an actionable request from a host government
- Evaluating a request – needs, capabilities, expectations
- Funding decision
- Positive examples of requests for support – Bosnia and Herzegovina, Serbia

Mr. A. Martyniuk, CPC FSC Support Section

Conducting an effective assessment (60 min): United States of America and Kyrgyzstan

- Kyrgyzstan case study
- Country/assessment visit reports
- Lessons learned (short-, mid-, long-range implementation)

Lt. Col. S. Peterson, United States of America, Defense Threat Reduction Agency

Col. M. Sultanbekov, Kyrgyzstan

Moderator: Mr. A. Dogan, Croatia

Rapporteur: Lt. Col. M. Shiaelos, Cyprus

Afternoon Session

3–6 p.m.

Virtual tour (30 min): United States of America

- Risk assessment and prioritization/planning exercise
- Cost-benefit analysis to maximize assistance funds

Lt. Col. S. Peterson, United States of America, Defense Threat Reduction Agency

Planning a project (45 min): Austria, Sweden, Switzerland

- Project plan, MOU, objective, milestones
- Co-ordination
- Host nation performance and local ownership
- Exit strategies

Col. P. Chaudhuri, Switzerland

Col. R. Kraus, Austria

Mr. E. Lindmark, Sweden

Special Officer (Captain) V. Choffat, Switzerland (EUFOR/MTT)

Executing a project (60 min): Germany, United States of America

- The 2nd order effect of training – capacity-building
- Co-ordination
- Demilitarization versus destruction
- Managing expectations

Lt. Col. S. Gundlach, Germany

Mr. R. Robideau, United States of America

Donor roundtable (30 min): United States of America

- Positive experiences with SALW country visits
- Lessons learned

Mr. L. Schultz, United States of America, Defense Threat Reduction Agency

Moderator: Ms. B. Gare, United Kingdom

Rapporteur: Ms. N. Pluta, United States of America

REPORTS OF THE WORKING SESSION RAPORTEURS

MORNING SESSION

Thursday, 24 May 2012

Report of the Working Session Rapporteur

Introduction: CPC; Initiating a programme: CPC and host nation commentary; Conducting an effective assessment: United States of America and Kyrgyzstan

The morning working session had been provided with a food-for-thought paper circulated on 21 May 2012. It was opened by the moderator, Mr. Andrej Dogan, Croatia.

This session focused on the following main themes.

1. Introduction: CPC

Mr. Mathew Geertsen, OSCE Conflict Prevention Centre, noted the importance of the assistance provided by the OSCE to participating States in the area of stockpile management of SALW and conventional ammunition, as well as handling of their surpluses, having in mind the political changes, reductions in military forces and the cuts in defence budgets that had taken place. The FSC had a mechanism under which participating States could request assistance in collecting and destroying small arms and ammunition, and improving stockpile management and security. The OSCE projects were mainly funded from one source: extrabudgetary contributions. The success of the implementation of projects was based on the voluntary contributions of participating States. In the absence of predictable multi-year funding strategies for the SALW and SCA projects by participating States, effective fundraising remained a core challenge. In that sense, a more focused and multi-year donor programme would be beneficial and instrumental in better planning and implementing the respective projects.

Mr. Larry Schultz, representative of the Multinational Small Arms and Ammunition Group, United States of America, introduced the speakers of the session by announcing that these speakers were coordinated through the Multi-national Small Arms and Ammunition Group (MSAG). He noted how this group evolved from the "OSCE Friends of the SALW" and has continued to standardize its instruction and assist many countries with physical security and stockpile management issues. The group uses the OSCE and UN Best Practice Guides as the doctrine they are governed by. He said that the MSAG has provided assistance in Europe, Asia, Africa, South America, Central America and the Caribbean.

2. Initiating a Programme: CPC and host nation commentary

Mr. Anton Martyniuk, OSCE Conflict Prevention Centre, said that compliance with OSCE standards and best practices in respect of the management and security of SALW and stockpiles of conventional ammunition was much less costly than dealing with the consequences of a potential storage site's explosion. Thus, preventive measures were of the highest importance. Since 1998, out of 347 accidents recorded by SIPRI in 80 countries, 116

had occurred in 49 OSCE participating States. To successfully deliver assistance designed to avoid such accidents, close co-ordination among the OSCE, the NATO Maintenance and Supply Agency, the EU and UNDP was a must, while joint project activities brought further benefits and were highly desirable. Projects in Albania and Tajikistan were successful examples. Further consideration should also be given to the integration of the newly established assistance framework under the UN International Ammunition Technical Guidelines into the realm of assistance activities in the OSCE area.

The assistance most wanted from the OSCE related to disposal, stockpile management and security, clean-up of explosive remnants of war (ERW), and training programmes. The assistance provided was financial or technical or involved the provision of experts (latest example: Cyprus). He also explained the normative base of OSCE assistance and mentioned the countries that had applied for assistance. He cited statistics concerning the above-mentioned assistance since 2003. (40 requests submitted by 16 participating States, with 31 relating to CA and nine to SALW).

