
FSC Chairmanship: Luxembourg**LETTER FROM THE CHAIRPERSON OF THE
FORUM FOR SECURITY CO-OPERATION TO THE MINISTER FOR
FOREIGN AFFAIRS OF UKRAINE, CHAIRPERSON OF THE
TWENTIETH MEETING OF THE MINISTERIAL COUNCIL**

Your Excellency,

As the Chairperson of the Forum for Security Co-operation (FSC), it is a pleasure for me to inform you about the activities of the FSC in 2013.

In preparing this letter, I have consulted this year's FSC Chairmanships, which in addition to Luxembourg, are Liechtenstein and Lithuania. During 2013, the Chairmanships continuously worked in close co-operation with each other to ensure continuity, balance and efficiency in the implementation of their working programme.

The focus of the FSC's work in 2013 continued to be on the core politico-military issues, such as arms control and confidence- and security building measures (CSBMs), small arms and light weapons (SALW), stockpiles of conventional ammunition (SCA), the Code of Conduct on Politico-Military Aspects of Security and the implementation of UN Security Council resolutions (UNSCR) 1540 (2004) and 1325 (2000). Separate progress reports on further implementation of the commitments on those issues are annexed to this letter and contain more detailed information about developments in the FSC during 2012–2013 regarding these aspects of its work.

Initiatives put forward by delegations had by November led to the adoption of five decisions, which were designed to support the implementation of existing commitments. The FSC also contributed within its mandate to the Annual Security Review Conference (ASRC).

Furthermore, the FSC Chairmanships of 2013 provided to the Chairmanship-in-Office an overview of the initial input of the FSC Chairs towards the implementation of Ministerial Council Decision No. 3/12, which reflects the activities of the FSC, notably the Security Dialogues, from January to November 2013 (FSC.DEL/183/13/Rev.1).

The strategic discussion during the Security Dialogue emphasized the FSC's importance as a platform to address and discuss security issues. Specifically, an active dialogue took place on matters related to topical European security issues, including, *inter alia*, arms control and CSBMs, Code of Conduct on Politico-Military Aspects of

Security, Small Arms and Light Weapons and Stockpiles of Conventional Ammunition, United Nations Security Council resolutions 1540 (2004) and 1325 (2000).

The FSC also contributed to the OSCE Annual Security Review Conference, held from 19 and 20 June 2013. The Discussions during the Conference focused on enhancing security dialogue and for reviewing security work undertaken by the OSCE and its participating States, including Astana Commemorative Declaration and recent Ministerial Council Decisions No. 6/11, 7/11, and 8/11. The session also provided an opportunity to exchange views on issues related to arms control and confidence- and security-building measures in the OSCE area, such as the Vienna Document 2011, affording an opportunity to address outstanding challenges and opportunities at a strategic level.

Finally, all three FSC Chairmanships in 2013 continued to work jointly with the Permanent Council (PC) on issues of relevance of both bodies as part of the OSCE's concept of comprehensive and indivisible security. To this end, one joint FSC-PC meeting had been held by October 2013 on Challenges linked to Afghanistan after 2014 to address cross-dimensional issues relevant to the work of both the FSC and the PC.

List of Annexes:

- FSC Chairperson's Progress Report on efforts in the field of arms control agreements and confidence and security-building measures;
- FSC Chairperson's Progress Report on efforts to improve further the implementation of the Code of Conduct on Politico-Military Aspects of Security;
- FSC Chairperson's Progress Report on the continuing implementation of the OSCE Document on Small Arms and Light Weapons;
- FSC Chairperson's Progress Report on the continuing implementation of the OSCE Document on Stockpiles of Conventional Ammunition;
- FSC Chairperson's Progress Report on efforts to support non-proliferation, implementation of UN Security Council resolution 1540 in the OSCE region.



FSC CHAIRPERSON'S PROGRESS REPORT

EFFORTS IN THE FIELD OF ARMS CONTROL AGREEMENTS AND CONFIDENCE- AND SECURITY-BUILDING MEASURES



December 2013, Kyiv

Original: ENGLISH

1. Introduction and objective

This report provides an overview, in chronological order, of the efforts undertaken in the FSC in the field of arms control agreements and confidence- and security-building measures (CSBMs), during the period from November 2012 to November 2013.¹

The report also addresses the information exchanged in the FSC between participating States on the implementation of agreed CSBMs, normative initiatives and developments in the Forum, as well as other related activities carried out in the OSCE. The report reflects the discussions that took place and the decisions adopted in the FSC. Detailed information on implementation can be found in the Conflict Prevention Centre's (CPC) Summary Report on Recent Trends in the Implementation of the Vienna Document 2011 and Other Measures, which was submitted to the 2013 Annual Implementation Assessment Meeting (AIAM)².

2. Efforts by the FSC since the Dublin meeting of the Ministerial Council

In the reporting period, the participating States continued negotiations in the FSC with a view to updating and modernizing the Vienna Document 2011.

In December 2012, a Meeting of the Heads of Verification Centres was held. The Meeting served to exchange experiences and information on technical aspects of implementation. For the first time, the Meeting of Heads of Verification Centres was held during one full day and consisted of three parallel informal working groups.

¹ The deadline for inclusion of factual data was 15 November 2013.

² FSC.GAL/15/13

The working groups discussed: (1) current challenges and shortcomings in the implementation with regard to visits to airbases, visits to military facilities and demonstrations of new types of major weapons and equipment systems; (2) inspections and evaluation visits; and (3) implications of budgetary cuts and declining resources. A great number of suggestions were made which were reflected in the CPC's report to the 2013 AIAM.³

In January 2013, Mongolia presented its national security strategy and defence policy during an FSC Security Dialogue. In February 2013, Ukraine presented its new military doctrine and new national security strategy, and Kazakhstan made a presentation on its armed forces in the modern environment.

In February 2013, a Security Dialogue was held in the FSC on the topics of the Vienna Document 2011, CSBMs and conventional arms control. The participating States recognized a growing interest for these topics and expressed their readiness for a constructive exchange of views and discussions. The Vienna Document 2011 has been widely recognized as an important tool for the participating States, which should be steadily modernized. The ultimate goals of the confidence- and security-building measures anchored in the Vienna Document 2011 are military predictability and transparency.

The Twenty-Third Annual Implementation Assessment Meeting was held in March 2013. The Meeting provided an opportunity for participating States to discuss present and future implementation of agreed CSBMs, and allowed experts to exchange experiences, make suggestions and assess the state of implementation. At the meeting, more than 50 suggestions

³ A report on this meeting is available under FSC.GAL/160/12.

were made on ways of further improving the implementation of agreed CSBMs.⁴

On 13 March 2013, the FSC adopted Vienna Document Plus decision No. 1/13 on changes in the context of the accession of Mongolia to the OSCE. It was specified that the zone of application for CSBMs will not extend to Mongolia's territory, unless the Ministerial Council determines otherwise, and in that regard, Vienna Document commitments that apply only to the zone of application will apply to any Mongolian forces in the zone but not to the territory of Mongolia.

The FSC also adopted Vienna Document Plus decision No. 2/13 to update the reference in the Vienna Document 2011 with regard to the title of the United Nations Instrument for Standardized International Reporting of Military Expenditures.

In March 2013, a presentation was given by Germany on the re-orientation of the *Bundeswehr*.

In July 2013, a Security Dialogue was held on the new French defence strategy.

On 17 July 2013, the FSC adopted Vienna Document Plus decision No. 4/13 on the duration of air base visits. The duration of such a visit was limited to up to 24 hours, which will allow for a better combination of events within a country but also with neighbours.

In 2013, the FSC also held a series of three Security Dialogues on the role conventional arms control and CSBMs can play in contemporary and future European security architecture.⁵ In May 2013, an FSC Security Dialogue was held on arms control in Europe and on the role of arms control in the context of threats and challenges to European security, which

included speakers from academia. In October 2013, a second Security Dialogue was held on "*Security in a new decade; shaping of security and Arms control in Europe*". The third and last Security Dialogue was held on "*Arms control in Europe*" in November 2013.

These Security Dialogues gave the opportunity to academia to present thought-provoking ideas. The discussions demonstrated that the existing arms control regimes are mutually reinforcing. The Vienna Document 2011 on CSBMs complements the existing legally binding regimes, but cannot substitute them. Thus, the negotiations on specific regimes have to be conducted within the respective dedicated forums, while the Security Dialogues offer a platform for exchanges of views.

Furthermore, in March 2013, an informal Security Days Event on conventional arms control in Europe was organized by the OSCE Secretary General in Vienna. The Secretary General reported to the FSC on this event on 14 March.⁶

Last but not least, several participating States made use of FSC meetings, in a spirit of transparency and confidence-building, to provide information about below-threshold military activities or military exercises.

In addition, 22 proposals and draft decisions covering five chapters of the Vienna Document 2011 are under discussion in the FSC. The suggestions pertain to:

- Information on command organization and combat units;
- Information on locations of headquarters of attached subunits at battalion level or the equivalent;

⁴ The survey of suggestions is available under FSC.AIAM/25/13.

⁵ In line with FSC.DEL/20/13

⁶ SEC.GAL/52/13

- Information on military training establishments and military repair or maintenance facilities;
- Information on military transport aviation units;
- Information on land forces and air forces deployed outside the national territory;
- The notification of permanent changes in the command organization;
- Information on naval forces;
- Risk Reduction Mechanism for Consultation and Co-operation as regards activities of military forces giving grounds for supposing preparations for offensive military operations;
- The creation of OSCE inspections for clarification of military activities giving rise to concern;
- Timelines for the demonstrations of major weapon and equipment systems;
- The lowering of thresholds for prior notifications;
- The notification of deployment of multinational rapid-reaction forces;
- The notification of large-scale military transits;
- The goal of inspections;
- Enhancement of the inspection quotas;
- The definition of *force majeure*;
- The scale of the specified area for inspections;
- The beginning of an inspection;
- The duration of inspections and evaluation visits;
- Financial responsibility for inspections and for evaluation visits;
- Enhancement of the size of inspection teams and evaluation visit teams;
- Devices used during inspections and evaluation visits;
- Enhancement of the quotas for evaluation visits;
- The definition of adjoining sea areas.

3. Overview of arms control and CSBM implementation

During the reporting period, the OSCE participating States continued to implement their joint commitments under the Vienna Document 2011. The CPC maintained records of exchanges of information taking place as part of those commitments. These are regularly reflected in the CPC Monthly Reports and CPC Quarterly and Annual Surveys on CSBM Information Exchanged.

The level of CSBM implementation under the Vienna Document 2011 in the OSCE region remained relatively steady during the past five years, measured by the number of submissions under various information exchanges, such as the Annual Exchange of Military Information (AEMI), the Exchange on Defence Planning, or the Global Exchange of Military Information (GEMI).

By 15 November 2013, 55 participating States had provided information under the AEMI in 2013. For defence planning and defence budgets, the numbers are significantly lower. So far, only 47 participating States have provided information on their defence planning in 2013, while 49 have provided information about their defence budgets. In addition, there are four participating States that have not submitted any information on their defence planning or defence budgets during the past five years.

In the reporting period, verification activities were also conducted under Chapter IX of the Vienna Document 2011. By 15 November 2013, 84 inspections and 38 evaluation visits had been conducted. Those numbers are comparable to last year's numbers, which were 81 and 34, respectively, by 16 November 2012.

In 2013, no activity took place under Vienna Document 2011 Chapter III – Risk Reduction.

In 2013, 51 participating States were connected to the OSCE Communications Network; two participating States having military forces remained unconnected. The reliability of the Network remained very high, with the central servers in Vienna available 99.9% of the time. In addition, 2013 saw an increase of participating States availability on the Network as they replaced obsolete equipment. This migration to new technologies alleviated issues that were persistent in a small number of participating States. Over half (36) of the participating States are now available at least 99% of the time, and the overall availability of all the End User Stations (EUS) connected to the Network exceeds 98%.

The custom-designed OSCE software applications used to process notifications (the Integrated Notification Application, INA) and to prepare annual information exchanges (the Automated Data System, ADS) were updated and provided to participating States for their use. During the year, many technological upgrades were approved and performed on the central servers as well as on the Communications Network End User Stations. Bandwidth to the central servers was increased and equipment was upgraded to meet modern standards and the potential for expanded capabilities of the Network. Furthermore, approving and implementing technologies for use on the End User Stations shall bring all aspects of the Network to a contemporary infrastructure and will increase availability, reliability and security.

In 2012, the Communications Network incorporated the use of the Document on Confidence- and Security-Building Measures in the Naval Field in the Black Sea and in 2013 integrated this Document into INA to formalize the Parties' notification processes. The Document joins another regional agreement, the Dayton Peace Accords, as well as the

Treaty on Conventional Armed Forces in Europe, the Open Skies Treaty, and the Vienna Document 2011, using the Communications Network to exchange information in order to enhance transparency amongst participating States.

The OSCE Communications Network remains a highly reliable, safe and secure tool for use by participating States in support of CSBMs and for complying with their mutually agreed commitments.

4. Other activities

In February 2013, the CPC participated by video conference in the Fifth Forum on Confidence- and Security-Building Measures (CSBMs) for the Organization of American States (OAS). On this occasion, the Vienna Document 2011 was presented as one of the most sophisticated CSBMs of the OSCE.

From 25 to 27 June 2013, the Office in Tajikistan conducted an introductory workshop on OSCE CSBMs for eight high-ranking officers from Afghanistan's Ministry of Defence, led by two Major-Generals. The delegation was headed by the Deputy Head of the Department on International Military Co-operation and included the Chief of the Education Department and other officers from Afghanistan's Ministry of Defence.

The activity was carried out in co-operation with experts from the Verification Centre of Tajikistan's Ministry of Defence. During the three-day event, the Afghan participants were familiarized with the OSCE instruments on arms control and confidence- and security-building, as well as provisions of the Vienna Document 2011. The workshop also served as an excellent platform for dialogue and exchange of ideas on future co-operation in the area of arms control and CSBMs. The Tajik Verification Centre

has improved its skills through the many years of OSCE support and is equipped with skilled personnel and conditions to independently undertake activities on the Vienna Document 2011.

In September 2013, RACVIAC – Centre for Security Co-operation, with the participation of the CPC, organized a course entitled “*Confidence (and Security) Building Measures (C(S)BM): Oversight and Building Integrity, expanded*” in Budva, Montenegro, which included presentations on challenges related to the implementation of the Vienna Document 2011.

The OSCE Centre in Bishkek has facilitated a communications linkage between the Ministry of Defence of the Kyrgyz Republic and the OSCE Communication Network for several years. The Ministry of Defence representatives were able to participate in the Vienna Document 2011 annual seminars and training events organized by the OSCE Centre in Astana. The CSBM seminars in Astana served as a platform where participants were able to share information and experience on aspects of the implementation of Vienna Document 2011, including inspection of weapons and equipment systems. In addition, the OSCE Centre in Bishkek supported the participation of a representative of the Kyrgyz Ministry of Defence verification unit in the Annual Implementation Assessment Meeting held in Vienna on 4 and 5 March 2013 and in the biannual Meeting of Heads of Verification Centres in Vienna in December 2012.

In addition, the CPC also provided regular lecturers on the Vienna Document 2011 at courses of the NATO School in Oberammergau in February, September and November 2013. The CPC also lectured at the Annual Exchange of

Military Information Course in June 2013 at the NATO School.

In November 2013, the OSCE Mission to Bosnia and Herzegovina supported a CSBM seminar that was held in Sarajevo. The seminar is part of the continued efforts to increase confidence and security in Bosnia and Herzegovina and within the OSCE region through enhanced openness, transparency and predictability. Bosnia and Herzegovina, with support by the OSCE Mission, utilizes a wide variety of tailored instruments to achieve this aim in the military field. Seminar presentations, discussions on the modernization of the Vienna Document 2011 and the preparation of data for the information exchanges have contributed to advancing skills and the performance of the BiH Armed Forces in the field of arms control and verification regimes, and have helped to further build confidence.

The OSCE Mission to BiH also supported participation of the representative of the Ministry of Foreign Affairs in the 2013 AIAM as a part of efforts that contribute to the general objective of improving compliance with OSCE politico-military commitments in BiH and advancing the information exchanges. The activity supported greater involvement of the officials of the Ministry of Foreign Affairs in achieving competent understanding and implementation of CSBMs and of the Vienna Document 2011 and strengthened their role in the Council of Ministers Co-ordination Team on Implementation of the OSCE/UN Security Commitments.

The Centre in Astana, in co-operation with the Defence Ministry and the Secretariat’s FSC Support Section, from 21 to 24 May 2013, organized a four-day *regional training seminar for military officers on the practical implementation of the Vienna Document 2011*. Nearly 40 military representatives from Belarus, France, Germany, Hungary, Kazakhstan,

Kyrgyzstan, Mongolia and Turkmenistan took part in the seminar to discuss developments in the field of confidence- and security-building measures. The seminar included theoretical exercises and a simulated inspection visit to the 36th Air Assault Brigade near Astana. The participants carried out the evaluation in accordance with the provisions of the Vienna Document 2011 on compliance and verification.

In co-operation with Kazakhstan's Defence Ministry, from 16 to 19 September, the Centre also jointly organized two visits to military bases under the Vienna Document 2011. Throughout the four-day event, some 50 military officers from 29 participating States were able to visit the 610th Air Base located in Karaganda and the 36th Air Assault Brigade located in Astana. This was the first time that officers from Mongolia had taken part in an air base visit in the framework of the Vienna Document 2011. Representatives of the Conference on Interaction and Confidence-Building Measures in Asia were also invited to visit the military installations in Karaganda and Astana. The visit aimed to promote the sharing of information, including details on the number of air sorties and the types of missions conducted, to enhance mutual trust and transparency.

5. Conclusion

Confidence- and security- building measures and arms control are an integral part of comprehensive security. The conventional arms control regimes play an important role for stability in the OSCE region and are key elements for the Trans-Atlantic, European and Eurasian security architecture.

Discussing CSBMs and conventional arms control is also understood as a process, not

only as an end in itself. In that regard, 2013 confirmed that the OSCE represents an appropriate venue for exchange of views and discussions. The Security Dialogues of the FSC and the Security Days gave opportunities to academia to present thought-provoking ideas. The increased exchanges of views in 2013, as well as the growing sharing of information on military activities and policy within the Forum for Security Co-operation, have improved the climate of confidence.

The discussions conducted in 2013 demonstrated that the existing arms control regimes are mutually reinforcing; the Vienna Document 2011 on CSBMs is complementing the existing legally binding regimes, but cannot substitute them. Thus, the negotiations on specific regimes have to be conducted within their respective dedicated fora, while the Security Dialogues of the Forum for Security Co-operation and the Security Days are offering a platform for exchange of views. The participating States recognized a growing interest in these topics and expressed their readiness for constructive exchange of views and structured discussions.

The Vienna Document 2011 has the value of politically binding the 57 participating States of the OSCE. It is recognized as an essential tool of the politico-military dimension in the hands of the participating States and should be continuously modernized. The ultimate goals of the Confidence- and Security Building Measures anchored in the Vienna Document 2011 are military predictability and transparency, which enhance stability within the OSCE region.

The Vienna Document 2011 continues to be a well-balanced instrument with a high level of implementation. It also has significant potential for development, as illustrated by the 22 proposals published and sponsored by a large number of parti-

icipating States. The updating and modernization of the Vienna Document 2011 is an ongoing process; in 2013, the Forum for Security Co-operation adopted three decisions, complementing the ten decisions taken since the start of its modernization.

Throughout 2013, the FSC engaged in active discussions on a great number of proposals, taking into consideration issues concerning both the improvement of current implementation modalities and the development of new CSBMs. Also, the AIAM 2013 afforded an important opportunity to discuss these issues at a strategic level. As strategic issues are taken up, further modernization requires in-depth discussions before comprehensive negotiations are conducted.

The regional and sub-regional dimension of conventional arms control is also an important aspect which has been taken into account. The numerous regional agreements also largely contributed to regional and sub-regional security and stability in 2013.

For example, the active implementation of the Agreement on Sub-Regional Arms Control, which was adopted under the Article IV of Annex 1-B to the Dayton Peace Agreement, has made an immeasurable contribution to confidence and security-building and is considered as a good illustration. The OSCE Communications Network, which represents a CSBM in itself, continues to be a highly reliable tool and has been further expanded to support regional confidence-building.

MC.GAL/2/13
29 November 2013
Annex 2



FSC CHAIRPERSON'S PROGRESS REPORT

EFFORTS TO IMPROVE FURTHER THE IMPLEMENTATION OF THE CODE OF CONDUCT ON POLITICO-MILITARY ASPECTS OF SECURITY



December 2013, Kyiv

Original: ENGLISH

1. Introduction and objective

The OSCE Code of Conduct on Politico-Military Aspects of Security is a key normative document, adopted at the Budapest Summit in December 1994. By adopting this landmark document in security sector governance, the participating States agreed to reform their domestic politico-military affairs and to apply internationally agreed principles of democracy and rule of law to their national security policies and doctrines. The Code of Conduct therefore occupies a fundamental place in the body of normative documents developed within the politico-military dimension of the OSCE and remains unexampled in other international organizations.

This report highlights the progress achieved in respect of efforts to further improve the implementation of the Code of Conduct. The report addresses the information exchange between participating States on the implementation of the Code and efforts undertaken in the Forum for Security Co-operation (FSC) and covers the period from November 2012 to November 2013.⁷

2. Efforts by the FSC

Since the Dublin meeting of the Ministerial Council in December 2012, the FSC has continued to work towards enhanced implementation of the Code.

On 27 February 2013, the FSC held a Security Dialogue on “*Human Rights and Fundamental Freedoms in the Armed Forces - Including Women’s Access to Combat Positions*”, which included a speaker from the OSCE Office for

Democratic Institutions and Human Rights (ODIHR). FSC members were encouraged to analyse current security sector policies and consider lifting any remaining ban on servicewomen’s access to front-line positions, which has a discriminatory effect on their careers. This FSC Security Dialogue served as the launch for a series of ODIHR events in 2013 to discuss human rights and gender with members of the FSC in Vienna. The first event, entitled *Armed Forces and Women’s Access to Combat Positions*, was held on 19 April 2013. The discussion focussed on the details of developing and implementing a policy that grants women full access to all positions and roles in the military, including combat positions. Speakers came from Bosnia and Herzegovina, Canada, Denmark, Germany, Ireland, Moldova, Norway, Serbia, Spain, Turkey and the United States. Approximately 60 participants were present and comments from the floor were supportive and demonstrated interest on the part of the FSC.

In March 2013, a presentation was made on the strengthening of compliance with international humanitarian law in the framework of an FSC Security Dialogue, with a speaker from Switzerland.

On 10 July 2013, the second Annual Discussion on the Implementation of the Code of Conduct was held in Vienna. The meeting was organized pursuant to FSC decision No. 12/11, in which it was decided to “*regularize a focused discussion on implementation of the Code of Conduct on Politico-Military Aspects of Security by devoting an annual special one-day meeting to the Code of Conduct*”. The second Annual Implementation Discussion provided a unique opportunity for experts from delegations and capitals to discuss how to promote and improve the implementation of the Code of Conduct,

⁷ The deadline for inclusion of factual data was 15 November 2013.

including its annual information exchange; to undertake an evaluation of the Code; as well as to examine its application in the context of the existing political and military situation.

During the meeting, a great number of proposals were made on the development and implementation of the Code of Conduct. The suggestions pertained, *inter alia*, to a strengthened outreach of the Code of Conduct, increased co-operation with other international and regional organizations, enlargement of the scope of the annual questionnaire, a qualitative assessment of the yearly information exchange, the development of model answers and the inclusion of the issues of women, peace and security in the annual information exchange.

Several participating States also called for a stronger involvement of OSCE field operations in promoting the Code, for the development of a compilation of practical examples of the democratic control of armed and security forces, and for the development of an overarching institutional framework for OSCE security sector governance and reform (SSG/R) activities. A survey of suggestions was established pursuant to the meeting.⁸

The FSC Co-ordinator for the Code of Conduct held informal consultations which led to the creation of an Informal Group of Friends in July 2013. This Informal Group of Friends serves to exchange views and ideas on how to promote the Code of Conduct and to strengthen its implementation.

On 14 October 2013, the ODIHR organized the second event in the series entitled “*The Role of Ombuds Institutions in Protecting Human Rights of Armed Forces Personnel*”. Key topics discussed

were exercising independent oversight, handling complaints and setting up independent ombuds offices for the armed forces. The keynote address, delivered by H.E. Elisabeth Rehn, Minister of State of Finland, focused on mainstreaming human rights and gender in the security sector. The event brought together speakers from Armenia, Bosnia and Herzegovina, Canada, Finland, Germany, Georgia, the Netherlands, Switzerland, Serbia, and the United Kingdom. The presentations fostered a rich discussion amongst the 60 participants in the event.

On 6 November, the FSC organized a Security Dialogue on human rights of armed forces personnel and the role of ombuds-persons, with the participation of the Director of the ODIHR. The OSCE comprehensive concept of security, and an approach to security centred on the individual were emphasized. It was also noted that the main responsibility to protect the rights of women and men serving in the armed forces lies with the military itself. Key factors that can enable ombuds institutions to effectively protect human rights in the armed forces were discussed.

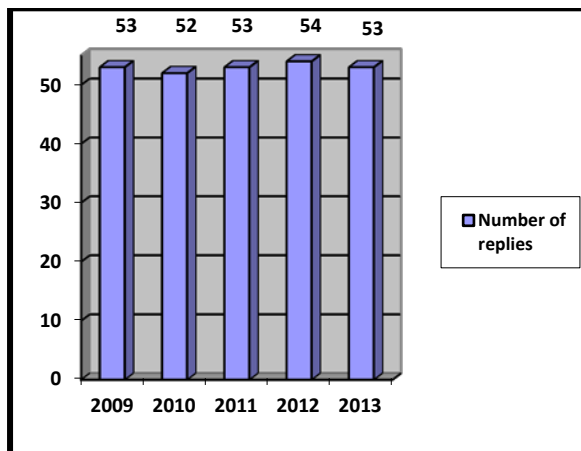
In November 2013, a Security Dialogue took place on private military and security companies (PMSCs). It was pointed out that only three participating States had provided voluntary information on PMSCs in their 2013 annual information exchange.

3. Information exchange

The OSCE participating States have agreed to exchange information annually on the implementation of the Code, in accordance with an agreed questionnaire (FSC.DEC/2/09). The level of commitment to the information exchange has always been high, and the great majority of OSCE participating States provided information about their efforts in

⁸ The survey of suggestions can be found under FSC.GAL/85/13.

implementing the Code of Conduct (see graphs below).



The annual information exchange is a unique mechanism for fostering international transparency with regard to armed forces and their control by constitutionally established authorities. Since 2008, the replies have been published on the OSCE website, where they can be accessed by the public.⁹

A statistical report on the implementation of the Code of Conduct was prepared by the Conflict Prevention Centre (CPC) in July 2013.¹⁰ In accordance with FSC decision No. 12/11, this report was based on the 2013 annual information exchange under the Code of Conduct and was limited to the provision of statistical data related to implementation. Common practices were highlighted in general terms only, and the report did not enter into comparisons of national policies or provide any assessment of implementation.

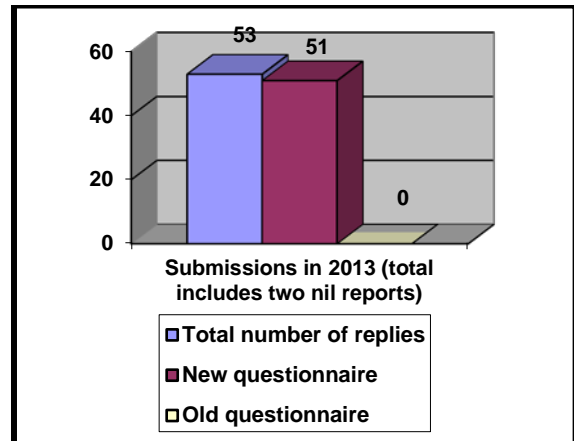
In 2013, by 1 November 2013, 53 participating States had provided information on their implementation activities.

In 2009, the participating States agreed to update the format of the questionnaire. For the first time since then, all the participa-

⁹ Please visit: <http://www.osce.org/fsc/86841>

¹⁰ FSC.GAL/77/13

ting States that submitted replies used the new format.



Several replies included additional voluntary information. In accordance with the interpretative statement appended to FSC.DEC/5/11, 35 participating States provided information on the implementation of UN Security Council resolution 1325 (2000) on women, peace and security (2012: 27 participating States). Furthermore, in accordance with the interpretative statement appended to FSC.DEC/2/09, three participating States included information related to private military and security companies (PMSCs) in their 2013 returns (2012: five participating States).

In 2010, a reference guide on the Code of Conduct Questionnaire has been developed as a voluntary tool to facilitate the annual information exchange. On 10 July 2013, translated versions in all OSCE official languages have been provided by the Secretariat to the participating States.¹¹

4. Awareness-raising and outreach

FSC decision No. 1/08, on awareness-raising and outreach, tasked the OSCE Secretariat with organizing, in cooperation with other international organizations or with participating States,

¹¹ FSC.DEL/142/10

at least one specialized extra-budgetary seminar or workshop a year in order to facilitate better implementation, to promote awareness and to support outreach in respect of the Code of Conduct. The decision also encourages participating States to contribute extra-budgetary funds to make possible such events, and calls upon the FSC Chairperson to engage the OSCE Partners for Co-operation.

In accordance with this decision, from 11 to 13 September 2013, the CPC, in co-operation with the Mediterranean Academy of Diplomatic Studies, organized the sixth Regional Conference for the Mediterranean Region in Malta. The Conference was attended by high-level participants from ministries of foreign affairs, defence or interior of Algeria, Egypt, Jordan, Morocco and Tunisia. The participants also included representatives of the Northern Mediterranean participating States, the OSCE Parliamentary Assembly, the ODIHR, and academia.

The Conference was opened by the Foreign Minister of Malta and focused on the implementation of the Code of Conduct in the region and on the outreach of this key normative document. In particular, the democratic control of armed and security forces, parliamentary oversight, security sector reform, and the respect for international humanitarian law were discussed. Previous regional seminars were held in Kazakhstan (2008), Bosnia and Herzegovina (2009), Belarus (2010), Ukraine (2011) and Latvia (2012). The seminars were funded by Austria, Germany and Switzerland through extra-budgetary contributions.

In 2013, the CPC was also very active in promoting and improving the implementation of the Code of Conduct across the OSCE region.

In February 2013, the CPC participated by video conference in the Fifth Forum on Confidence- and Security-Building Measures (CSBMs) of the Organization of American States (OAS). On this occasion, the Code of Conduct was presented as one of the most advanced CSBMs in the OSCE toolkit.

In March 2013, the CPC helped to organize a meeting of the Contact Group with the Mediterranean Partners for Co-operation, where the Arabic version¹² of the Code of Conduct was presented. This translation was provided as a contribution in kind from Germany and Switzerland, pursuant to the request by the Secretary General of the League of Arab States to the OSCE Secretary General. In May 2013, the CPC presented this Arabic version of the Code of Conduct to the headquarters of the League of Arab States in Cairo.

On 19 July 2013, a joint Partners Contact Group meeting was held which focused on the Code of Conduct and included presentations on security sector reform in the Mediterranean region and Afghanistan as well as the respect for international humanitarian law.

In September 2013, the CPC participated in a training event organized for members of the parliamentary assembly of Kosovo¹³.

During the reporting period, the OSCE field operations were also actively promoting implementation of the Code through awareness-raising and training activities:

The OSCE Office in Yerevan is promoting the implementation of the Code of Conduct as a key activity. The Ministry of

¹² <http://www.osce.org/ar/fsc/99216>

¹³ All references in this text to Kosovo, whether to the territory, institutions or population, should be understood in full compliance with United Nations Security Council Resolution 1244.

Defence over the past two years has become significantly more transparent in dealing with non-combat deaths and displays a genuine political will to improve the situation. In December 2012, a comprehensive action plan for 2013 on the improvement of the human rights situation, strengthening of the educational component on human rights, as well as ensuring of transparency and reduction of corruption in the armed forces, was signed between the Office and the Ministry of Defence. The Office's activities in this area during the reporting period were based on this plan.

The Office in Yerevan strives to enhance democratic control of the armed forces through increased transparency and accountability by working with the Ministry of Defence, civil society and parliament. The human rights situation in the armed forces is closely monitored. With civil society, the Office is working on several projects aimed at assisting the Ministry of Defence in its efforts to improve the human rights situation in the armed forces. These projects relate to provision of legal advice for future conscripts and their relatives on military service issues, delivery of lectures on military psychology for high school students, as well as the elaboration of a new textbook on military sociology.

In 2012, there were parliamentary elections in Armenia and the new Standing Committee on Defence, National Security and Internal Affairs was formed. The Office has established good working relations with this Committee, and the members of parliament fully understand the important role of the Committee in the civilian and democratic control of the overall security sector, and support the reforms in the security sector. The Committee has expressed a strong political will to co-operate with the Office and other international organizations with a

view to strengthening its capacities aimed at boosting security sector reforms.

At the Office's initiative, the Government of Armenia has applied to the Government of Austria to support the organization of a security sector reform (SSR) course for relevant officials in Armenia. The Austrian side kindly extended support and provided the training in June 2013, with the backing of the CPC. This was very important, since it creates a sound background for elaborating an SSR strategy. It is also worth mentioning that, due to the Office's direct assistance, the Committee has signed a Memorandum of Understanding with the Geneva Centre for the Democratic Control of Armed Forces (DCAF) for the period 2013-2015 and several parliamentary hearings and international seminars related to effective oversight of the armed forces in Armenia have been jointly organized by DCAF, the Office and the Committee.

The OSCE Mission to Bosnia and Herzegovina remained very active in promoting the Code of Conduct. In November 2012, the fifth Politico-Military Review Conference took place in Bosnia and Herzegovina to address the implementation of politico-military commitments under the OSCE and the United Nations. The event afforded an opportunity to recognize achievements and current challenges and to identify solutions for an overall improvement in implementation.

The Council of Ministers of Bosnia and Herzegovina adopted a decision establishing the Co-ordination Team for the Implementation of the OSCE/UN Security Commitments of Bosnia and Herzegovina in February 2013. The Team will coordinate the activities for preparing information exchanges, and will analyse and monitor the implementation of the politico-military commitments.

In reference to the implementation at the regional level, it has been agreed that Bosnia and Herzegovina should be an initiator of the regional gathering of the parliamentary defence and security committees, with the assistance of the OSCE Mission to Bosnia and Herzegovina and the CPC. The Regional Seminar on the OSCE Code of Conduct on Politico-Military Aspects of Security for Parliamentarians was held from 23 to 25 October 2013, in Konjic, Bosnia and Herzegovina. The Seminar brought together the chairpersons of defence committees of the region and focused on current developments in the realm of parliamentary oversight and democratic control of armed and security forces. The event constituted an excellent opportunity to identify synergies, challenges and opportunities, as well as to exchange information on best practices among parliamentarians of the south-eastern European region on the implementation of the Code of Conduct with regard to democratic control. This extra-budgetary project was supported by Germany and Switzerland.

Pursuant to the conclusions of the fifth Review Conference, the Ministry of Defence initiated the development of a concept for the improvement of the integration of the armed forces of Bosnia and Herzegovina into civil society. The concept focusses on adequate democratic control of the armed forces, respect of the human rights of armed forces personnel and adequate presentation of the armed forces and their activities in the public. The draft concept is to be adopted in 2014.

As a follow-up to the Review Conference, training on the Code of Conduct for lecturers in police education was also held in April 2013. The event provided a good forum for presenting the Code of Conduct to the relevant representatives of the police education system. The importance of the Code's provisions and principles for the

creation of an appropriate, democratic and accountable security sector to which the police forces are integral was emphasized.

The OSCE Parliamentary Assembly has continuously called for more progress on the Code of Conduct, confirming its support for full implementation in several resolutions over the past years. This year, the OSCE PA was active in engaging parliamentarians in discussions on the Code of Conduct throughout the OSCE region. In September 2013, Makis Voridis, Chair of the OSCE PA's Committee on Political Affairs and Security, addressed the Regional Conference for the Mediterranean Region held in Malta. He emphasized the OSCE PA's commitment to parliamentary oversight of military affairs.

In October 2013, Roberto Battelli, Special Representative on South-East Europe, represented the OSCE PA at the Regional Seminar for Parliamentarians, held in Bosnia and Herzegovina. At the opening session, he gave a speech outlining the position of the OSCE PA on the Code of Conduct, stressing the support given by the OSCE PA in the early stages of drafting of the Code of Conduct. He further discussed the congruence of the calls by the OSCE PA for democratic oversight of military affairs and the emphasis in the Code of Conduct on democratization and transparency in the armed forces.

5. Conclusions

In 2013, it was once more proven that the Code of Conduct has a very important role to play as a set of principles and guidelines on inter-State and intra-State behaviour that are of critical relevance for the governance of the security sector.

A highlight of the year 2013 was the translation of the Code of Conduct into Arabic, provided by Germany and

Switzerland, as well as the Regional Conference for the Mediterranean Region held in Malta from 11 to 13 September. This high-level Conference brought together the OSCE Mediterranean Partners for Co-operation (Algeria, Egypt, Jordan, Morocco and Tunisia) and the OSCE participating States of the Northern Mediterranean region. The Conference was hosted by the Government of Malta and opened by its Foreign Minister, Dr. George Vella.

The Conference was carried out with the support of Austria, Germany and Switzerland, in co-operation with the Maltese Diplomatic Academy, the Geneva Centre for Security Policy (GCSP), DCAF and the OSCE PA. The Conference participants generally agreed that the Code of Conduct remains a relevant and valuable document in the current security and political environment.

The broad and high-level representation of practically all the Mediterranean countries at the Conference in itself testifies to the continued relevance of the Code of Conduct in setting guidelines for civil-military relations in and beyond the OSCE area. The League of Arab States also displayed a genuine interest in the Code of Conduct at the Conference and expressed its gratitude for the presentation of the translated version at its headquarters in Cairo earlier in May.

The second Annual Implementation Discussion on the Code of Conduct, held in July 2013 in Vienna, provided an opportunity for the participating States and experts to exchange experiences and to share their views on the implementation of the Code of Conduct in the current political and military situation, as mandated by the Ministerial Council in Vilnius and FSC decision No. 12/11. The second Annual Implementation Discussion, on 10 July 2013, was generally considered a success, and a great

number of proposals were made for improving the implementation and outreach of the Code of Conduct. For the next meeting, in 2014, it was also proposed that more time should be planned for discussions and that the agenda could reflect more closely the structure and content of the Code of Conduct.

One day later, at the first meeting of the Informal Group of Friends, it was recommended that increasing use should be made of FSC working group A to provide information about and to discuss issues relating to the Code of Conduct. The participants welcomed the presentation of the Swiss food-for-thought paper on development of a compilation of practical examples for the democratic control of armed and security forces. It was suggested that the document should be non-prescriptive and serve as a helpful reference for participating States. More meetings of the Informal Group of Friends, if possible, one every three months, are foreseen in 2014.

The efforts to further improve the implementation of the Code of Conduct were also supported by initiatives of the FSC Chairmanships to promote the Code of Conduct in the framework of the FSC Security Dialogues in 2013. In particular the series of discussions on human rights issues which the ODIHR organized during the year were very successful. These events contributed significantly to the discussions in the FSC. Further discussions in 2014 on topical issues related to human rights in the context of the Code of Conduct will be very much welcomed.

Regarding the information exchange in 2013, a continuing very high level of commitment could be observed in terms of the number as well as the improved quality of replies. Again, a great number of participating States voluntarily provided additional information on women, peace

and security, and a few States provided information on private and military security companies. This certainly enriched the 2013 annual information exchange in terms of quality. Several participating States stated that an agreement should be reached among all the OSCE participating States to include information on women, peace and security as an integral part of the Code of Conduct Questionnaire.

implementation in a balanced, structured and focused manner.

In the spring of 2014, an OSCE-wide workshop in Belgrade is foreseen. This workshop will make it possible to increase the internal coherence of the OSCE, its field operations, institutions and Secretariat in supporting and promoting the Code of Conduct and its effective implementation in the OSCE area.

This workshop will be the first of its kind. Serbia, as the incoming holder of the OSCE Chairmanship in 2015, is optimally placed to host this event and to share its priorities with regard to the Code of Conduct.

The translation of the Code of Conduct into Arabic, and a possible event in 2014 in a country of the Southern Mediterranean Partners could contribute further to the positive momentum in the Arabic world.

Also, presentations on best practices and country-specific implementation experiences would constitute promising avenues

In this respect, a peer-to-peer review among regional OSCE countries could serve as an excellent opportunity to increase transparency and to contribute to confidence-building.

Last but not least, the third Annual Implementation Discussion, in July 2014, will serve as an important opportunity to discuss the Code of Conduct in the light of its twentieth anniversary and to address its



FSC CHAIRPERSON'S PROGRESS REPORT

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



December 2013, Kyiv

Original: ENGLISH

Executive Summary

This progress report provides comprehensive factual information on the status of implementation of the OSCE Document on Small Arms and Light Weapons (SALW) for the period from November 2012 to November 2013.

During the reporting period, the Forum for Security Co-operation conducted its activities aimed at combating the proliferation of illicit SALW and preventing destabilizing accumulations. Although the Forum remained focused on the full implementation of agreed SALW-related commitments, including through the means of the OSCE Plan of Action on SALW, it also conducted a review of its commitments in the light of other global instruments, such as the UN Programme of Action on SALW, the International Tracing Instrument, the UN Firearms Protocol and the Arms Trade Treaty (ATT), and had preliminary discussions about whether any updating of OSCE documents or commitments would be necessary.