Project steps and the proper justification of assistance were presented in the context of the case study of Tajikistan and the stockpiles of weapons and ammunition in Bosnia and Herzegovina. He described ammunition condition-coding concerning the risk of unplanned explosion and the priority for disposal (more than 20 years old: high; more than 15 years old: moderate; and less than 15 years old: low), and he showed cases of high-risk poor ammunition storage conditions and unsafe handling and transportation practices. He further mentioned the key principles of physical security of stockpiles and the involvement of host countries with regard to crucial factors such as a realistic request for assistance, transparency and openness and political will at all levels.

In conclusion, the OSCE, with 10 years of experience, could provide precious assistance to participating States if donor-funding was available. Donor co-ordination was also very important, because it permitted the OSCE to undertake different projects and de-conflict with bilateral assistance programmes.

3. Conducting an effective assessment: United States of America and Kyrgyzstan

Lieutenant Colonel Steve Peterson, United States Defense Threat Reduction Agency, and Colonel Medetbek Sultanbekov, Kyrgyzstan, described the OSCE Assessment Case Study in Kyrgyzstan, March 2011. Their conclusions had been that, for a project to be successful, the requesting participating State must be co-operative and transparent; the people who could answer the technical questions needed to be available; and the right mix of technical expertise must be assembled in the assessment team. Lastly, the speakers appealed for funding so that the project could be completed.

One delegation suggested that a project should cover long-term needs in respect of stockpiles of conventional ammunition (CA), and not be confined to short-term needs. On the other hand, another delegation called attention to the importance of having different types of expertise and practical experience represented in the OSCE team so that requests by participating States could be responded to. Along the same lines, another delegation stressed the necessity of good co-operation by the host country with international partners, and the advisability of keeping experts on CA-SALW in place. Finally, one delegation referred to the important role of capacity-building in the long term and mentioned Bosnia and Herzegovina as an example.

AFTERNOON SESSION

Thursday, 24 May 2012

Report of the Working Session Rapporteur

Planning a project; Executing a project; Donor round table

The afternoon expert-level session focused on the planning and execution of projects between donor and host countries. Captain Vincent Choffat (Switzerland) emphasized the importance of clearly-defined objectives in the project planning process to prevent a duplication of efforts. He noted that integrating with local support and involving the highest level of government were important for maintaining continuity and achieving successful fulfilment of the project goals. Mr. Erik Lindmark, Ministry of Foreign Affairs of Sweden, drew attention to co-ordination as a critical part of project planning, the aim being to establish a common goal and mutual trust so that there was a basic understanding of needs and resources. Colonel Robert Kraus, Ministry of Defence of Austria, described some issues that had made for an unsuccessful experience during assessment visits, including corruption, unqualified personnel, and misguided host country capacity versus actual performance.

One participating State referred to a problem that was distinct from that of the storage sites, namely, a large number of illicit arms left over from the last Balkan war. It proposed a possible sale of those weapons to help out the current economy of the country. Another participating State asked how it could be ensured that a receiving State was in a position to implement all the procedures and recommendations made during the country visits. A donor participating State responded that training programmes by the lead country and the political will of the host country to accept responsibility were helpful in that process. The CPC suggested that the current host- and donor-country questionnaires could be further developed so that host countries and donors would be better informed of capabilities and expectations.

A donor participating State addressed some of the challenges that had arisen during an assessment visit to a host country and suggested a comprehensive approach consisting in transferring knowledge and skills to the host country to build capacity and successfully implement projects. Lieutenant Colonel Stefan Gundlach, Ministry of Defence of Germany, added that success in any project was easier to achieve when the two parties shared both the same expectations and accountability. Additionally, an evaluation and an impact assessment should be an integral part of any project. Next, Mr. Rodney Robideau, Department of State, United States, explained how funding was decided on for the SALW reduction projects and noted that the more transparency and detail there were, the more confidence was built up among the donor States to find funding for more projects. He added that one experience in a donor State had been successful because the United States had had access to all the information it needed for effectiveness and efficiency. Conversely, funding requests had been denied because countries were less open to sharing the necessary information. One participating host country described how it had launched internal procedures to reduce SALW and build a safe storage facility based on successful assessment visits. Another participating State also expressed support, referring to its SALW programmes, which had allowed it to reduce large quantities of stockpile.

The session ended with comments by Mr. Larry Schultz, United States Defense Threat Reduction Agency, regarding the OSCE Best Practices Guide. He expressed the view that the Guide should be used more extensively as an instruction manual. One donor participating State concluded that the recipient's feedback was important and illustrated a common culture for an inclusive approach, as specified in the SALW documents. There was still much concern that States were pulling back from projects or shifting priorities and funds. Another donor State appealed to others to continue contributing to the Multinational Small Arms and Ammunition Group. Another donor participating State applauded those recipients that had asked for continued engagements with SALW programmes in their countries, and emphasized the appeal for work to continue even if the players engaged in SALW management issues changed.