In this period, the FSC held four Security Dialogues devoted to SALW, and other activities were conducted in other formats and venues. These included expert-level training on enforcement of brokering controls, commodity identification training in military and dual-use goods and an inaugural conference on tracing of illicit SALW that was jointly organized with UNODA, UNODC and INTERPOL. In addition, the Conflict Prevention Centre (CPC) was represented at the Group of Government Experts meeting in Geneva in April 2013, during which the OSCE best practices were presented. Alongside these formal steps, the Informal Group of Friends on SALW resumed its work and is capitalizing on the impetus generated by the aforementioned activities. Among other things, this has resulted in a number of participating States taking the initiative on proposals that are being actively discussed.

The level of implementation of annual SALW information exchanges remained stable during 2013. Following the issuing of an updated template for reporting one-off information on SALW (FSC.GAL/38/11), by 15 November 2013, 28 participating States had provided information in the new format, which facilitates comparability and comprehensiveness with respect to the information provided.

The practical assistance given to OSCE participating States through the implementation of SALW projects remains a key component in the work undertaken to improve security and stability in the OSCE area. The present report notes the continuation of project activities in Belarus and the Kyrgyz Republic, the completion of implementation of the National SALW Strategy in Montenegro and the request for assistance in the destruction of SALW in Albania. The total amount of pledges for OSCE SALW projects during 2012–2013 amounted to EUR 870,000. The extra budgetary contributions and fundraising remain a core issue.

Finally, in line with its mandate, the OSCE Secretariat has further enhanced its co-operation with other international organizations dealing with SALW-related issues. In addition to the formal co-operation agreements already in place with the United Nations Office for Disarmament Affairs (UNODA), the OSCE Secretariat has updated a Joint Action Plan with the United Nations Office on Drugs and Crime (UNODC) and the Memorandum of Understanding with the United Nations Development Programme (UNDP), which will further promote effective planning and efficient use of resources.

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1. Introduction

The OSCE Document on SALW was adopted on 24 November 2000 and reissued on 20 June 2012 (FSC.DOC/1/00/Rev.1). It sets forth norms, principles and measures to address the threat posed to the international community by the excessive and destabilizing accumulation and uncontrolled spread of SALW. This was acknowledged by the OSCE Strategy to Address Threats to Security and Stability in the Twenty-First Century, which regards the OSCE Document on SALW as an important tool for combating threats caused by terrorism and organized crime, and underlines the importance of further strengthening its implementation.

In its activities, the OSCE aims to complement action at the global level. The OSCE Document on SALW also makes a substantial contribution to the implementation of the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in SALW in All Its Aspects (UN Programme of Action on SALW).

2. Objectives

The present report is intended to provide an overview of the implementation of OSCE commitments on SALW; it also describes the progress made in the implementation of OSCE-related SALW assistance projects. It is primarily designed to serve as a basis for determining the status of implementation of the OSCE commitments on SALW. The report

covers the period from November 2012 until November 2013.¹⁴

3. Inaugural Conference on Tracing Illicit SALW in the OSCE Area

The Inaugural Conference on Tracing Illicit Arms and Light Weapons (SALW) in the OSCE Area was organized and conducted by the OSCE Secretariat jointly with INTERPOL, the United Nations Office on Drugs and Crime (UNODC) and the United Nations Office for Disarmament Affairs (UNODA) on 23 and 24 May 2013 in Vienna, Austria.

The event brought together over 150 representatives from law enforcement agencies responsible for tracing illicit SALW internationally, investigators, prosecutors and experts from OSCE participating States and Partners for Co-operation, as well as representatives from other intergovernmental organizations, international think tanks, non-governmental organizations and academia to discuss the importance of the tracing of illicit SALW and associated challenges.

The event was extremely successful and provided an opportunity for discussion on the following issues:

- The international legal framework, key definitions, as well as the elements of the 'life cycle' of SALW and its relevance to international tracing activities;
- Lessons learned from international tracing activities, including in relation to firearm identification, record-keeping, data access,

¹⁴ The deadline for inclusion of factual data was 15 November 2013.

transnational communication and timely responses;

- Legislative and investigative approaches to make it possible for investigations and prosecutions to use tracing data;
- The framework for international co-operation and development of a number of initiatives and tools at the international/regional levels to facilitate tracing of SALW/firearms (such as iARMS).

4. Mapping study on SALW commitments

In September 2013, a CPC consultant produced a mapping study of OSCE commitments on SALW, which was circulated under reference number FSC.GAL/90/13. The study aims to facilitate discussion among the participating States on the coherence of the OSCE regulatory framework on SALW with other international agreements and commitments, with a view to demonstrating the relative effectiveness of the Organization's SALW commitments and providing food for thought on future work.

The idea of a mapping study on SALW commitments in the OSCE area was put forward during a meeting of the Informal Group of Friends on SALW (IGOF) in February 2013, and is in line with Ministerial Council Decision 6/11, which tasked the FSC to “Ensure coherence and complementarity with the UN framework on SALW”¹⁵. The study was a step in the process to improve the implementation of the OSCE Document on SALW¹⁶, as within

¹⁵ OSCE Ministerial Council Decision 6/11.

¹⁶ OSCE FSC, 2000: *OSCE Document on SALW*, adopted on 24-11-2000, FSC.JOUR/314, and reissued pursuant to

it, the participating States agree “to work on the further development of the document in the light of its implementation and of the work of the United Nations and of other international organizations and institutions” (Section IV, para. 3).

In particular, the report:

- Took stock of international agreements/commitments on SALW applicable in the OSCE area;
- Identified areas in which the OSCE regulatory framework is not in conformity with such international agreements and/or commitments;
- Presented issues in which the OSCE regulatory framework is more advanced than other international agreements and/or commitments;
- Made operative suggestions to the participating States on how they could, if seen relevant and desirable, further develop the OSCE's work on normative SALW control.

The report focused on several specific areas of SALW, including manufacture, marking, record-keeping and tracing, transfer controls, stockpile management, surpluses and destruction, and cross-cutting issues such as gender, law-enforcement co-operation and transparency, where it provided for a comparative analysis and drew conclusions about possible follow-up.

The summary of the suggestions put forward in the study is attached as Attachment A. The mapping study was presented by the CPC consultant during the Security Dialogue on 25 September 2013.

FSC Decision No. 3/12 on 20 June 2012, see FSC.JOUR/692.

5. Normative aspects

The OSCE Document on SALW establishes the OSCE normative base for the development and implementation of national legislation, rules and procedures.

The review of these norms and the development of supplementary and/or complementary decisions by the FSC constitute a core issue for the FSC's regular work, which in 2013 centred on the following issue.

5.1 Best Practice Guide on Annual Information Exchange on SALW Exports to/Imports from other participating States during the previous calendar year

The FSC is currently considering a food-for-thought paper on the development of a best practice guide on annual information on SALW exports to/imports from other participating States during the previous calendar year.

The proposed best practice guide would provide guidance to the experts engaged in compiling the information exchanged and would aim to overcome reporting fatigue, to increase the number of participating States regularly reporting on SALW exports/imports, and to improve the clarity of the data reported and its utility, thus enhancing the CSBM value of the information exchange.

The proposal stems from the analysis of States' submissions on imports/exports of SALW in reference to the OSCE Document, 2009-2011, made by the Stockholm International Peace Research Institute.

5.2 Implementation Assessment Meeting on SALW and SCA

The FSC is also discussing a food-for-thought paper on the introduction of regular and periodic review meetings on the OSCE Document on Small Arms and Light Weapons, the OSCE Document on Stockpiles of Conventional Ammunition and the Principles of Conventional Arms Transfer. Implementation could be assessed, in part based upon the annual exchange of information which is due at the end of June each year.

A specific meeting could be devoted to these topics, bringing SALW and SCA experts together and allowing not only an implementation assessment but also, a review of provisions and a discussion of updates. Part of these meetings could be devoted to assistance and project implementation, where detailed updates on existing projects and their challenges would be presented, together with discussions on issues associated with implementation and co-operation with other international organizations or NGOs.

5.3 Food for Thought Paper: SALW Export Control System - a Review of the OSCE Commitments

Finally, the FSC is also considering a food-for-thought paper on the topic: "SALW export control system – a review of the OSCE commitments". The purpose of the paper is to provide the participating States with some proposals stemming from different internationally recognized references in order to promote future discussion.

5.4 *Informal Group of Friends on SALW*

The work of the Informal Group of Friends on SALW (IGOF) resumed in January 2013 with the appointment of Lt. Col. Simon Macrory-Tinning of the UK as its Chairperson.

Under the leadership of the Chairperson of the IGOF, the Group met seven times in 2013, with the participation of over 30 participating States. The IGOF dealt with a number of issues, including discussion of the OSCE vision of SALW work, planning and supporting of future events, contribution to other processes and further potential SALW normative work. In order to structure the work of the Group, the Chairperson produced an informal list of ideas on the basis of the Plan of Action on SALW (2010) and other proposals (FSC.DEL/67/13/Rev.2).

In addition, the IGOF discussed a number of proposals, such as: Record-keeping; Making the results of information exchanges public; Export controls; and a mapping study.

6. Implementation of existing commitments

6.1 Information exchanges on SALW

The OSCE Document on SALW commits the participating States to a number of standards, which, if fully implemented, will assist States in their efforts to abide by many of the paragraphs on national implementation in the UN Programme of Action on SALW. Among other things, the Document on SALW established a mechanism consisting of transparency measures aimed at raising confidence

and security and at further promotion of trust among OSCE participating States.

The OSCE participating States exchange annual and one-off information on various matters related to transfer controls in respect of SALW and conventional arms more generally. These information exchanges are confidential between the OSCE participating States, and can be discussed at FSC meetings, special seminars and conferences.

The general level of implementation in 2012–2013 has slightly improved in comparison with previous years. However, the achievement of this response rate required extensive use of the FSC Chairperson's Announcing and Reminding Mechanism.

OSCE information exchanges relevant to SALW transfer controls include:

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

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

- Information exchange on national marking systems used in the manufacture and/or import of small arms and light weapons (FSC.DOC/01/00, Section II, (D)1);
- Information exchange on national procedures for the control of manufacture of small arms and

- light weapons (FSC.DOC/01/00, Section II, (D)1);
- Information exchange on national legislation and current practice in small arms export policy, procedures, documentation, and brokering controls (FSC.DOC/01/00, Section III, (F)2).

6.1.1 One-off information exchanges

Under the OSCE Document on SALW, the participating States agreed to share and submit updated information, when necessary, on the following matters: national marking systems; national procedures for the control of manufacturing; national legislation and current practice in export policy, procedures and documentation, and in control over brokering; small arms destruction techniques; and small arms stockpile security and management programmes.

FSC Decision No. 11/08 tasked the participating States with exchanging information on national practices related to preventing the spread of SALW through illicit air transport.

FSC Decision No. 12/08 requested the participating States to provide a sample format of their national end-user certificate and/or other pertinent documents.

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

In March 2011, the CPC issued a revised template for reporting one-off information on SALW (FSC.GAL/38/11), with the suggested start of the reporting on 30 June 2011, in accordance with the deadline for reporting updated in the OSCE Document on SALW.

By 15 November 2013, 28 participating States had provided updated inputs to the one-off information exchange on SALW in the new format.

6.1.2 Annual information exchanges

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

An overview of this information exchange is displayed in Attachment C.

According to the data exchanged, during the period from 2001 to 2012, OSCE participating States destroyed 13,363,603 items of SALW. Details are contained in Attachment D.

6.2 Awareness-raising

The OSCE's CPC organized a number of training events and workshops. In 2013, the OSCE organized the following events:

- Regional Training on Enforcement of Brokering Controls on SALW (jointly with the EU and the UK);
- Commodity Identification Training on Military and Dual-Use Goods (jointly with the USA and the EU long-term programme).

In addition, the FSC hosted a number of guest speakers and presentations on SALW-related topics. A detailed overview of these activities as well as other activities related to the promotion of OSCE SALW initiatives is attached as Attachment E.

7. Practical assistance on SALW

7.1 Overview

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

Since 2003, the OSCE has received 14 requests for assistance from 10 countries relating to enhancement of the management and security of stockpiles of SALW, or destruction of surpluses. In 2013, Albania submitted a new request for SALW surplus destruction.

7.2 National co-ordination bodies

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

7.3 Assistance on export control legislation

In 2013, the CPC, jointly with the German Federal Office of Economics and Export Control (BAFA) acting on behalf of the EU, started providing assistance to interested participating States in updating their export control

legislation on SALW. In 2013, the OSCE and BAFA initiated a country-specific dialogue with Moldova on export-control legislation for military and dual-use goods. Following the request for assistance by Moldova in 2011 and the first country-specific dialogue conducted at the expert level in March 2012, the OSCE and BAFA organized a follow-up visit from 21 to 23 January 2013 to present the EU experts' recommendations for the update of the Moldovan export-control legislation on military and dual-use goods.

The EU experts presented detailed legal recommendations for the export-control legislation.

The recommendations were well received by the national participants from the Ministries of Economy, Foreign Affairs, Defence, Customs and National Security Services. Furthermore, potential for co-operation on this issue was explored with the United States Export Control and Related Border Security (EXBS) Program being implemented in Moldova.

7.4 Inventory application software on SALW

Supported by EU funds in line with the EU COUNCIL DECISION 2012/662/CFSP, the OSCE (the CPC) started a project on improving SALW and conventional ammunition stockpile management and record-keeping in eight participating States. In 2013, the specialized SALW and ammunition inventory application developed by the Belarusian Ministry of Defence with support by the OSCE and UNDP was presented to eight interested participating States from South-Eastern Europe and Central Asia. Following

the presentation, a testing period was launched, aiming to identify compatibility requirements and further the technical upgrade of the software. In parallel, the software was translated into three other languages (English, Moldovan and one of the common languages used in the SEE).

7.5 Practical assistance projects

7.5.1 Republic of Belarus

Based on the Memorandum of Understanding between the OSCE Secretariat and the UNDP, the two organizations continued the implementation of the project on capacity-building for SALW physical security and stockpile management (PSSM) in Belarus. The UNDP, which is serving as the implementing agency for this project, is currently implementing the second phase of the project together with the Ministry of Defence; this second phase is currently focusing on two large storage sites, in Gomel and at Kolosovo, and one smaller site, in Marjina Gorka. The project is funded by the EU Council Decision 2012/662/CFSP in support of activities to reduce the illicit trade in and excessive accumulation of SALW in the OSCE region.

7.5.2 Kyrgyz Republic

Following the request submitted by the Kyrgyz Republic to the FSC in 2008 for assistance in enhancing the management and security of stockpiles of SALW, a project was designed, the implementation of which commenced in 2012.

In 2013, the activities focused on updating the project document, setting up the necessary legal framework and launching the practical implementation.

Following the signing on 2 August 2013 of the Memorandum of Understanding on the Implementation of the SALW and SCA Programme in Kyrgyzstan between the OSCE and the Kyrgyz Government, the following activities commenced:

- Destruction of the SALW and creation of national SALW demilitarization capacities;
- Physical security and stockpile management training for the SALW and CA stockpile managers in the Ministry of Defence;
- Improvement of the national regulatory legal framework for SALW management.

At the end of August 2013, a PSSM course was conducted for the Ministry of Defence executives. During this course, 19 officials were trained on the OSCE's best practices for effective management of SALW and conventional ammunition. Two other PSSM courses are planned in December 2013 for junior staff serving at storage sites. During this period, the OSCE and Ministry of Defence destroyed 51 MANPADS and 97 anti-tank guided missiles (ATGMs).

The project is partially funded by the EU Council Decision 2012/662/CFSP in support of activities to reduce the illicit trade in and excessive accumulation of SALW in the OSCE region. Other donors to the project include Finland, the UK and the USA.

7.5.3 Montenegro

The OSCE Mission to Montenegro, together with the Ministry of the Interior of Montenegro and the UNDP Country Office Montenegro, and with the support of the OSCE CPC,

organized a workshop on development of a national SALW strategy and the SALW Action Plan for Montenegro, from 17 to 19 December 2012. The workshop produced a draft National Strategy of Montenegro on SALW.

At the request of the Government of Montenegro, the CPC provided expert comments on the draft strategy. The document was adopted by the Government of Montenegro on 4 July 2013 as the 'Strategy for the Control and Reduction of Small Arms and Light Weapons and the Plan of Action 2013-2018'.

In the Strategy, the Government of Montenegro refers to the OSCE as its key strategic partner and emphasizes its commitments to relevant OSCE Documents, including also the OSCE Document on SALW.

7.5.4 Tajikistan

For information regarding the OSCE activities on SALW and SCA in Tajikistan, please see the FSC Chairperson's Progress Report on Stockpiles of Conventional Ammunition (nr: MC.GAL/02/13 Annex 4).

8. Outreach and co-operation

8.1 Partnership and co-operation agreements with other international organizations

8.1.1 Memorandum of Understanding with UNDP

In line with the UN Programme of Action on SALW and the Outcome Document of the Second Review Conference, which encourages regional organizations to co-operate, and to develop and strengthen partnerships for sharing resources to combat illicit SALW, the OSCE developed a general framework for

technical co-operation with the United Nations Development Programme (UNDP). A Memorandum of Understanding signed in 2006 provides a non-exclusive framework for technical co-operation for the implementation of SALW and conventional ammunition projects.

Since 2007, five large joint projects have been launched in the framework of the Memorandum: in Belarus, Bosnia and Herzegovina, Georgia, Montenegro and Serbia.

Building on the co-operation initiatives established between the OSCE and UNDP on SALW and SCA, in October 2013, the OSCE Secretariat and UNDP signed an expanded Memorandum of Understanding that foresees closer co-ordination and co-operation in the following areas:

- i) Early warning, conflict; prevention and reconciliation;
- ii) Demilitarization and arms control;
- iii) Confidence-building and community security;
- iv) Good governance, anti-corruption, rule of law, and judicial and legal reform;
- v) Disaster risk reduction;
- vi) Displacement;
- vii) Activities in support of UNSCR 1325 (2000) on women, peace and security;
- viii) Minorities;
- ix) Environment, management of natural resources, and sustainable energy;
- x) Border management.

8.1.2 Joint Action Plan with the UNODC

In October 2011, the OSCE and the United Nations Office on Drugs and Crime (UNODC) signed a Joint Action Plan in order to improve synergies in the activities of the two organizations. The Plan specifically foresees joint development of policy and programmes. In April 2013, the Parties extended the Joint Action Plan to cover the period of 2013-2014. The Plan covers the following areas for co-operation and co-ordination:

The Parties will consider co-operating in awareness-raising, promotion and implementation in respect of:

- The UN Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, and the OSCE Document on Small Arms and Light Weapons;
- The decisions, taskings and recommendations emanating from their respective governing bodies;
- Specific regional initiatives, including those in the Caucasus, Central Asia, Eastern Europe and South-Eastern Europe.

In view of, and as part of, the above, the Parties will consider developing partnerships in:

- Raising awareness regarding the ratification of/accession to the Firearms Protocol by the OSCE participating States;
- Supporting specific initiatives aimed at the implementation of the Firearms Protocol and the relevant OSCE Documents, in the areas of preventing and combating illicit trafficking in firearms/SALW and ammunition, including firearms/SALW record-keeping,

standards for deactivation of firearms, establishment and maintenance of effective systems of export control for firearms/SALW in the OSCE area in the context of existing initiatives, projects and other activities;

- Providing technical assistance to countries, at their request, to help them comply with the requirements of UN Security Council resolution 1540, on non-proliferation of weapons of mass destruction;
- Enhancing co-operation among representatives of law enforcement, the judiciary and prosecution authorities for the purpose of countering illicit trafficking in firearms/small arms and light weapons, including the tracing of illicit firearms/small arms and light weapons.

In May 2013, the OSCE jointly with UNODC, UNODA and INTERPOL organized an Inaugural Conference on Tracing of Illicit SALW in the OSCE Area. The OSCE and UNODC also invited each other to various SALW events.

8.1.3 Memorandum of Understanding with the UNODA

In October 2012, the OSCE Secretariat and the UN Office for Disarmament Affairs (UNODA) signed a Memorandum of Understanding as part of their common efforts to further improve synergies between them.

In the Memorandum of Understanding, it was agreed that co-operation should be strengthened in the fields of disarmament, arms control and conventional arms regulation, and in confidence-building and related issues, through:

- Exchange of information and co-ordination of policies and activities;
- Organization of joint activities;
- Resource mobilization for joint activities;
- Exchange programmes;
- Common visibility strategy to support and promote joint activities;
- Synergies in the planning of meetings.

Since the agreement of the Memorandum of Understanding, the parties organized jointly (also together with UNODC and INTERPOL) the Inaugural Conference on Tracing of Illicit SALW in the OSCE Area in Vienna in May 2013.

8.2 Operational support and information exchange

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

8.2.1 Co-operation and information exchange with other international organizations

Since 2010, the CPC has held regular consultations with the UN Coordinating Action on Small Arms (CASA), which involves over 20 relevant UN agencies and programmes that deal with SALW issues, including the UNODA, the UNODC, the UNDP and the UN Institute for Disarmament Research. In 2013, regular meetings with CASA continued to exchange information about on-going and planned initiatives, to co-ordinate actions, and to seek synergies.

The OSCE Secretariat has initiated closer co-operation with the European Union with regard to funding for OSCE SALW activities. The first project proposal for funding a number of normative and project-related activities, with an implementation time frame of 36 months, was approved by the European Union on 25 October 2012, with the sum of EUR 890,000. The first instalment has already been received, and the implementation of the agreed activities is under way.

The OSCE also maintains regular co-ordination and information exchange with the Wassenaar Arrangement. In 2013, the CPC and the Head of the Wassenaar Arrangement exchanged letters in which they agreed to improve co-ordination, also though participation in each other's events and regular technical co-ordination meetings.

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

Finally, the OSCE Secretariat holds bi-annual staff talks with the EU to exchange information and discuss a wide range of issues.

The CPC exchanges information with other international organizations on OSCE project activities and on normative achievements in the area of SCA (see also Attachment F).

Since 2008, informal meetings have been organized with other international organizations to enhance co-ordination

of efforts with regard to projects on small arms and light weapons and stockpiles of conventional ammunition. The purpose of the meetings is to take stock of the projects relating to SALW and SCA being implemented by international organizations, to exchange lessons learned and best practices, and to co-ordinate on-going and future activities. Such meetings are organized in accordance with the following modalities:

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

8.3 Outreach to Partners for Co-operation

On 8 November, a special meeting devoted to SALW was organized by the Irish Chair of the Asian Partners Contact Group. During the meeting, Australia made a statement illustrating the importance of the adoption of UNSCR 2117 on SALW. Head of the Wassenaar Arrangement made a presentation on SALW controls in the context of Arrangement.

Expert presentations were also delivered by UNODC, the Chairperson of the Informal Group of Friends on SALW and a representative of the Conflict Prevention Centre highlighting possible areas of engagement with Asian Partners.

9. Conclusions

9.1 Normative work on SALW

The OSCE Document on SALW and associated OSCE best practices

continue to play an important norm-setting role in the OSCE area, which in turn contributes to confidence and stability.

In line with the OSCE Plan of Action on SALW (2010), work continued both on fostering the implementation of existing commitments and also on looking into making the measures both effective and efficient, variously through harmonization and gap analysis. On both tracks, co-operation and co-ordination with other international organizations, particularly the United Nations, play a crucial role in terms both of recognizing the leading role of the UN in managing the SALW control process and of ensuring the most efficient and effective use of resources.

During the period from November 2012 to November 2013, concrete capacity-building activities were conducted on the tracing of illicit SALW, enforcement of brokering controls of SALW and commodity identification. The importance of comprehensively addressing these issues, especially where they relate to transnational threats, is thereby recognized.

In addition, dialogue visits to specific countries were conducted jointly with other relevant international organizations at the request of States seeking assistance with the revision of export-control legislation.

Co-operation and co-ordination with other relevant international organizations dealing with SALW issues significantly improved, resulting in the signing of formal co-operation documents and the initiation of joint activities.

Whereas, through the FSC and the Informal Group of Friends on SALW, participating States have taken an active approach to further implementing the OSCE *acquis* on SALW issues, much remains to be done, and in some areas control measures are not complying with norms at the international level.

Constant attention is required to assess implementation of the Plan of Action on SALW, to review the effectiveness of OSCE principles, norms, and measures and to ensure that capacity and efficiency are satisfactory.

9.2 Practical assistance on SALW

In the context of the practical implementation of the Document on SALW, measures undertaken in response to requests for assistance from an increasing number of participating States remain a key OSCE activity. Steps continue to be taken to enhance the effectiveness of SALW activity through regular regional co-operation and informal co-ordination with other international organizations.

Further periodic information-sharing or briefings on projects, both by the coordinator and by the actors involved, are intended to raise awareness and help mobilize resources from the participating States.

However, in the absence of predictable multi-year funding strategies for SALW and SCA projects on the part of the participating States, extra budgetary contributions and finances continue to be an impediment.

9.3 The future SALW work of the FSC

The activity in 2013 within the FSC and in other fora, such as the United Nations, provides a platform to strengthen efforts to combat the security challenges resulting from the illicit spread of SALW and destabilizing accumulations.

Both in the OSCE area and in its neighbourhood, especially including its Mediterranean Partners for Co-operation, SALW continues to pose a threat that can be minimized through better normative controls and project-based activities, plus associated co-operative and capacity-building activities.

The Forum has the opportunity to take stock of its normative basis, in the context of developments elsewhere, which could lead to very positive progress. Equally, the OSCE has the chance to contribute to, and learn from, the Fifth UN Biennial Meeting of States in June 2014.

10. Attachments

Attachment A: Conclusions of the SALW mapping study for follow-up work

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

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

Attachment D: Destruction of SALW in the OSCE area

Attachment E: Meetings, seminars and conferences on SALW organized by the OSCE from November 2012 to November 2013

Attachment F: Participation in events organized by other international organizations and in jointly organized events

Attachment A: Conclusions of the SALW mapping study for possible follow-up work

Topic/issue	Operative proposal
General	Review the SALW Document and its follow-up decisions in light of recent developments in international fora to determine whether the OSCE SALW Document could or should be updated. The detailed findings and proposals presented in this paper may serve as guidance in the review and possible subsequent update.
	Conduct a comprehensive review of the Handbook of Best Practice Guides to determine where updates, additions or changes might be necessary. The detailed findings and proposals presented in this paper may serve as guidance in the review and possible subsequent update.
	Time the OSCE's meetings on SALW to be in line with the UN meetings to ensure complementarity and effectiveness.
Manufacturing	Organize a special meeting on technical developments in SALW manufacturing and transfers to get an overview of current manufacturing practices, trends and future possibilities in the OSCE area and beyond. Possible steps on updating national controls on SALW manufacturing (Section II, part A) could be taken based on the outcome and recommendations of the special meeting.
Marking	Adopt a decision to agree on applying appropriate simple marking also on all imported SALW to complement the OSCE Document's Section II, part B. The marking should permit identification of the country of import and, where possible, the year of import, and a unique marking, if the small arm or light weapon does not already bear such a marking.
	Review SALW marking commitments (OSCE Document, Section II, part B) to harmonize them with other international instruments and the OSCE Best Practice Guide on Marking, Record-Keeping and Tracing, by including a commitment to mark all weapons that are transferred from government stocks to permanent civilian use. The marking should permit identification of the country from whose stocks the transfer of the small arm or light weapon is made.

Record-keeping	Standardize OSCE's instruments on SALW record-keeping with those of other relevant forums. The participating States could consider updating their commitments on SALW record-keeping (OSCE Document, Sections II, part C and III, part C) by adding: (1) a requirement to establish electronic records, (2) an obligation to maintain them in a centralized manner, and (3) a specific minimum time for records to be kept. The proposed formulation is that the records should be maintained indefinitely, if possible, however for at least 30 years for manufactured SALW and 20 years for all other SALW, with a view to improving the traceability of SALW.
Record-keeping	Discuss possible further steps with regard to record-keeping formats to determine whether there would be added value in exchanging information on them and possibly developing best practices or harmonized models in this area.
Tracing	Consider including a reference to the International Tracing Instrument (ITI) in the relevant parts of the OSCE document (Sections II and III) and follow the ITI's wording on tracing commitments.
Transfer controls	Revisit the Organization's commitments regarding arms transfer criteria on SALW and preferably on all conventional arms in line with the Arms Trade Treaty (ATT) to assess what practical steps could be taken to harmonize the instruments. One such measure could be to include language on prohibiting transfers of weapons that might be used in the commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions of 1949 or in attacks directed against civilian objects or civilians protected as such in the OSCE Document's Section III, part A. Risk assessment criteria in this part could also be considered to include serious acts of gender-based violence and violence against women and children.
	Initiate discussion about the need for and possible added value of developing and harmonizing national control lists currently in use for SALW and conventional arms transfer controls. One step to be considered in this area could be a one-off information exchange on the control lists. Reference to this could also be added to the OSCE Document's Section III.
	Establish a mechanism to exchange information on national steps taken to address diversion – and following the ATT's lead – on related activities such as corruption, sources of illicit supply, international trafficking routes, illicit brokers, methods of concealment, common points of dispatch, or destinations used by organized groups engaged in diversion. This could, if relevant, be linked with the proposed establishment of an OSCE network of law enforcement officials specialized in SALW controls.
	Conduct a one-off information exchange about participating States' national policies and practices on re-export controls based on the commitments of the OSCE Document's Section III B5 and FSC Decision 5/04, coupled with a special FSC meeting to review them and see whether there is scope for further action in this area.
	Consider introducing language into the OSCE's normative framework to include an undertaking on a case-by-case basis that the exported SALW will not be used for purposes other than those declared; and a general clause that the exported goods will not be transferred to an unauthorized internal end user.

	Conduct a second round of one-off information exchanges on controlling illicit trafficking of SALW by air, to follow up implementation of FSC Decision 11/08. The information exchange could also be subjected to a technical overview to be prepared by the CPC.
	Initiate discussion at the FSC on possible measures to combat illicit trafficking of SALW by sea, possibly in co-operation with other OSCE institutions and the UN.
Brokering	Continue awareness-raising and capacity-building efforts to improve brokering controls in the OSCE area.
	Conduct further information exchanges on brokering, to follow up the OSCE Document's Section III, part D, and FSC Decisions 08/04 and 17/10, especially concerning illicit brokering and licence denials.
	Readdress the definition of "brokering" and consider expanding the definition to cover "secondary" brokering activities.
	Consider developing an Organization-wide registration system for brokers operating in the OSCE area, including a requirement for brokers to submit regular activity reports.
	Study the establishment of possible other intra- and inter-State co-operation mechanisms in the OSCE region to optimize the prosecution and conviction of brokers.
EUCs	Take further steps in assisting interested participating States to use and verify end user certificates (EUCs), to follow up FSC Decision 5/04.
	Consider developing a Best Practice Guide on EUCs, including an electronic model template for voluntary use.
MANPADS	Follow up the implementation of FSC Decision 3/04 and the Annex C to the Best Practice Guide on National Procedures for Stockpile Management and Security by encouraging further information exchanges on transfers of MANPADS and their controls. Exchanging information on both policies and statistics referring to transfers should be considered.
Stockpile management, surplus and destruction	Conduct a study to assess again the technical procedures displayed in the Best Practice Guide on stockpile management, surplus SALW and destruction to see whether the operative proposals concerning SALW stockpile management, surplus identification and destruction are still up to date and relevant, or whether additional aspects could be considered to update the current recommended practices.
	Consider adopting some elements that are currently contained as political commitments in the stockpile management and destruction Best Practice Guides.
	Conduct further work and develop normative commitments or best practice documents on the security of SALW transportation, covering road, sea and air transportation, possibly in relation to the documents on ammunition transportation security and in co-operation with organizations such as the World Customs Organization and the UN.

	Compile a detailed technical checklist of stockpile control measures to assist participating States, based on the Model for a Security Plan for Stockpiles, as currently annexed (annex B) to the Best Practice Guide on National Procedures for Stockpile Management and Security.
	Develop guidelines on stockpile risk assessment to assist participating States in determining the condition of their stockpiles and to help them establish stockpile management priorities in a cost-effective and secure manner. Where already conducted, such assessments should also be renewed to reflect changing circumstances.
	Update the Organization's normative commitments on surplus weapons contained in the OSCE Document's Section IV, part A, to clearly state that all surplus weapons "should" or "shall" be destroyed.
	Initiate an overview of SALW destruction methods to see whether the Best Practice Guide on Destruction should be updated and/or amended.
Gender and age	Adopt a decision calling for increased representation of women at decision-making levels in security sector institutions dealing with SALW-related issues.
	Conduct a study on best practices and overall application of gender aspects in the development of SALW assistance programmes (including on disarmament, demobilization, and reintegration (DDR), where applicable) in the OSCE area.
Armed violence	Commission a study to examine the links between the practical implementation of the OSCE Document and realities on the ground with regard to armed violence, in co-operation with OSCE Field Operations.
Law enforcement	Establish an FSC/OSCE network of law enforcement SALW specialists to exchange information about the current state of affairs and brainstorm about possible further steps.
Border controls	Develop a manual for border officials and custom controls on SALW trafficking, building on already existing information, to facilitate practical work on combating illicit weapons trafficking and to improve overall SALW controls in the OSCE area.
Transparency	Study harmonization of OSCE SALW exchanges, as contained in the OSCE Document's Section II, part D; Section III, part F; and Section IV, part E, with those of the UN, and consider the possibility of making the OSCE's SALW information exchanges public.
	Consider adding new elements to the one-off information exchanges, including on measures taken to combat diversion and on technical developments in manufacturing technology, marking, record-keeping and tracing.
	Explore possibilities for co-operating with Interpol, especially with regard to information submitted to its Illicit Arms Records and Tracing Management System.

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

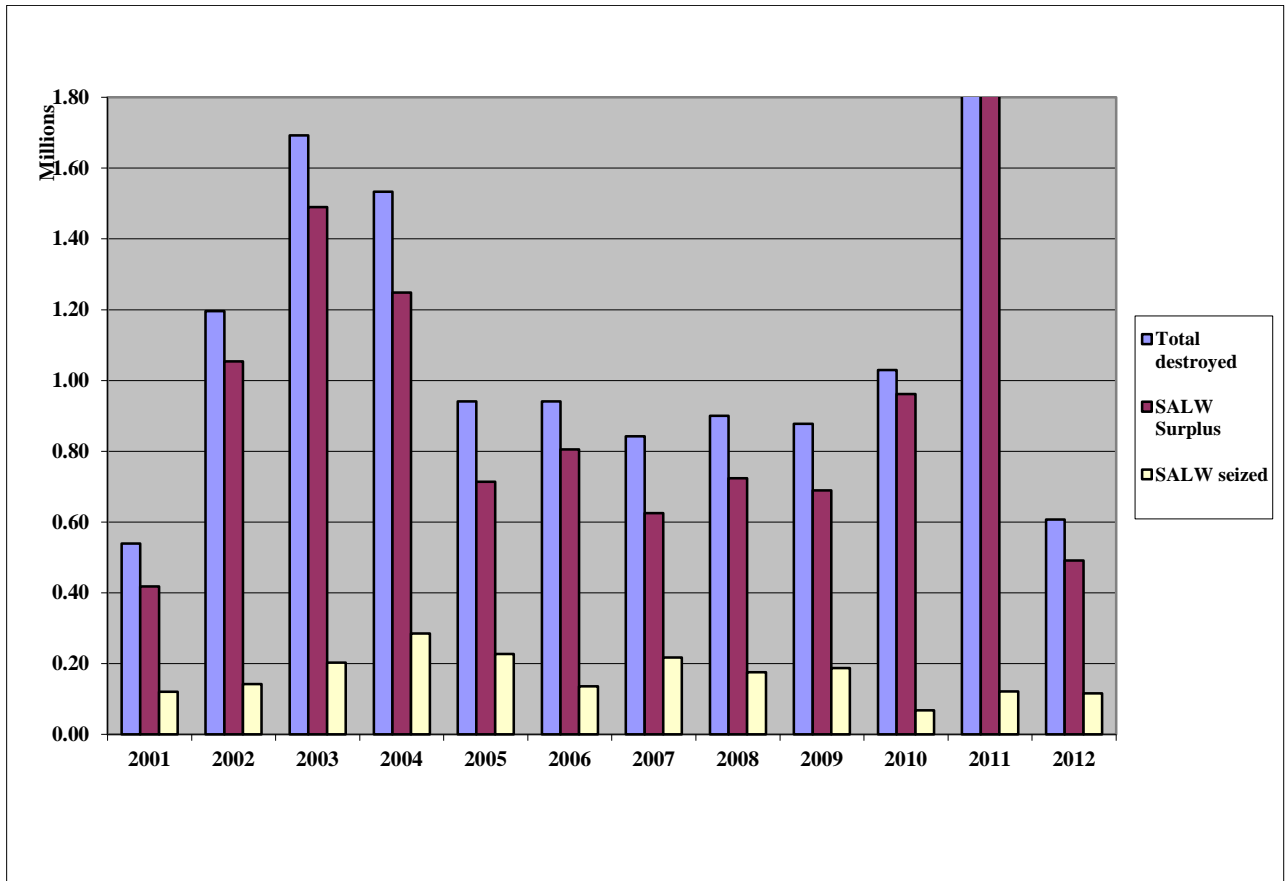
Reference (paragraph)	Citation regarding implementation measures	Current status		
		Exchanged to date	Updates in 2012	Updates in 2013
Section II, (D)1 (starting from 30 June 2001)	The participating States agree to conduct an information exchange on their national marking systems used in the manufacture and/or import of small arms.	55 participating States	13 participating States	16 participating States
Section II, (D)1 (starting from 30 June 2001)	The participating States agree to exchange with each other available information on national procedures for the control of the manufacture of small arms.	56 participating States	16 participating States	15 participating States
Section III, (F)2 (starting from 30 June 2001)	The participating States will exchange with each other available information on relevant national legislation and current practice on export policy, procedures, documentation and on control over international brokering in small arms in order to spread awareness of “best practice” in these areas.	56 participating States	14 participating States	15 participating States
Section IV, (E)2 (starting from 30 June 2002)	The participating States will exchange information of a general nature about their national stockpile management and security procedures. The FSC will consider developing a best practice guide, designed to promote effective stockpile management and security.	56 participating States	16 participating States	16 participating States
Section IV, (E)3 (starting from 30 June 2001)	The participating States agree to exchange information on their techniques and procedures for the destruction of small arms. The FSC will	54 participating States	14 participating States	15 participating States

	consider developing a best practice guide of techniques and procedures for the destruction of small arms.			
FSC Decision 11/07 (by 25 January 2008)	The FSC requests participating States to exchange information on their present regulations concerning brokering activities with regard to small arms and light weapons.	48 participating States	-	-
FSC Decision 11/08 (by 30 June 2009)	The FSC decides that the participating States shall provide, as an update to the one-off information exchange established by Section III, part F, paragraph 2, of the OSCE Document on SALW, additional information on national practices.	50 participating States	3 participating State	2 participating States
FSC Decision 12/08 (by 27 March 2009)	The FSC requests participating States to provide a sample format of their national end-user certificate and/or other pertinent documents.	53 participating States	2 participating States	3 participating States
FSC Decision 17/10 (by 30 June 2011)	The FSC requests participating States to exchange information on their present regulations concerning brokering activities with regard to SALW.	n/a	39 participating States	14 participating States

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

Reference (paragraph)	Citation regarding implementation measures	Status by 2012	
		2012	2013
Section III, (F)1	The participating States agree to conduct an information exchange among themselves about their small arms exports to, and imports from, other participating States during the previous calendar year. They also agree to study ways to further improve the information exchange on transfers of small arms.	40 participating States	41 participa- ting States
Section IV, (C)1 Section IV, (E)1	The participating States agree that the preferred method for the disposal of small arms is destruction. The participating States agree to share available information on the category, subcategory and quantity of small arms that have been identified as surplus and/or seized and destroyed on their territory during the previous calendar year.	32 participating States	36 participa- ting States

Attachment D: Destruction of SALW in the OSCE area¹⁷



¹⁷ It should be noted that, in cases where a participating State has not differentiated between surplus and seized weapons, the statistics are reflected as surplus.

Attachment E: Meetings, seminars and conferences on SALW organized by the OSCE from November 2012 to November 2013

Brokering training

The CPC organized a regional training event on enforcement of brokering controls in respect of SALW from 24 to 26 April 2013 in Vienna. The event, which was organized in co-operation with the European Union and the United Kingdom, brought together representatives from law enforcement and prosecutor's offices from 12 countries in Eastern Europe, the Caucasus and South-East Europe.

In the course of the event, the participants discussed various issues related to brokering controls in respect of SALW. The event allowed delegates to look at policy aspects of brokering controls and their meaning in practice. It also enabled them to take a closer look at how illicit transfers are investigated and brought to court. The case studies and group exercises facilitated discussion among the experts and allowed them to apply the newly acquired knowledge and skills to various situations. The event was fully funded by the EU Council Decision 2012/662/CFSP in support of activities to reduce the illicit trade in and excessive accumulation of SALW in the OSCE region.

Commodity identification training

In 2011-2012, the FSC Support Section jointly with the Borders Unit organized a series of regional training sessions on information exchange on military and dual-use goods between licensing authorities and customs agencies. Following the requests of participating States for follow-on training on specific aspects, a series of regional training events on commodity identification for military and dual-use goods was conceptualized, jointly with the United States Department of Energy and the EU Outreach Export Control of Dual-Use Goods Programme (implemented by the German Federal Office of Economics and Export Control (BAFA)). The pilot Commodity Identification Training event was conducted by the CPC (FSC Support Section) and the Transnational Threats Department–Border Unit (TNTD-BU) for the South-Eastern European region, jointly with the United States Department of Energy, BAFA and RACVIAC- Centre for Security Co-operation, from 16 to 18 July 2013 in Rakitje, Croatia.

The training event attracted 37 participants, including national representatives from Albania, Bosnia and Herzegovina, Croatia, the former Yugoslav Republic of Macedonia, Montenegro and Serbia. The preliminary list, with names of desired national participants, was shared in advance informally through the OSCE field operations/delegations in Vienna. The countries were represented by up to four experts from the ministries of trade and economic affairs, as well as customs agencies. During the three-day training course, the participants heard lectures by trainers on nuclear, chemical and biological aspects of the identification of dual-use goods, as well as SALW concealment techniques (delivered by an expert on SALW proliferation).

Following interest expressed by participating States from other regions, follow-up activities focusing on dual-use goods are currently being planned for other regions.

Other events

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

FSC Chairpersons regularly invite guest speakers to address the Forum, also on issues related to SALW. In 2013, the presentations on topics related to SALW included the following briefings:

- Presentation by H.E. Prof. Milica Pejanovic-Djurisic, Minister of Defence of Montenegro, on the Montenegro Demilitarization Programme –MONDEM;
- Presentation by Dr. Glenn McDonald, Senior Researcher at the Small Arms Survey, on the OSCE small arms commitments in the broader multilateral framework;
- Presentation by Eric Berman, Managing Director at the Small Arms Survey, on implementing the UN Programme of Action on Small Arms: the role of regional organizations;
- Presentation by Ekrem Spahiu, Deputy Minister of Defence of Albania, on demilitarization of stockpiles of ammunition and armaments in Albania – a contribution to the security of Albania and the region;
- Presentations by Lt. Col. Laszlo Szatmari, FSC Co-ordinator for Projects on SALW and SCA, and Lt. Col. Simon Macrory-Tinning, Chairperson of the Informal Group of Friends on SALW, on “How could we advance FSC work and strengthen co-operation: SALW and SCA?”;
- Presentation by Elli Kytomaki, CPC consultant, on information on the mapping study on the SALW commitments;
- Presentation by Mark Bromley, Senior Researcher at the Stockholm International Peace Research Institute (SIPRI), on possible elements for a draft best practice guide on methodologies for compiling the results of the annual information exchange on SALW exports to and imports from other OSCE participating States
- Presentation by Brig. Gen. Bojan Zrnica, Head of Defence Technologies at the Ministry of Defence of the Republic of Serbia, on the capacity development programme for SCA management in Serbia;
- Presentation by Amb. Sergey Kapinos, Head of the OSCE Centre in Bishkek, and Col. Zamir Suerkulov of the Ministry of Defence of the Kyrgyz Republic, on the SALW and SCA Project in Kyrgyzstan.

Exhibition at the Annual Security Review Conference

On the margins of the Annual Security Review Conference, which took place from 19 to 20 June 2013, the FSC Support Section presented a photo exhibition reflecting FSC assistance projects on SALW and conventional ammunition. The exhibition displayed different stages of project assessments and implementation in countries in which assistance had been provided, focusing on the implementation of the project on the elimination of rocket fuel *mélange* in Ukraine.

Attachment F: Participation in events organized by other international organizations and in jointly organized events

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

In 2013, representatives of the CPC continued to promote the OSCE's outreach activities by participating in events organized by other international and regional organizations. The seminars and workshops at which presentations were given are listed below.

OSCE/FSC participation in SALW-related events organized by other international and regional organizations in 2013		
Date	Title	Place
11 March	Saferworld meeting on the follow-up action on SALW after the Second Review Conference on the UN Programme of Action on SALW	Geneva, Switzerland
9 April	Group of Governmental Experts on the UN Register on Conventional Arms	Geneva
15-16 April	NATO structured information exchange on SALW and SCA	Brussels, Belgium
17-18 June	Smart Technology in SALW Control: Civilian Protection, the UN Programme of Action, and Transfer Control (SmartCon), organized by the Bonn International Centre for Conversion (BICC) and the Ministry of Foreign Affairs of Germany	Berlin, Germany
13 September	Euro-Atlantic Partnership Council Working Group on SALW	Brussels, Belgium



FSC CHAIRPERSON'S PROGRESS REPORT

THE CONTINUING IMPLEMENTATION OF THE OSCE DOCUMENT ON STOCKPILES OF CONVENTIONAL AMMUNITION



DECEMBER 2013, Kyiv

Original: ENGLISH

Executive Summary

Since 2003, the OSCE has received 36 requests for assistance in the area of Stockpiles of Conventional Ammunition (SCA) from more than 10 participating States. Specifically, these included eight requests for assistance in ensuring the safety and security of stockpiles of ammunition; 11 requests to assist with the destruction of ammunition; 12 requests for assistance in the disposal of rocket fuel component (*mélange*) and five requests for assistance with the disposal of unexploded ordnance (UXO) and explosive remnants of war (ERW).

This progress report provides comprehensive factual information on the current status of implementation of the OSCE Document on SCA in the period ranging from November 2012 to November 2013. Furthermore, the report also indicates those specific areas, where the most critical action or assistance is needed. The following results were achieved during the reporting period:

In 2013 the OSCE continued the implementation of projects in response to requests for assistance on conventional ammunition submitted by participating States. The on-going projects were partly completed in Albania, Belarus, Moldova and Serbia. The project on demilitarization of 1,288 cluster bombs in Georgia was completed, as was the project on disposal of 410 tonnes of *mélange* in Kazakhstan. Projects continued to be implemented in Albania, Bosnia and Herzegovina, Moldova, Montenegro, Serbia and Ukraine. New projects were started in Belarus, Bosnia and Herzegovina, Kyrgyzstan and Ukraine. Feasibility studies and preliminary activities were started on disposal of rocket fuel components in Belarus, Bulgaria and Kyrgyzstan. It is planned to develop and implement the relevant projects in 2014-2015, provided the required funding is available.

In 2013, there was a decrease in donor funding available for SCA projects, as compared to the previous year. During the reporting period, participating States pledged EUR 1,145,900 for projects relating to conventional ammunition, compared to EUR 1,889,804 in 2012. In contrast, the *mélange* disposal in Ukraine and Bulgaria alone attracted EUR 9,864,000 in 2013, accounting for a substantial share of the total amount of donor contributions.

In response to the recommendation of the FSC Chairperson's Progress Reports on Continuing Implementation of the OSCE Documents on SCA and SALW to the 18th meeting of the Ministerial Council in 2011 (MC.GAL/4/11/Corr.2), the position of the Security Co-operation Adviser on SALW and SCA Projects in the Western Balkans was established and posted in the OSCE Mission to Serbia in May 2012. In 2013, this position was transferred to the OSCE Conflict Prevention Centre, and in August of this year, the newly appointed Security Co-operation Officer and Co-ordinator for South-East Europe on SALW and SCA Projects started his work.

The extrabudgetary contributions and fundraising remain a core challenge in the absence of predictable multi-year strategies for funding of SALW and SCA projects by the participating States.

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1. Introduction

The present progress report on the continuing implementation of the OSCE Document on Stockpiles of Conventional Ammunition (SCA) covers last year's ongoing efforts to address the challenges posed by stockpiles of ammunition. The report presents conclusions and suggests focus areas¹⁸.

It was recognized that surplus stockpiles of conventional ammunition, including rocket fuel and its component *mélange*, adversely affect the security and stability of countries and regions.

Since 1987, the world has seen at least 453 known unplanned explosive events in ammunition storage areas, of which 185 occurred in the OSCE region (over 40%).¹⁹ During the period 2011-2012 alone, 29 unplanned ammunition explosions occurred in 12 participating States, causing human losses and injuries in the OSCE area. This underlines the strong need to develop further co-operation on SCA. The OSCE has developed a solid base for tackling the problem of SCA stored in conditions that do not meet minimum safety standards. Currently, the Forum is dealing with requests from eight countries intended to address this problem.

Since the OSCE is not a legal entity, implementation of such projects requires a special focus due to increased risks and possible legal and financial liabilities.

However, non-action is not an option, as doing nothing could result in the loss of lives, severe damage of socio-economic

infrastructure, and possible environmental catastrophe. Thus, preventive action such as demilitarization and improvement of storage facilities is supported in the Forum as a generally wiser and less costly course of action.

In 2013, the OSCE continued to provide practical assistance to participating States. As shown in the report, the OSCE was able to respond to the assistance requests and to assist the participating States in removing the risks and in building or strengthening their national capacities. This is achieved by providing expertise, mobilizing both technical and financial resources, and implementing projects, including those implemented in co-operation with other international organizations.

2. Objective

This report is intended to provide a factual update on the implementation of the general principles regarding conventional ammunition agreed on by all the participating States in the Document on SCA. It also describes the progress achieved in project activities on conventional ammunition carried out in response to requests for assistance from participating States. The report covers the period from November 2012 to November 2013.

The report is primarily designed to provide an overview of the status of projects, and to highlight the issues posing challenges to successful implementation of the OSCE projects under the Document on SCA in the near future.

¹⁸ The deadline for submitting input for this report was 15 November 2013.

¹⁹ Source: "Unplanned Explosions at Munitions Sites". Geneva: Small Arms Survey, accessed on 24 October 2013, <http://www.smallarmssurvey.org/weapons-and-markets/stockpiles/unplanned-explosions-at-munitions-sites.html#c5998>

3. OSCE assistance pursuant to the Document on SCA

Since 2003, the OSCE has received 36 requests for assistance in the area of SCA from more than 10 participating States. Specifically, these included eight requests for assistance in ensuring the safety and security of stockpiles of ammunition; 11 requests to assist with the destruction of ammunition; 12 requests for assistance in the disposal of rocket fuel components (*mélange* and *samin*) and five requests for assistance with the disposal of unexploded ordnance (UXO) and explosive remnants of war (ERW).

In 2013, the OSCE continued the implementation of projects in response to requests for assistance on conventional ammunition submitted by participating States. This year was marked by a strong implementation phase in many projects.

3.1 Co-operation within the OSCE

The position of the Security Co-operation Adviser on SALW and SCA Projects in the Western Balkans (to provide the project-related co-ordination activities for Albania, Bosnia and Herzegovina, Montenegro and Serbia) was established in May 2012 in response to the recommendation of the FSC Chairperson's Progress Reports on Continuing Implementation of the OSCE Documents on SCA and SALW submitted to the Eighteenth Meeting of the Ministerial Council in 2011. Guided by the principles of cost-effectiveness, efficiency and result-oriented management based on already existing OSCE capacities in the Western Balkan region, the Security Co-operation Adviser was posted in the OSCE Mission to Serbia and reported to the FSC through the CPC on issues related to the implementation of SALW and SCA commitments and projects.

From May 2012 until May 2013, the Security Co-operation Adviser on SALW

and SCA Projects: (1) contributed to developing the EXPLODE Programme for BiH, and assumed the responsibilities of a joint OSCE-UNDP project manager for the SALW and SCA stockpile management component of this Programme; (2) ensured quality control of initial safety and security improvements implemented in 2012-2013 in co-operation with the South East and Eastern Europe Clearing House for the Control of Small Arms and Light Weapons (SEESAC); and (3) supported the launch of the project for disposal of napalm powder in Serbia (first priority component of a larger conventional ammunition stockpile management (CASM) programme).

Following the budgetary recommendations of the Advisory Committee on Management and Finance (ACMF) in early 2013, and given its regional co-ordination function, this position was transferred from the OSCE Mission to Serbia to the OSCE CPC.

In August 2013, the newly appointed Security Co-operation Officer and Co-ordinator for South-East Europe on SALW and SCA Projects started working at the OSCE CPC and performed the following tasks within the reporting period:

- Established a co-ordination process between the Bosnia and Herzegovina (BiH) Ministry of Defence, EUFOR, the OSCE and UNDP and the relevant programmes - SECUP and EXPLODE²⁰, dealing with physical security and stockpile management (PSSM) and safety aspects, including training;
- Conducted the first Project Management Review in BiH, bringing

²⁰ Please see more details on SECUP and EXPLODE projects under section 3.2 (Bosnia and Herzegovina)

together all stakeholders in order to co-ordinate all partners committed to the fulfilment of the two outstanding objectives within SECUP and EXPLODE (the destruction of remaining unstable and surplus munitions and the upgrade of prospective ammunition and weapon storage sites). The co-ordination and synergy of these two projects is essential to ensure that the overall stockpile safety and security is improved by removing all surplus ammunition from the storage sites and by reinforcing the remaining storage sites;

- Launched a fully-fledged training program for the ammunition technicians in Moldova.

3.2 Projects under implementation

Since 2008, the OSCE Presence in **Albania** supports the Ministry of Defence in the implementation of its demilitarization action plan. With the contribution of different donors, the OSCE has provided 11 bandsaws and one steam generator to the military factories (for destruction of surpluses of conventional ammunition) and has helped with the disposal of 60 tonnes of *mélange* rocket fuel and 120 tonnes of dichloroethane.

Since 2012, approximately 80 tonnes of hazardous chemicals subject to destruction still remain in the military premises. In this regard, the Ministry of Defence of Albania requested support to address this surplus. With this in view, an extrabudgetary project with an overall budget of EUR 232,785 was developed. At present, only partial funding is available for the repackaging activity. Before the start of the project, the respective memorandum of understanding was signed between the OSCE Presence in Albania and the Ministry of Defence of Albania. The first phase of the project (repackaging of all

chemical products and their storage in a safe and secure central location) was launched in October 2013 and is expected to be finalized by the end of 2013. However, rendered safe, the repackaged chemicals (certified packaging for transnational transportation) cannot stay long without further transportation to the disposal facility and the final disposal, as envisaged by the project. Otherwise, the repackaging efforts might turn out to be in vain if further activities are not supported on time.

In addition, in 2012, the Ministry of Defence requested the OSCE Presence in Albania to provide further assistance in the destruction of ammunition. A participating State (Germany) provided funds to purchase additional blades for bandsaws. That has allowed the Ministry of Defence to proceed with its demilitarization action plan regarding SCA. Although these activities are slightly delayed, they should be completed by mid-2014.

On 9 October 2013, the OSCE Mission to **Bosnia and Herzegovina** and the Council of Ministers of Bosnia and Herzegovina signed a co-operation agreement in the fields of defence and security. It represented a significant step towards expanding the co-operation in these fields and it improved the country's control capacity in the areas of SALW and SCA. Specifically, it provided a legal framework for the SECUP BiH - Project for Security Upgrade of Ammunition and Weapons Storage Sites in Bosnia and Herzegovina, which was officially launched on the same day.

The Project activities over 2013 – 2015 will result in an upgrading of security infrastructure (fences, gates, vehicle beam barriers, signs, intruder detection systems and external lighting) at two weapons storage sites (Rabic and Teufik Buza) and two ammunition storage sites (Krupa and

Kula 1) of the Armed Forces of Bosnia and Herzegovina, an upgrading security of these storage sites and an improvement of the national standards for physical security and stockpile management in line with the OSCE Best Practices on SALW and CA.

On 27 June 2013, the joint UNDP/OSCE Explosive Ordnance and Remnants of War Destruction Project - EXPLODE was officially launched. The Project is funded under the EU Instrument for Stability (IfS) and is organized into three components:

- Component I – Ammunition destruction and demilitarization;
- Component II – Development of ammunition control capacities;
- Component III – Stockpile management.

The lead organization for components I and II of the Project is the UNDP Country Office in BiH, while component III will be implemented by the UNDP in co-operation with the OSCE Mission to BiH. The EXPLODE Project will cover the activities to reduce the risk of accidental explosion by upgrading the “safety” of the BiH prospective ammunition/weapons storage sites, in line with the requirements of the funding instrument. The refurbishment activities under the Project’s Component III will start in the first half of 2014.

Additionally, the Mission to BiH has been providing support to the CPC-led project entitled Rollout of SALW Inventory Software Application. As part of this project, in May 2013, the Ministry of Defence of BiH received a copy of the weapons/ammunition record-keeping software (for a testing period), as well as the relevant training. The Mission’s experts will continue providing support to the BiH Ministry of Defence in customizing the software provided to meet national requirements.

Following the closure of the OSCE Mission in **Georgia** in 2009, the OSCE Secretariat, UNDP-Georgia and the Ministry of Defence of Georgia undertook a range of technical assessments in 2010 with the aim of resuming demilitarization activities in Georgia. As a result, the OSCE and UNDP have developed a joint ammunition-demilitarization and community-security programme. The pilot project of the programme launched envisioned the destruction within less than two years of Georgia’s stockpiles of aircraft cluster bombs, which consisted of RBK-250 and RBK-500 aerial cluster bombs. In June 2013, the destruction of 1,288 cluster bombs was finalized and the project was completed.

Furthermore, the follow-up projects pertaining to a three-year demilitarization programme in Georgia (disposal of 1,700 tonnes of Soviet ammunition) are open for funding.

At present, a joint memorandum of understanding on furthering the work on the disposal of surplus conventional ammunition stockpiles in Georgia is currently being agreed upon between the OSCE Secretariat and the Ministry of Defence of Georgia.

The OSCE SALW and Conventional Ammunition Programme in **Moldova**, launched in 2009, comprises eight main projects. In regard to destruction of weapons systems, four projects have been largely completed: destruction of 78 cluster bombs, 48 surface-to-air missiles and 105 250-kg air bombs and disposal of 19 air-to-air missiles located in Georgia. The destruction of the remaining 19 air-to-air missiles, stored in Georgia since 1992, was completed in June 2013 with the assistance of the OSCE implementing partners in Georgia.

The capacity and expertise of the Ministry of Defence of Moldova for disposing of various types of ammunitions was significantly improved through these major projects. Notwithstanding the success of the above projects, the Programme's largest project is yet to be implemented. The need for the construction of a new ammunition storage depot was assessed. This new depot should fully comply with international safety standards. An assessment visit showed the Moldovan Ministry of Defence that the activities conducted on the Bulboaca site were not compatible with the constraints imposed by such a depot. A further feasibility study convinced the Ministry of Defence of Moldova to choose the military base of Danceni for this purpose. In addition, a new design for the depot meeting international standards was developed, but specifications need to be further defined.

The project to refurbish storage sites for SALW and ammunition in Floresti, Cahul, Balti and Chisinau was completed. In addition to this refurbishment, an anti-intrusion alarm system was installed in three storage areas at Floresti depot. Anti-intrusion systems will be installed at other sites.

As a result of the delay in the construction of a new depot, it was decided to prolong the refurbishment project by a second phase, including the upgrade of a fourth depot in Floresti, in order to make the other storage areas safer.

In parallel with these improvements, and in order to allow the implementation of sustainable training for ammunition specialists, the OSCE is working with the Ministry of Defence to put in place the necessary conditions for running SALW and ammunition management systems in accordance with the OSCE best practices.

The Capacity Development Programme for SALW (Conventional Ammunition) Demilitarization and Safe Storage for **Montenegro (MONDEM)** – a joint programme established by the Government of Montenegro, OSCE and UNDP – continued to be implemented in 2013.

Under Phase III-1 of the on-going ammunition demilitarization component of MONDEM, a quantity of 248 tonnes of unstable SALW (conventional ammunition) was safely destroyed in the period June-September 2013.

MONDEM's Phase III-2 Ammunition Demilitarization began in October 2013 and some 400 tonnes of ammunition in critical condition are being destroyed within this phase.

After its establishment in February 2012 by the Ministry of Defence of **Serbia**, the OSCE and UNDP²¹, the first component of the Capacity Development Programme for Conventional Ammunition Stockpile Management for the Republic of Serbia (CASM), has been under implementation since May 2012. In November 2013 the first phase of the project, for disposal of the napalm powder, was completed. Approximately 161 tonnes of napalm powder, or the entire napalm surplus held by the Ministry of Defence of the Republic of Serbia, was removed from the storages Jovac and the Batajnica Air Base storage facilities in July 2013 and transported to the SAKAB specialized facility in Kumla, Sweden. The entire amount of napalm powder was disposed of in an environmentally benign and cost-efficient way. Now Serbia is free from napalm powder.

The implementation of the second phase of the project started with the demilitarization

²¹In June 2011, Serbia requested OSCE assistance in destroying surplus ammunition and improving the management and the security of stockpiles of ammunition. The OSCE and UNDP-Serbia jointly conducted an assessment visit from 11 to 14 September 2011.

of 550 tonnes of the white-phosphorus-filled ammunition. In the summer of 2013, the international tender for selecting the contractor to dispose of the white-phosphorous-filled ammunition was finalized. Currently, the preparatory works are under way. The local demilitarization facility TRZ in Kragujevac has already started the demilitarization of the white-phosphorous-filled ammunition (rendering it unusable by removing the propellant and fuses).

The white phosphorous will be transported in the original metal shells to the disposal facility in Bulgaria. The defrayal of the estimated cost of the metal scrap which will be obtained by the contractor as a result of the disposal process is incorporated into the price of disposal, thus achieving cost-efficiency. The Serbian Ministry of Defence announced the planned national contribution to the white phosphorus disposal process as approximately EUR 600,000.

3.3 Requests for assistance on elimination of liquid rocket fuel components (*mélange* and samin) and hazardous military chemicals

On 24 April 2013, **Belarus** submitted its request for assistance with the disposal of the rocket fuel components *mélange* (409 tonnes) and Samin (193 tonnes). In response to the request, in September 2013, OSCE experts conducted the assessment visit to estimate the storage conditions and the scope of assistance required. The assessment report was distributed to all 57 participating States in November 2013.

On 10 October 2012, **Bulgaria** submitted its request at the 694th meeting of the FSC for the OSCE's assistance to the Bulgarian Army in the disposal and destruction of surplus special rocket fuels, namely, *mélange* AK-20K, samin TG-02 and product TM-185. On 21 and 22 November

2012, an OSCE assessment team led by the Conflict Prevention Centre of the OSCE Secretariat visited Bulgaria and held briefing sessions with the Bulgarian Ministry of Defence and other stakeholders, and visited the designated rocket fuel storage site near the town of Kalofer. Following the visit, the OSCE experts produced a technical assessment report and distributed it among the participating States. At present, consultations with the Bulgarian authorities on the legal and managerial framework for implementation of the project are under way. It is planned to implement the project in 2014, provided the required funding is available. Currently only one participating States has pledged the funds.

In **Kazakhstan**, the total amount of *mélange* subject to disposal was assessed by the Ministry of Defence of Kazakhstan and the OSCE at the level of 410 tonnes. Kazakhstan provided its decisive financial and technical contribution to removal of the *mélange*. On 29 June 2013, a train carrying more than 400 tonnes of the toxic rocket fuel component *mélange* safely departed from Sary Ozek, Kazakhstan for the disposal at a specialized chemical plant in Dzerzhinsk, Russia, as a part of a project supported by the OSCE.

The disposal of *mélange* was carried out by the same implementing partner contracted for the *mélange* project in Ukraine. To support the *mélange* loading operation in Kazakhstan and to create synergy between the two projects, the Ukrainian military experts with previous experience in the *mélange* disposal project were engaged. They conducted training exercises with local specialists before the actual loading of *mélange* into the railcars took place. As of August 2013, 402 tonnes of *mélange* were disposed of at a specialized chemical plant in Dzerzhinsk, Russia.

On 23 October 2013, **Kyrgyzstan** requested assistance with the disposal of some 110 tonnes of *mélange*. The team of the OSCE experts conducted the preliminary assessment of the *mélange* storage conditions in Kyrgyzstan taking advantage of the fact that they were close to the storage sites while conducting the loading of *mélange* in Kazakhstan in June 2013. The conclusion of the assessment suggests that with a good co-operation with Kazakhstan, including but not limited to the agreement on loading of *mélange* with support of the Ministry of Defence of Kazakhstan and the railroad transportation of *mélange* through the territory of Kazakhstan, Kyrgyzstan could rid itself of its stocks of *mélange* in a relatively quick and cost-efficient way in 2014.

Once the issue of the trans-boundary movement between two countries is agreed upon, Kyrgyzstan could make use of the on-going co-operation between the OSCE and the Russian chemical enterprises, which was established in the context of similar projects in the past.

The *mélange* project in **Ukraine** is the largest extrabudgetary project that the OSCE has ever undertaken. This project has a major positive environmental impact in terms of removing the risk of contamination/accident posed by the deteriorating stockpiles of the hazardous chemical substance. It also delivers lasting benign socio-economic effects for local communities, since the military sites with their infrastructural and economic assets will be closed down after the removal of the *mélange* and, after environmental clean-up, will be redeveloped for civilian use.

As of November 2013, the OSCE Secretariat, supported by the OSCE Project Co-ordinator in Ukraine, largely completed disposal phase III-C. Since the project was launched in November 2009, the OSCE has succeeded in removing some 14,000

tonnes of *mélange* from six storage sites in western, central, eastern and part of southern Ukraine, thereby freeing almost the entire territory of Ukraine from the toxic hazard, and making it a safe place to live. This hazardous substance was transported to two chemical plants in the Russian Federation that have extensive experience in the *mélange* disposal. There, all the *mélange* was safely processed into nitric acid and subsequently used for the production of civilian chemical products like fuel additives and industrial explosives. The project is fully financed and is expected to be finalized in the first quarter of 2014.

3.4 Training

From 8 to 11 April 2013, the Centre in Ashgabat, **Turkmenistan**, in partnership with the United States Defense Threat Reduction Agency (DTRA), conducted a specialized technical seminar for 18 managers and ammunition handlers in the Turkmenistan Army weapons storage facilities on modern methods and best international practices in physical security and stockpile management of small arms and light weapons and conventional ammunition. The technical seminar was supplemented by a meeting between the international experts and senior officials from the Defence Ministry of Turkmenistan to discuss thematic instructions on ammunition site management procedures that the experts will prepare for the Ministry in 2013.

In **Kyrgyzstan**, in the context of the SALW and CA project, a course on physical security of stockpile management for the Ministry of Defence executives was conducted at the end of August 2013. During this course, which was organized in co-operation with the United States DTRA, 19 officials were taught the OSCE's best practices for effective management of SALW and CA. Two more

courses are planned in December 2013 for the junior staff serving at the storage sites.

The OSCE Office in **Tajikistan** continued to support the Government of Tajikistan in ensuring the safe and secure storage of SALW.

In particular, the OSCE Office in Tajikistan undertook the following activities:

- Supporting the training authorities of the country's law enforcement agencies in the introduction of a new training major on SALW and SCA security and stockpiles management.
- Continuing consecutive efforts in the establishment of a coherent training mechanism for local law enforcement agencies that deal with arms and ammunition, and in close cooperation with relevant governmental authorities (Ministry of Defence, Ministry of Internal Affairs, Main Border Directorate and responsible staff of their higher academic facilities), the Office in 2013 commenced the establishment of separate distinct classes for future SALW and ammunition technicians, equipped with all the necessary training materials, visual aids, etc.

The requirement to introduce a new training programme was necessitated by the fact that, based on an initial review of existing training programmes in 2012, there were less than five training hours in a year on SALW and SCA security and stockpiles management. Based on agreements with the Ministry of Defence, Ministry of Internal Affairs and the Main Border Directorate, the Office in 2013, established a working group consisting of representatives of the respective training authorities, in order to amend the existing training curricula and introduce a new major on SALW and SCA physical security and stockpiles management. The

activity currently is in its final stage and it is hoped that the newly developed curricula will be approved and adopted by the end of 2013.

Having addressed the majority of issues related to SALW and SCA security in Tajikistan, the Office in 2013 (March - May) carried out a survey on achievements of SALW and SCA projects in Tajikistan, their impact and long-term sustainability, as well as providing further recommendations on countering security threats and challenges in the country in the context of regional security in Central Asia. The survey results demonstrated that, throughout the years of co-operation with the Government of Tajikistan, the OSCE has played a significant role in ensuring the security of the country's SALW and CA stockpiles. Now having both internationally acceptable infrastructure and human capacity in place, the country by the end of 2014, the country will be able to undertake activities in this category independently. At the same time, considering the current security situation in the region, and the withdrawal of the International Security Assistance Force (ISAF) in 2014 from Afghanistan and possible security risks to the neighbouring countries as a result, the survey report also contains recommendations on further co-operation in terms of ensuring SALW and SCA security, in the context of regional co-operation.

3.5 Donors

In 2013, the following participating States contributed to the designated projects: Denmark, Germany, Hungary, Luxembourg, Norway, Switzerland, Turkey, the United Kingdom, and the USA.

4. Co-operation and exchange of information

4.1 Co-operation with the United Nations

In line with the UN Programme of Action on SALW, which encourages regional organizations to co-operate and to develop and strengthen partnerships to share resources to combat illicit SALW, the OSCE has continued developing and implementing joint projects with UNDP. In addition to two joint projects launched in Belarus and Montenegro in 2007, since that time three new joint projects were started in Georgia, Bosnia and Herzegovina and Serbia. The pilot project in Georgia was completed in June 2013, and now the follow-up projects under a three-year demilitarization programme in Georgia (disposal of 1,700 tonnes of Soviet ammunition) are open for funding.

4.2 Exchange of information with other international organizations

Since 2008, the OSCE exchanges information on OSCE project activities, as well as on normative achievements in the area of SCA with partner international organizations. Such co-ordination makes it possible to take stock of various SALW and SCA projects implemented by international organizations and individual donors, identifying synergies and lessons learnt, as well as avoiding unnecessary overlapping.

5. Conclusions

The OSCE Document on Stockpiles of Conventional Ammunition (SCA) remains an effective and useful tool for addressing the problems arising from stockpiles of conventional ammunition. It continues to serve as an important framework for dealing with surpluses and stockpiles of ammunition, with a view to reducing the risk

of destabilizing accumulation and uncontrolled proliferation.

In regard to the normative aspects of the SCA Document, an appreciable development in the past year was the introduction of destruction as the preferred method of disposal of ammunition. At the same time, there is more room for enhancing the other normative aspects of this Document, for example, development of clear criteria for defining surpluses of conventional ammunition in the effort to ensure its safe and secure storage. The OSCE should work further in this area at both the norm-setting and at the practical levels.

One of the most vibrant areas of implementation of the OSCE Document on SCA remains the one dealing with requests for assistance from participating States in the field of destruction and stockpile management and security.

In this field, 2013 was a dynamic year. Ongoing projects were partly completed in Albania, Belarus, Moldova and Serbia. The project on demilitarization of 1,288 cluster bombs in Georgia was completed, as well as the project on disposal of 410 tonnes of *mélange* in Kazakhstan. Projects continued to be implemented in Albania, Bosnia and Herzegovina, Moldova, Montenegro, Serbia and Ukraine. New projects were started in Belarus, Bosnia and Herzegovina, Kyrgyzstan and Ukraine. The feasibility studies and preliminary activities were started on the disposal of rocket fuel components in Belarus, Bulgaria and Kyrgyzstan.

On the one hand, this highlights the OSCE's credibility in helping participating States with their SCA problems, however, on the other, it also raises expectations that the OSCE is capable of delivering the same or a higher level of technical and financial support in the future.

In 2013, there was a decrease in donor funding available for SCA projects, as compared to the previous year. During the reporting period, participating States pledged EUR 1,145,900 for projects relating to conventional ammunition, compared to EUR 1.889,804 in 2012.

The *mélange* disposal in Ukraine and Bulgaria alone attracted EUR 9,864,000 in 2013, accounting for a substantial share of the total amount of donor contributions. Unfortunately, there are other projects in need of donor funding:

- The project on chemicals disposal in Albania, a project to build a new storage site in Moldova;
- Security upgrade of the ammunition storage sites in Bosnia and Herzegovina;
- Ammunition destruction and storage-site upgrade in Montenegro (MONDEM);
- The project on increasing ERW clean-up capacity in Ukraine.

Projects on demilitarization or safe storage of ammunition and weapons are among the tangible and visible successful endeavours of the OSCE's work.

They achieve results that are well measurable and understandable and carry a very good public relations value and, therefore, are of great importance to the Organization.

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



FSC CHAIRPERSON'S PROGRESS REPORT

EFFORTS TO SUPPORT IMPLEMENTATION OF UNITED NATIONS SECURITY COUNCIL RESOLUTION 1540 (2004) IN THE OSCE REGION



December 2013, Kyiv

Original: ENGLISH

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1. Introduction and objective

This report provides an overview of efforts undertaken in the OSCE in the field of non-proliferation. In particular, it addresses the OSCE's efforts in facilitation of regional implementation of United Nations Security Council resolution (UNSCR) 1540 (2004) and draws on discussions and reports of national progress presented in the Forum for Security Co-operation (FSC).

The report covers the period until November 2013²².

2. Mandate

In 2004, the United Nations Security Council adopted resolution 1540 (2004) on non-proliferation of weapons of mass destruction and their means of delivery, which aims at prevention of non-State actors from acquiring and possessing weapons of mass destruction. The participating States of the OSCE, recalling their commitments in this regard, in particular the OSCE Principles Governing Non-Proliferation adopted in 1994, decided to call upon all the participating States to fully implement UNSCR 1540 by adopting a decision supporting its effective implementation (FSC.DEC/7/05/Corr.1). The participating States are currently negotiating an update of the 1994 Principles Governing Non-Proliferation.

The OSCE agreed to contribute as appropriate and in co-ordination with the relevant United Nations forum, based on the OSCE concept of comprehensive and co-operative

security and the Organization's mandate as a regional organization under Chapter VIII of the UN Charter.

At the Seventeenth Meeting of the Ministerial Council in Athens, a Ministerial Council Decision was adopted on furthering the OSCE's efforts to address transnational threats and challenges to security and stability (MC.DEC/2/09).

The Forum for Security and Co-operation (FSC), in accordance with its mandate, is to facilitate, where appropriate, the fulfilment by the OSCE participating States of the provisions of UNSCR 1540 (2004) (MC.DEC/16/09).

By adopting the Ministerial Declaration on Non-Proliferation, the participating States have also pledged to facilitate implementation of UNSCR 1540 by the provision of effective assistance to those States that require it (MC.DOC/5/09).

In the Astana Commemorative Declaration: "Towards a Security Community", adopted in 2010, the Heads of States or Governments of the OSCE participating States referred to the proliferation of weapons of mass destruction as an emerging transnational threat, which can originate within or outside the OSCE region (SUM.DOC/1/10/Corr.1).

The participating States of the OSCE have expressed their commitment to explore ways to update the OSCE Principles Governing Non-Proliferation of 1994, as well as to support the on-going activities designed to assist in the implementation of UNSCR 1540 by, inter alia, maintaining the information-sharing on national progress and lessons learnt in this regard, as stated

²² The deadline for submitting input for this report was 15 November 2013.

in Vilnius Ministerial Council Decision No. 7/11 on “Issues Relevant to the Forum for Security Co-operation” (MC.DEC/7/11/Corr.1).

Within the framework of the Vilnius Ministerial Council Decision No 8/11 (MC.DEC/8/11), the FSC is tasked to continue to identify, and strengthen, when and as appropriate, specific forms of the OSCE’s contribution to assist participating States, at their request, in the further implementation of UNSCR 1540, in close co-ordination with the 1540 Committee, with the view to complementing its efforts.

UNSCR 1977 (2011) encourages States to prepare, on a voluntary basis, their national implementation action plans and urges States and relevant international, regional and sub-regional organizations to provide assistance as appropriate. It also extended the mandate of resolution 1540 for a period of ten years until 2021.

3. Efforts by the FSC

3.1 Decision on Points of Contact on UNSCR 1540 (2004) and its implementation

On 14 December 2011, the FSC adopted a decision on “Points of Contact on UN Security Council resolution 1540” (FSC.DEC/19/11), thus establishing a complementary and voluntary directory of national and OSCE Points of Contact with the purpose to facilitate information-sharing, promoting best practices as well as strengthening relevant international information exchange networks (where appropriate), between participating States on issues related to the national implementation of UNSCR 1540.

The decision is also seeking to enhance capacity-building and to synchronize any non-proliferation activities in order to prevent duplication of efforts, including by third parties.

To date, 47 participating States have provided detailed information to the OSCE on their national Point of Contact on UNSCR 1540.

In accordance with FSC decision 19/11, the Conflict Prevention Centre (CPC) has been appointed to act as the OSCE’s Focal Point on UNSCR 1540, and the network of Points of Contact was shared with the 1540 Committee, with the aim to become an integral part of the global 1540 network. This was acknowledged by the 1540 Committee Chairperson during a Joint Briefing to the Security Council of the three Committees (1267/1989, 1373, 1540) on 10 May 2012.

In addition, the network has been active in sharing non-proliferation related materials, as well as information about a number of events organized by the OSCE/CPC.

In the first quarter of 2014, a meeting with all the National Focal Points on UNSCR 1540 is planned to be held in Vienna, Austria with financial support of Switzerland.

3.2 CPC Annual Work Plan for 2013 in Support of Regional Implementation of UNSCR 1540

In its third year, the CPC led extra-budgetary project on “Support of Regional Implementation of the UNSCR 1540” has moved from awareness raising towards the provision of concrete assistance, such as result-oriented training events and facilitation of assistance to interested participating States in the development

of their National Implementation Action Plans (NAP) on UNSCR 1540. The CPC's "Annual Work Plan for 2013 in Support of Regional Implementation of UNSCR 1540" was designed with a view to assisting interested participating States in building up their national capacities on matters related to the implementation of UNSCR 1540, based on the principles of clear national consent and cooperative effort, as well as on expertise and experience gained by the international community.

It also aims to improve regional co-operation and co-ordination on the implementation of UNSCR 1540 by establishing a strong stakeholders' network through which the co-ordination and promotion of the implementation needs and requirements in respect of UNSCR 1540 are to be carried out.

3.3 Appointment of the FSC Chairperson's Co-ordinator on Non-Proliferation Issues

On 4 July 2012, during the Latvian FSC Chairmanship, the FSC Chairperson's Co-ordinator on Non-Proliferation Issues was appointed (FSC.DEL/86/12).

In accordance with the OSCE Ministerial Council Decisions No. 07/11 and 08/11, the FSC was specifically tasked to:

(a) Explore ways to update the OSCE Principles Governing Non-Proliferation of 1994;

(b) Support the on-going activities designed to assist the implementation of UNSCR 1540 by, inter alia, maintaining the information-sharing on national progress and lessons learned in this regard;

(c) Continue to identify, and strengthen, when and as appropriate, the OSCE's contribution to assisting participating States, in the further implementation of UNSCR 1540.

The FSC Chairperson's Co-ordinator on Non-Proliferation Issues was mandated to assist the FSC Chairmanships in implementation of these tasks as well as to consult with the delegations, the OSCE Secretariat, institutions and other organizations on the best way to facilitate the implementation.

3.4 Security Dialogues of the FSC

The Forum for Security Co-operation (FSC) is one of the OSCE's two main decision-making bodies. On 15 May 2013, the FSC held a Security Dialogue on the implementation of UNSCR 1540 within the OSCE region, with a presentation on "Strengthening further the implementation of UNSCR 1540 and the role of regional organizations" by H.E. Ambassador Kim Sook, Chair of the United Nations Security Council Committee established pursuant to resolution 1540 (2004).

The 1540 Committee recognized the valuable contribution that the OSCE makes to the cause of non-proliferation and, in particular, to the implementation of Security Council resolution 1540 (2004), which indeed is a matter of common, cooperative and indivisible security as sought by the OSCE.

The Chair has also commended the Memorandum of Understanding on joint implementation of projects on non-proliferation of weapons of mass destruction (WMD) between the Conflict Prevention Centre of the

OSCE and the UN Office for Disarmament Affairs (UNODA) concluded in 2011. This statement was echoed by a number of delegations, and as referred to by the EU, the Memorandum of Understanding can serve as a particularly useful tool in assisting participating States in implementation of projects on non-proliferation of weapons of mass destruction (WMD).

The statement of the 1540 Committee Chair was well received by the Vienna-based delegations and was followed by a full discussion, in particular regarding the role of regional organizations with respect to the implementation of resolution 1540 (2004).

Furthermore, a number of delegations have commended the activities of the OSCE executive structures, conducted in accordance with Ministerial Council Decision No. 8/11 on “the Proper role of the OSCE in facilitation of UNSCR 1540”.

4. Proposals and initiatives

A number of specific proposals and initiatives have been presented and discussed in the FSC working framework in 2013, including:

- Discussions on drafting further chapters of the Best Practice Guide on UNSCR 1540;
- Proposal to update the 1994 OSCE Principles Governing Non-Proliferation (FSC.DEL/99/13/Rev.3);
- Practical assistance to participating States, at their request, including provision of assistance for the development of national action plans/strategies and national legislation;

- Targeted awareness-raising and training programmes.

Discussions aimed at reaching consensus on relevant proposals are ongoing.

5. Practical assistance

5.1 Overview

Assisting the OSCE participating States in comprehensive implementation of UNSCR 1540, while recognizing the need to enhance co-ordination of efforts at the national, sub-regional, regional and international levels, has been an essential part of the efforts of the FSC during the reporting period.

Since the 2011 OSCE Workshop “To Identify the Proper Role of the OSCE in Facilitation of United Nations Security Council Resolution 1540”, the OSCE has received more than a dozen requests for assistance in developing NAPs or strategies to tackle proliferation of weapons of mass destruction and their means of delivery.

In particular, NAPs and/or strategic planning documents for Belarus, Kyrgyzstan and Serbia have been finalized and adopted by the respective governmental structures, with the assistance of the OSCE executive structures and in close co-operation with the 1540 Committee Experts and the United Nations Office for Disarmament Affairs (UNODA).

It is now proposed that the issues relevant to implementation of UNSCR 1540 should be addressed in a comprehensive and co-ordinated manner through a country-specific dialogue, involving all the interested

national authorities of a participating State and representatives of the 1540 Committee through its 1540 Experts, relevant international organizations and NGOs dealing with various aspects of implementation of UNSCR 1540.

The OSCE facilitates the organization and conduct of these activities (see Attachment A).

In particular, on-going country-specific dialogues with Armenia, Bosnia and Herzegovina, Kazakhstan, the former Yugoslav Republic of Macedonia, Moldova, Montenegro, Tajikistan, and Uzbekistan, as well as the initial talks with Albania, Georgia and Ukraine, which *inter alia* include assistance with development of an NAP on UNSCR 1540 implementation, can be seen as concrete examples of assistance provided by the OSCE to its interested participating States in the field of non-proliferation.

To this end, within the framework of the country-specific dialogues and NAPs adopted, a number of participating States have requested trainings and capacity-building for customs and border officials as well as law enforcement agencies and policy makers. In particular, the training is to be focused on identification of chemical, biological, radiological and nuclear materials. In response, the OSCE/CPC, in co-operation with the EU Outreach Export Controls for Dual Use Goods, the U.S. Department of Energy and the RACVIAC Centre for Security Co-operation held a first Commodity identification training course for South-Eastern Europe, in July 2013.

Such training curriculums will be offered to other OSCE regions throughout 2014.

5.2 OSCE's support to national implementation of UNSCR 1540

5.2.1 Armenia

In a letter to the OSCE, dated 12 February 2013, the Deputy Foreign Minister of Armenia expressed Armenia's intent to "elaborate and adopt a National Action Plan for more comprehensive implementation of the Resolution [1540]" and requested technical and financial assistance in this regard.

In a statement by the Republic of Armenia delivered at the "International Conference on Nuclear Security: Enhancing Global Efforts" held in Vienna, from 1 to 5 July 2013, by H.E. Mr. Arman Kirakossian, Ambassador and Permanent Representative, it was pointed out that "UNSCR 1540 remains a key international instrument in the export control and WMD counter-proliferation sphere.

In order to further improve and enhance its implementation record, the Government has recently initiated drafting of a National Action Plan in cooperation with the OSCE".

As a result, the OSCE executive structures, together with the 1540 Committee Expert attended a "National Round Table meeting with the Republic of Armenia on the development of National a Action Plan for the implementation of UNSC resolution 1540", in Yerevan, Armenia from 23 to 26 September 2013.

Since the Government of Armenia aims to develop a strategic and overarching approach to its Chemical, Biological, Radiological and Nuclear (CBRN) policies by preparing an NAP on resolution 1540 with inclusion of an all-hazards CBRN policy in order to anticipate and respond to these risks, in

accordance with the EU CBRN Centres of Excellence (COE) Initiative, representatives of the United Nations Interregional Crime and Justice Research Institute (UNICRI), as an implementing agency for the EU CBRN Centres of Excellence Initiative, also attended the meeting.

5.2.2 Belarus

In 2012, as a follow-up to the joint FSC-PC meeting on non-proliferation that took place in July 2011 and the expert consultations held in Minsk in October 2011, Belarus has been developing a national framework document on non-proliferation of weapons of mass destruction, with assistance provided by the OSCE/CPC, the 1540 Committee Expert and UNODA.

During the second stage, in March 2012, a one-week consultative/drafting session was held in Vienna with various Belarusian authorities, the OSCE/CPC, the 1540 Committee Expert, and representatives from UNODA, and VERTIC. The National Framework Document of the Republic of Belarus on additional measures to implement UN Security Council resolution 1540 was finalized at this meeting.

In June 2012, the Inter-Agency Commission on Military-Technical Co-operation and Export Controls under the Security Council of the Republic of Belarus approved the National Framework Document (the "road map") and this final document was presented by the representative of the Ministry of Foreign Affairs of Belarus to all the participating States during the Security Dialogue of the FSC plenary meeting devoted to implementation of UNSCR 1540 in July 2012.

Throughout 2013, Belarus has been implementing the national framework document. The national legislation in the export control and bio-security areas is being reviewed and amended, where necessary. The short-term export control courses for the representatives of the industry have been introduced on the regular basis.

On January 1, 2013, Belarus created a single permit for the cross-border transport of goods, including biological materials and pathogenic micro-organisms, whose cross-border trafficking is restricted. This form was developed pursuant to a decision taken by the Eurasian Economic Commission and is in use in the territory of the member states of the Customs Union.

The Republican Scientific and Practical Centre for Epidemiology and Microbiology of the Ministry of Health has been nominated as the national contact point for the implementation of the Biological and Toxin Weapons Convention.

5.2.3 Bosnia and Herzegovina

Bosnia and Herzegovina expressed an interest in updating its national legislation in line with the UNSCR 1540 obligations and engaged in informal consultations with the OSCE. During the Security Dialogue of the FSC Plenary meeting devoted to the implementation of UNSCR 1540 on 4 July 2012, a representative of the Ministry of Foreign Affairs of Bosnia and Herzegovina further reiterated his country's willingness to develop an NAP on implementation of UNSCR 1540 with the assistance of the OSCE, the 1540 Committee and UNODA.

The OSCE executive structures have supported the work of an informal working group for preparation of an

NAP on UNSCR 1540. The group, which is chaired by the Ministry of Foreign Affairs, has also revised Bosnia and Herzegovina's national report submitted to the 1540 Committee.

In February 2013, the CBRN co-ordination body of Bosnia and Herzegovina held its second meeting in Sarajevo, with the Serbian CBRN Co-ordinator presenting best practices on establishment of such a body within Serbia. The co-ordination body on CBRN is chaired by the Border Police. Representatives of the OSCE executive structures attended the meeting, in order to consider a possible co-operation between the two working groups – 1540 and CBRN.

In April 2013, an “Expert meeting on Bosnia and Herzegovina's National Implementation Action Plan” took place in Vienna, Austria, in which representatives from the Government of Bosnia and Herzegovina, the OSCE executive structures, UNODA and the 1540 Committee Experts collaborated.

5.2.4 Kyrgyzstan

Following a country-specific dialogue with Kyrgyzstan, in particular the national round-table meeting, which took place in Bishkek in December 2011, and the subsequent drafting/consultative meeting in Vienna in March 2012, Kyrgyzstan, with the assistance of the OSCE executive structures, the 1540 Committee Expert, UNODA, IAEA and VERTIC, developed an “Action Plan of the Kyrgyz Republic on Implementation of Security Council Resolution 1540 (2004)”. The plan was adopted by the Government in April 2013.

The Action Plan of Kyrgyzstan includes a number of measures reques-

ting international assistance, and in line with the 1540 Committee's role of a match-maker in this process, the country has already received offers of assistance from registered 1540 assistance providers.

In addition, in November 2013, the Kyrgyz authorities have requested assistance from OSCE and UNODA, in implementation of measures of the National Action Plan, in particular with editing and translating of control lists.

5.2.5 Moldova

In September 2011, Moldova requested assistance from the OSCE in strengthening its national capacities in line with the obligations arising from resolution 1540, on preventing the proliferation of weapons of mass destruction and defending against CBRN (chemical, biological, radiological and nuclear materials) threats.

In March 2012, the OSCE executive structures, jointly with the German Federal Office of Economics and Export Control (BAFA) acting on behalf of the EU, and in co-operation with the 1540 Committee and UNODA, initiated a country-specific dialogue with Moldova, in particular, also reviewing national export-control legislation for both dual-use and military goods.

As an outcome of this co-operation, in January 2013, with the support of the Moldovan Ministry of Foreign Affairs and European Integration, the parties presented the EU Experts' recommendations for the update of the Moldovan export-control legislation on dual-use and military goods to the relevant ministries and representatives of parliament.

Moldova has also further reaffirmed the country's intention to develop a comprehensive national implementation action plan on UNSCR 1540, as well as to host a country visit early next year.

5.2.6 Montenegro

Montenegro expressed its interest in updating its national legislation in line with the UNSCR 1540 obligations, and in October 2012, at the invitation of the Government of Montenegro, a national round-table meeting to discuss the implementation of UNSCR 1540 was held in Podgorica.

The meeting was attended by 16 representatives from various ministries, the OSCE executive structures, a 1540 Committee Expert as well as by a re-representative from the European Union Delegation to Montenegro.

In October 2013, as a direct follow-up, a "Consultation meeting on National Implementation Action Plan on UNSCR 1540 of Montenegro" took place in Vienna, and was attended by the representatives of the OSCE Conflict Prevention Centre, the 1540 Committee Expert, and representatives of UNODA, UNICRI, as an implementing agency for the EU CBRN Centres of Excellence Initiative and VERTIC. The aim of the Government is to develop its plan by the end of the year.

5.2.7 Serbia

Following the collective efforts carried out to date by the Serbian authorities, the OSCE executive structures, the 1540 Committee and its Group of Experts and UNODA, the Serbian "National Action Plan for the Implementation of the UN Security Council Resolution 1540 on the Non-Proliferation of Weapons of Mass

Destruction and Their Means of Delivery (2012-2016)", was drafted and subsequently adopted by the Government on 19 April 2012. A representative of the Serbian Ministry of Foreign Affairs distributed and presented the national document (FSC.EMI/252/12) during the FSC Plenary meeting devoted to UNSCR 1540 on 4 July 2012.

The OSCE executive structures, together with the 1540 Committee and its Group of Experts and UNODA have assisted the Government of Serbia, at its request, with sharing of Serbian effective practices in the implementation of resolution 1540 and particularly in the development of the country's NAP, with countries in the region, inter alia by organizing a regional "Workshop on the Implementation of UNSC Resolution 1540 (2004)", which took place in Belgrade, Serbia, in May 2013.

5.2.8 Tajikistan

Following another request to organize a national round-table meeting on the implementation of UNSCR 1540, the OSCE executive structures, the 1540 Committee Expert and UNODA coordinated a country-specific dialogue in October 2012 in Dushanbe, with the relevant national authorities, in order to review the national implementation of UNSCR 1540, in the competency of a newly established national working group. The draft NAP has been drafted by the working group, and it is planned to hold follow-up consultative sessions with the relevant Tajik authorities in Vienna early next year.

5.2.9 The former Yugoslav Republic of Macedonia

In the opening statement of the former Yugoslav Republic of Macedonia's Chairmanship of the OSCE Forum for Security Co-operation, the

Government expressed its readiness to develop a “National Action Plan for implementation of UNSCR 1540” in co-operation with partners from the OSCE executive structures and the United Nations.

Subsequently, in October 2012, a representative of the former Yugoslav Republic of Macedonia delivered a statement at an FSC Plenary meeting, outlining the country’s national commitments and priorities undertaken to ensure compliance with international and regional standards facilitating consistent implementation of UNSCR 1540. The role of the OSCE/CPC, the 1540 Committee and its Group of Experts, UNODA and VERTIC in promoting national implementation of resolution 1540 during a national round-table meeting held in Skopje in June 2012 was acknowledged by the national representative during the Security Dialogue.

In order to review a draft NAP prepared by the authorities, a “Consultation meeting on the National Implementation Action Plan on UNSCR 1540” was held in Vienna in October 2013, with the relevant national authorities, attended also by the 1540 Committee Expert, UNODA, UNICRI, as an implementing agency for the EU CBRN Centres of Excellence Initiative and VERTIC. The aim of the Government is to develop their plan by the end of the year.

5.2.10 Uzbekistan

The Government of Uzbekistan expressed its interest in conducting a joint meeting of a national working group with the OSCE executive structures and the United Nations, in order to review its existing national

legislation in the context of the UNSCR 1540 obligations.

At the invitation of the Government of Uzbekistan, a national round-table meeting on the implementation of the UNSCR 1540 took place in Tashkent in May 2012, with a statement of the intention to draft the Uzbek NAP on implementation of resolution 1540 in the course of 2013.

As a follow-up to the first national round-table meeting on the implementation of UNSCR 1540 in May 2012, an inter-agency group was established.

Since then, throughout 2013, the group has held several meetings for the purpose of developing the Nation Action Plan on the implementation of UNSCR 1540, supported by the OSCE executive structures, the 1540 Committee and its Group of Experts, and UNODA.

By October 2013, a draft NAP has been prepared by the Uzbek authorities, and a consultation meeting on the draft is planned to be held in Vienna, in the first quarter of 2014.

5.2.11 National Round Tables

National round tables have proved to be a beneficial platform for launching a country-specific dialogue in which government authorities, with the assistance of the OSCE and relevant international experts, in close co-operation with the 1540 Committee and its Group of Experts and UNODA, can discuss the countries’ national priorities as well as the current level of implementation of resolution 1540, and create a solid basis for further co-operation and result-oriented action, possibly through National Implementation Action Plans.

5.3 Implementation of the Memorandum of Understanding between the OSCE and UNODA

In line with UN Security Council Resolution 1540, and recognizing the need to enhance co-ordination of efforts at the national, sub-regional, regional and international levels, the OSCE has developed a general framework for technical co-operation with the United Nations Office for Disarmament Affairs (UNODA). In October 2011, a Memorandum of Understanding on “Joint Implementation of Projects on Non-Proliferation of Weapons of Mass Destruction and Their Means of Delivery, in Response to OSCE Participating States’ Requests” was signed by both parties with the goal of enhancing the capacities of both organizations in facilitation of implementation of resolution 1540.

The Memorandum of Understanding has now been further extended for another two years, until October 2015.

The OSCE and UNODA co-operate and co-ordinate their efforts to assist the OSCE participating States (upon request) in the development of their legislative framework and technical capabilities.

These collaborative efforts, in close cooperation with the 1540 Committee and its Group of Experts, have led to the holding of a number of successful national round tables, continued country-specific dialogues, and the adoption of three National Action Plans and/or Strategies (Belarus, Kyrgyzstan and Serbia). All three NAPs can be found on the 1540 Committee’s website.

In addition, regional awareness-raising workshops and tailored training events, jointly organized by both

organizations, have been held throughout the year.

5.4 Regional Workshop on the Implementation of UNSC Resolution 1540 (2004), Minsk, Belarus

The Workshop was organized by the Executive Committee of the Commonwealth of Independent States with support of the Conflict Prevention Centre of the OSCE Secretariat and the United Nations Office for Disarmament Affairs, as well as in co-operation with the Government of the Republic of Belarus, from 15 to 17 January 2013, in Minsk, Belarus.

The event was attended by representatives of all 11 CIS States from relevant ministries, border and customs authorities of the countries, the CIS Executive Committee, the Coordination Service of the Council of Commanders of Border Troops, the Anti-Terrorism Center, the Committee of Heads of Law Enforcement Units of the Council of Heads of Customs Services of the CIS countries, as well as experts from a number of international organizations. Designed for policy-makers and practitioners, the Workshop encouraged experience-sharing in the specified areas first and foremost amongst the participating CIS Member States.

The Workshop agenda, based on the proposals submitted by the Commonwealth of Independent States (CIS) Member States to the CIS Executive Committee, proved to be the right approach with over 40 presentations delivered by participants and lively discussion on the implementation of specific provisions of the Resolution, as well as on measures to improve the coordination and exchange information between the

relevant authorities of the CIS countries.

The participants worked out and agreed upon informal follow-up recommendations, which were distributed by the delegation of Belarus to all the OSCE participating States (see Attachment B²³).

The OSCE Conflict Prevention Centre together with the 1540 Committee Expert and UNODA also held consultations with the Deputy Chairman of the Executive Committee/CIS Executive Secretary and the heads of relevant departments. The parties appreciated the event, noting its very successful and practical outcomes. The meeting also noted the importance of the further development of co-operation between the 1540 Committee and its Group of Experts, the OSCE Secretariat and the CIS Executive Committee on support of the Resolution's implementation.

5.5 Regional Workshop on the Implementation of UNSC Resolution 1540 (2004) in Belgrade, Republic of Serbia

The Workshop was organized by the Republic of Serbia with support of the Conflict Prevention Centre of the OSCE Secretariat and the United Nations Office for Disarmament Affairs, from 9 to 10 May 2013 in Belgrade.

The objective of the Workshop was to exchange national experiences and effective practices in the area of practical implementation of the Resolution and thus promote further capacity-building for implementation of specific provisions of UNSC

resolution 1540 (2004) at the national and, where appropriate, regional levels. The Workshop was built upon the outcomes of a regional workshop on resolution 1540 held in Croatia in 2010.

Designed for policy makers from relevant ministries, as well as officials from most relevant agencies from the countries of the region, the Workshop encouraged experience-sharing in the specified areas. Pertinent information on experience and lessons learned was also shared.

The deliberations during the working sessions also helped to identify and compile informal recommendations on further measures and activities that could be undertaken by the countries of the region and/or international or regional organizations in response to specific national and, where appropriate, regional needs (see Attachment C²⁴).

5.6 Regional Commodity Identification Training

All the participating States of the OSCE engage in legitimate trade transactions involving the movement of conventional weapons and dual-use goods. Under the requirements of UNSCR 1540, nations must establish, develop, review and maintain appropriate effective national export and trans-shipment controls over such items.

As an integral part of the implementation of such measures, effective information-sharing needs to be in place among the multiple agencies of the Government that are responsible for the implementation.

²³ Original document is available under SEC.DEL/19/13

²⁴ Original text is available under FSC.DEL/74/13/Corr.1

The OSCE therefore organized a series of four regional workshops from October 2011 to October 2012 for licensing officers and customs agencies for the regions of South-Eastern Europe, Central Asia, Eastern Europe and the Caucasus, as well as the OSCE Mediterranean Partners for Co-operation.

The workshops brought together over 100 national representatives from 27 countries. Experts from a number of international organizations and academia also took part in the workshops.

Based on the assessment of the series of workshops and the evaluation of the feedback provided by the participants, the OSCE Conflict Prevention Centre and the Transnational Threats Department held a follow-up training event focusing on the commodity identification of dual-use and military

goods, in a similar setting that aimed to further promote co-operation and information-sharing among the licensing authorities and customs agencies.

The training was organized by the OSCE Secretariat (Conflict Prevention Centre/FSC Support Section and Transnational Threats Department / Borders Unit), together with the EU Outreach Export Controls for Dual-Use Goods, the U.S. Department of Energy and the RACVIAC Centre for Security Cooperation, and was held in Zagreb, Croatia from 16 to 18 July 2013.

The event provided hands-on training for the physical identification of goods

subject to strategic controls, as well as the identification of controlled items for export based on their export documentation. The experts included government officials, industry experts, representatives of academia and independent consultants working in the field of strategic trade and related commodities.

Similar training activities are planned for other OSCE regions throughout 2014.

5.7 Workshop on “Assessment of Implementation and the Role of United Nations Security Council Resolution 1540 (2004) in Achieving the Aims of Non-Proliferation and Disarmament”

On 5 and 6 November 2013, the Government of Ukraine, in co-operation with the OSCE Conflict Prevention Centre and UNODA, held a Workshop for all the OSCE participating States as well as the OSCE Mediterranean and Asian Partners, on “Assessment of Implementation and the Role of United Nations Security Council Resolution 1540 (2004) in Achieving the Aims of Non-Proliferation and Disarmament”. The event took place in Kyiv, Ukraine.

The event was attended by 33 States, including 5 Partners for Co-operation, and resulted in a number of political as well as technical statements and presentations. The Ukrainian Chairmanship has also issued a consensus “Chair’s summary of the proceedings and outcome of the Workshop on Assessment of Implementation and the Role of the United Nations Security Council Resolution 1540 (2004) in Achieving the Aims of Non-Proliferation and

Disarmament” (see Attachment D²⁵).

6. Co-operation and co-ordination

6.1 Round-Table Meeting on UNSCR 1540 Co-ordination Needs and Practices

On 20 and 21 February 2012, a Round Table Meeting on UNSCR 1540 Co-ordination Needs and Practices was organized at the initiative of three 1540 Co-ordinators (OSCE, the Central American Integration System (SICA) and the Caribbean Community (CARICOM)). The event, supported by the 1540 Committee and UNODA, provided a unique opportunity for relevant staff/experts from a number of international and regional organizations to exchange views on facilitation of implementation of UNSCR 1540.

The goal was to avoid duplication of efforts in the field of UNSCR 1540 implementation, by the staff of the international and regional organizations, as well as to identify effective practices in supporting and furthering the 1540 Committee’s efforts by promoting lessons learnt, and to explore the benefits of institutionalizing the function of 1540 co-ordinators (staff level) within regional organizations in connection with global non-proliferation efforts.

Under the lead of the 1540 Committee Expert, participants from 14 international organizations informed each other of their responsibilities, effective practices and the shortfalls experienced when it came to facilitation of implementation of the resolution 1540. Information on

planned activities for the year 2012 was also communicated by all the participants. In order to maximize the use of the current tight financial resources, co-ordination of such activities was encouraged by all.

It is planned to hold such staff-level round-table meetings annually, and the next co-ordination meeting will take place in the first quarter of 2014.

6.2 Co-operation with the United Nations

Decision No 8/11, adopted by the OSCE Ministerial Council Meeting at Vilnius in 2011, with reference to UNSCR 1977 (2011), emphasized the need for the OSCE’s contribution to assist the participating States in further implementation of UNSCR 1540, in close co-ordination with the 1540 Committee, to complement its efforts.

The OSCE was consistent in continuing constructive dialogue and co-operation with the United Nations, specifically with the 1540 Committee and its Group of Experts.

6.2.1 The 1540 Committee and its Group of Experts

With the creation of the four-year extra-budgetary project on “Support of Regional Implementation of the UNSCR 1540” executed by the OSCE Conflict Prevention Centre, a priority was set to create a close working relationship with the 1540 Committee and its Group of Experts.

OSCE/CPC has co-ordinated all of its non-proliferation efforts with the 1540 Committee and its Group of Experts, resulting in a number of successful national round table meetings, country-specific dialogues and developments of NAPs and/or strategies of several interested OSCE participating States.

²⁵ Original text is available under CIO.GAL/162/13.

The 1540 Committee has acknowledged OSCE efforts in the field of implementation of the resolution 1540 in a number of fora.

6.2.2 United Nations Office for Disarmament Affairs (UNODA)

In line with the Memorandum of Understanding concluded in 2011 between the two organizations, and further extended for two more years, the OSCE and UNODA hold regular consultations on various practical issues related to facilitation of implementation of resolution 1540 for the interested OSCE participating States.

In addition, the OSCE and UNODA jointly organized regional outreach, capacity-building and awareness-raising regional events. More concretely, UNODA has contributed to the 2013 Regional Workshops on the Implementation of UNSC Resolution 1540 (2004), in Minsk, Belarus and Belgrade, Serbia, as well as to the

Workshop on “Assessment of the Implementation and the Role of United Nations Security Council Resolution 1540 (2004) in Achieving the Aims of Non-Proliferation and Disarmament” organized by the Government of Ukraine in Kyiv, Ukraine.

Furthermore, the OSCE and UNODA have worked closely in providing assistance to interested OSCE participating States, in particular in the organization of country-specific dialogues, with the aim of developing National Implementation Action Plans.

6.2.3 United Nations Office on Drugs and Crime (UNODC)

The UNODC-OSCE Joint Action Plan for 2011-2012 was agreed upon by the two organizations in September 2011. The parties to this agreement intended to undertake substantive, long-term co-operation also in the area of promotion of implementation of UNSCR 1540.

In April 2013, the parties extended the Joint Action Plan for the period of 2013-2014. The Plan covers the areas of co-operation and co-ordination on specific regional initiatives, including those in the Caucasus, Central Asia, Eastern Europe and South-Eastern Europe; and considers developing partnerships to provide technical assistance to countries, at their request, in complying with the requirements of UN Security Council resolution 1540, on non-proliferation of weapons of mass destruction, among others.

6.2.4 United Nations Interregional Crime and Justice Research Institute (UNICRI)

In May 2012, under the umbrella of the EU CBRN Risk Mitigation Centres of Excellence project, launched as an initiative of the European Union, implemented jointly by the European Commission’s Joint Research Centre and UNICRI, the European Commission and UNICRI held an event in Brussels on “Working with the EU CBRN Risk Mitigation Centre of Excellence”.

During this event, the OSCE/CPC shared effective practices in regional co-ordination as well as a technical assistance mechanism in facilitation of implementation of UNSCR 1540, stressing the need to avoid duplication of efforts among all relevant international players.

Since then, the OSCE Conflict Prevention Centre has established a solid working-level co-operation with the EU CBRN Centres of Excellence Initiative, and in April 2013 held an Expert Meeting between the 1540 Committee and its Group of Experts, the European Union, the United Nations and the OSCE Secretariat with the aim of identifying possible synergies between our activities, and transforming them into concrete actions within the OSCE region.

With this in mind, an “Indicative Mapping study of UNSCR 1540 and CBRN Methodology” was carried out by the OSCE Secretariat, the European Commission’s Joint Research Centre and UNICRI, formulating a first step towards identifying a positive overlap in both methodologies.

The study concluded that following the analysis and the resulting, potential, extensive and practical overlap of the reporting under both resolution 1540 and the CBRN Centres of Excellence methodology, further identification of possibilities for co-ordinated or joint practical activities, at both the national and regional levels, is advisable.

On a practical note, the OSCE Conflict Prevention Centre co-ordinates its assistance to interested participating States with UNICRI, particularly

though their network of CBRN Centres of Excellence Regional Coordinators, and UNICRI representatives have taken an active part in the country-specific dialogues of Armenia, Montenegro and the former Yugoslav Republic of Macedonia.

6.3 Co-operation with international, regional and sub-regional organizations

Since the “Meeting of International, Regional and Sub-regional Organizations on Co-operation in Promoting the Implementation of UNSCR 1540 (2004)” organized by UNODA in Vienna in 2010, and establishment of the four-year extra-budgetary project supporting OSCE participating States in implementation of the Resolution, the OSCE has established all-embracing relations with:

- International Atomic Energy Agency (IAEA);
- Organization for the Prohibition of Chemical Weapons (OPCW);
- Biological Weapons Convention - Implementation Support Unit (BWC-ISU);
- Preparatory Commission for the Comprehensive Nuclear-Test-Ban Treaty Organization (CTBTO);
- European Union (EU);
- Interpol;
- North Atlantic Treaty Organization (NATO);
- Commonwealth of Independent States (CIS);
- German Federal Office of Economics and Export Control (BAFA) – acting as an implementing agent of the EU-funded co-operation programme on dual-use export controls;
- World Health Organization (WHO).

6.3.1 International Atomic Energy Agency (IAEA)

Since the resolution 1540 has been recognized as an integral part of the international legal framework for nuclear security, in facilitating assistance to interested OSCE participating States, OSCE/CPC has been closely co-operating with the IAEA.

In order to avoid duplication of efforts,

The OSCE Secretariat attends the regular Nuclear Security Information Exchange Meetings organized by the IAEA. In addition, both organizations are in close contact, at the request of the interested OSCE participating States, on matters related to development of NAPs.

6.3.2 Organization for the Prohibition of Chemical Weapons (OPCW)

The OSCE Conflict Prevention Centre and OPCW are actively exchanging information on activities related to the implementation of UNSCR 1540. Possibilities for combining efforts on joint projects to address chemical materials as a part of NAPs and/or strategies are being considered.

6.3.3 Biological Weapons Convention -Implementation Support Unit (BWC-ISU)

The Biological Weapons Convention is one of the key components of the international community's effort to address the proliferation of weapons of mass destruction, and OSCE therefore keeps an open channel of communication with the Implementation Support Unit.

Despite the limited number of support staff, the BWC ISU has been involved

in a number of the OSCE's activities on UNSCR 1540 implementation.

6.3.4 Preparatory Commission for the Comprehensive Nuclear-Test-Ban Treaty Organization (CTBTO)

The OSCE Secretariat and CTBTO enjoy a regular exchange of information on matters related to the relevant mandates of both organizations. An example co-operation is the sharing of information on different training and awareness-raising activities, focusing on building and maintaining the necessary capacity

in the technical, legal and political aspects of nuclear non-proliferation.

6.3.5 European Union (EU)

Since the EU Instrument for Stability also directly contributes to the objectives of UNSCR 1540 through its CBRN Centres of Excellence Initiative, and establishment of regional secretariats implementing CBRN national plans within the OSCE region, the OSCE and the EU are currently looking into formalizing their co-operation.

6.3.6 INTERPOL

Chemical, biological, radiological, nuclear and explosive weapons (CBRNE) terrorism poses a threat to public safety, national security and economic and political stability on a global level. Therefore, with the CBRNE Terrorism Prevention Programme, INTERPOL specializes in the prevention of different aspects of CBRNE terrorism.

Since the Programme also actively supports the implementation of resolution 1540, and the resolution is considered as a legal cornerstone of the international mechanism to prevent non-State actors from accessing CBRNE materials, the OSCE/CPC has now established a coordination mechanism with Interpol as well. In particular, the OSCE/CPC presented OSCE's regional approach to the implementation of UNSCR 1540 at the Interpol Course on Chemical and Explosive Terrorism Prevention in Tbilisi, Georgia from 4 to 7 November 2013.

6.3.7 North Atlantic Treaty Organization (NATO)

During the Co-ordination Meeting between the staff of international organizations, representatives of the OSCE/CPC and NATO WMD Non-

Proliferation Centre in February 2012, the importance of information-sharing on matters related to implementation of UNSCR 1540, among others, was further reiterated.

Therefore, NATO has been diligent in inviting the OSCE/CPC to participate in the Annual NATO Conference on WMD arms control, disarmament and non-proliferation. In the 2013 NATO Annual Conference held in Split, Croatia (6-7 May), a representative of the OSCE presented the on-going OSCE activities under the agenda item "Terrorism and WMD proliferation".

6.3.8 Commonwealth of Independent States (CIS)

The OSCE pays close attention to cooperation with the CIS Executive Secretariat and its member States. The CIS's expertise provides an invaluable information resource for the comprehensive implementation of the resolution in the region.

In order to identify and exchange information on the effective practices and national experiences on implementation of resolution 1540 and its relevant elements, a Regional Workshop on the Implementation of UNSC Resolution 1540 (2004), organized by the Executive Committee of the Commonwealth of Independent States, with the support of the Conflict Prevention Centre of the OSCE Secretariat and the United Nations Office for Disarmament Affairs, and in co-operation with the Government of the Republic of Belarus, was held in Minsk, Belarus, from 15 to 17 January 2013.

6.3.9 German Federal Office of Economics and Export Control (BAFA)

The Federal Office of Economics and Export Control (BAFA) is mandated

by the European Union (EU) to implement projects in the realm of export control of dual-use goods. These projects aim at enhancing the effectiveness of export-control systems in respect of dual-use items in partner countries, with a view to reducing the risk of proliferation of weapons of mass destruction and related materials, equipment and technologies.

The OSCE executive structures, jointly with BAFA, have provided assistance to Moldova in updating its export-control legislation on dual-use goods, in order to meet the international requirements. In January 2013, with support of the Moldovan Ministry of Foreign Affairs and European Integration, the parties also presented the EU experts' recommendations for the update of the Moldovan export-control legislation to the relevant Ministries as well as representatives of Parliament.

In addition, BAFA has been actively supporting the OSCE in the series of Regional Workshops on Customs Procedures and Licensing Issuance, as well as in the Regional Commodity Identification Training held within RACVIAC, in Croatia.

6.3.10 World Health Organization (WHO)

In order to prevent or deter the use of biological agents as weapons, implementation of a number of international instruments is needed. The International Health Regulations (IHR) is among these instruments, along with UNSCR 1540 and the Biological Weapons Convention (BWC).

The OSCE recognizes the important role that WHO plays in countering biological threats and has therefore

established a close working partnership with the Organization.

Biosafety and bio-security are vital pillars of both UNSCR 1540 and the IHR, relevant to both public health and security.

WHO has participated in a number of activities organized by the OSCE, including national round-table meetings on the implementation of UNSCR 1540.

6.4 Civil society and academia

6.4.1 VERTIC

VERTIC's National Implementation Measures (NIM) Programme provides legislative assistance to States in the development of laws and regulations for national implementation of UNSCR 1540.

VERTIC has participated in a number of country-specific dialogues organized by the OSCE Conflict Prevention Centre throughout 2012 and 2013, and has been an invaluable partner of the OSCE in assisting interested participating States in facilitation of implementation of a wide range of obligations stemming from resolution 1540.

6.4.2 The Vienna Center for Disarmament and Non-Proliferation (VCDNP)

The VCDNP's mission is to promote international peace and security by providing a platform for independent analysis and dialogue in the field of nuclear disarmament and non-proliferation.

Co-operation between the VCDNP and the OSCE Conflict Prevention Centre has been continuously strengthened through enhanced exchange of

information, and joint participation in events and training courses.

6.4.3 The University of Georgia, Centre for International Trade & Security

The Centre for International Trade and Security endeavours to promote peace and prosperity through the use of research, training and outreach focused on the mitigation of threats posed by the trade in weapons of mass destruction materials and technologies.

The OSCE/CPC has contributed to the *1540 Compass*, a journal of the UNODA and the Centre for International Trade and Security, with an article on "UNSCR 1540 and the Organization for Security and Co-operation in Europe" (Volume 1, Issue 1 - Winter 2012). The Government of Kyrgyzstan in their open letter to the Editor has acknowledged the support of the OSCE in development of their NAP on resolution 1540.

7. Conclusions and recommendations

Since their beginning in 2010, the OSCE activities in support of regional implementation of UNSCR 1540 have

received support from a number of OSCE participating States.

In order to provide comprehensive support to the OSCE States requesting assistance, and to avoid duplication of efforts, the OSCE/CPC created an effective network of partners from other international and regional organizations, as well as academia, and the non-governmental sector.

It was often noted that, in order to tackle a strong network of

proliferators, an equally strong network of non-proliferators needed to be established. The OSCE, through its extra-budgetary project aimed exactly at that, and now, three years on, the network of partner organizations has been strengthened significantly.

As a result of this partnership, in particular the Memorandum of Understanding with UNODA, the interested OSCE participating States have been able to benefit from a comprehensive assistance mechanism, and the OSCE-region has become one of the most active players in this domain.

In particular, the approach to country-specific dialogues and development of national implementation action plans is now considered to constitute an effective practice developed in partnership with the interested OSCE participating States, the 1540 Committee and its Group of Experts and UNODA, which can be further applied even outside of the OSCE region.

In addition, resolution 1977 (2011) encourages international, regional and sub-regional organizations to designate and provide a point of contact or coordinator for the implementation of resolution 1540 (2004), and the OSCE has followed this advice.

In addition, as noted by the 1540 Committee Chair during the FSC Security Dialogue in May 2013, the OSCE has created a Network of Points of Contact encompassing 47 States and has shared it with the 1540 Committee,

a simple measure but an effective tool experts' network inside and outside of the OSCE, not only raises the visibility of the Organization itself, but also

keeps the OSCE at the forefront of the global non-proliferation agenda in facilitating partnering, contacts and information-sharing.

All of these developments, along with the current process of updating the 1994 Principles Governing Non-proliferation, together with the strong

8. Attachments

Attachment A: Overview of participation in events organized by other international organizations

OSCE/CPC participation in UNSCR 1540-related events organized by other international and regional organizations in 2013		
Date	Title	Place
8-10 January 2013	Civil Society Forum in support of Security Council resolution 1540 (2004)	Vienna, Austria
25 January 2013	CBRN National Team meeting	Skopje, the former Yugoslav Republic of Macedonia
18-19 February 2013	CBRN National Working Group meeting	Sarajevo, Bosnia and Herzegovina
17-18 April 2013	Round-Table on WMD Redirection and Dual-Use Expertise/Knowledge Prevention	Kyiv, Ukraine
5-7 May 2013	Annual NATO Conference on WMD Arms Control, Disarmament and Non-Proliferation	Split, Croatia
27-29 May 2013	BWC Regional Workshop for Eastern Europe	Kyiv, Ukraine
27-28 June 2013	International Arab Banking Summit: UN Security Council Resolution 1540 (2004)	Vienna, Austria
9-10 July 2013	EU CBRN Centres of Excellence Regional Secretariat Opening Ceremony and Round Table	Tbilisi, Georgia
19-20 September 2013	Effective Practices of the Implementation of UNSCR 1540	Zagreb, Croatia
22-24 October 2013	G8 Global Partnership Working Group	London, United Kingdom
4-7 November 2013	INTERPOL Chemical and Explosives Terrorism Prevention Course	Tbilisi, Georgia

Attachment B: Regional Workshop on the Implementation of UNSC Resolution 1540 (2004), Belarus

January 15-17, 2013, Minsk, Belarus

Organized by the Executive Committee of Commonwealth of Independent States with support of the Conflict Prevention Centre of the Secretariat of the Organization for Security and Co-operation in Europe, and the United Nations Office for Disarmament Affairs, in co-operation with the Government of the Republic of Belarus

Unofficial recommendations on the outcome of the workshop on the implementation of UNSC Resolution 1540 (2004)

1. Support of the objectives and practices of the implementation of UNSC resolution 1540 (2004).
2. Recognition of the usefulness for the interested CIS Member States of the elaboration on a voluntary basis, on the assumption of proper needs and priorities, of national action plans for the implementation of the resolution.
3. Confirmation of a central role of the UNSC Committee established pursuant to resolution 1540 (2004) in the international efforts to implement the UNSC resolution 1540 (2004) and of the important role of the international and regional organizations, such as the UN, OSCE, CIS, to facilitate the implementation of resolution 1540 (2004) at the national level. Informing the 1540 Committee on steps taken in the implementations of resolution 1540, as well as on planned measures, as it is foreseen by the provisions of the resolution 1540 (2004).
4. Request of interested CIS Member States to the 1540 Committee for assistance in accordance with the existing format of request and the concrete questions posed.
5. Offer by the CIS Executive Committee to study the question of a contact point on resolution 1540 (2004) to further broaden the cooperation with the 1540 Committee, the United Nations Office for Disarmament Affairs, the OSCE Secretariat and other international organizations; participate in the coordination meetings of the Secretariats of relevant international organizations; connect to the special section of the UN web-site for international organizations regarding the resolution 1540 (2004).
6. Willingness of individual CIS Member States to render assistance to their partners in improvement of a legal framework in the sphere of the implementation of resolution 1540 (2004).
7. Building-up of the national capacity and future development of measures in the field of nuclear, chemical and biological security, including through the strengthening of cooperation among experts of CIS Member States.

8. Harmonization of national legislation of the interested CIS Member States in the field of biological security taking into account the existing international norms.
9. Further harmonisation of control lists within CIS with the existing multilateral export control regimes in accordance with their national interests.
10. Coordination of training programs on export controls, radiation control, chemical and biological security, existing within the CIS.
11. Elaboration of common approaches to the issues related to the identification of controlled goods. Strengthening of collaboration through the identification centres in the CIS region.
12. Examination of the issue on elaborating common approaches regarding the return or no return of detained materials with a high background radiation.
13. Organization of seminars on a regular basis and a search for new forms of cooperation and collaboration among the CIS Member States in the areas of the implementation of resolution 1540 (2004).

Attachment C: Regional Workshop on the Implementation of UNSC Resolution 1540 (2004), Republic of Serbia

May 9 and 10, 2013, Belgrade, Republic of Serbia

Organized by the Republic of Serbia with support of the Conflict Prevention Centre of the Secretariat of the Organization for Security and Co-operation in Europe, and the United Nations Office for Disarmament Affairs

Informal Recommendations

1. Express support of the existing objectives and practices of the implementation of UNSC resolution 1540 (2004), on national, regional and international levels.
2. Recognize the usefulness and readiness of the interested SEE States for the elaboration and implementation, on a voluntary basis, of national action plans for the implementation of the Resolution.
3. Express the readiness to further improve cooperation with the UNSC Committee established pursuant to resolution 1540 (2004) in implementing the UNSC resolution 1540 (2004) as well as with other international and regional organizations, such as the UN, OSCE, EU.
4. Continue to inform the 1540 Committee on steps taken in the implementation of resolution 1540, as well as on planned measures, as it is foreseen by the provisions of the Resolution.
5. Consider a possible regional mechanism to further broaden the cooperation among the States in the region with the support of the 1540 Committee, the UN, OSCE, EU and other international and regional organizations.
6. Explore the possibility to establish a regional expert network group on dual-use goods identification in order to provide the efficient expert support for the licensing authority / first line responders, in line with the EU control list.
7. Build national capacities and future development of measures in the field of nuclear, chemical and biological security, including through strengthening of regional cooperation among experts of SEE States in order to achieve universality of the relevant non-proliferation instruments.
8. Intend to further render assistance to neighbours on improvement of legal and enforcement frameworks in the sphere of implementation of the resolution 1540 (2004), taking into account the requests for assistance of interested SEE States, particularly to the 1540 Committee in its role of the clearing house.
9. Plan to coordinate the national activities under UNSCR 1540, including activities envisioned in the National Implementation Action Plans, and the activities of the EU Centres of Excellence CBRN Risk Mitigation Initiative at the national, regional and international levels.
10. Continue co-operation with the view of strengthening and improving of networking, in search of cooperation and collaboration among the SEE States in the areas of implementation of resolution 1540 (2004), including maximising the use of existing international/regional resources.

Attachment D: Chair's summary of the proceedings and outcome of the Workshop on Assessment of Implementation and the Role of the United Nations Security Council Resolution 1540 (2004) in Achieving the Aims of Non-Proliferation and Disarmament (Kyiv, Ukraine, 5-6 November 2013)

Participants of the workshop:

1. Recalled that the UNSC Resolution 1540 reaffirmed that proliferation of nuclear, chemical and biological weapons as well as their means of delivery constitutes a threat to international peace and security and requires all States to refrain from providing any form of support to non-State actors to develop, acquire, manufacture, possess, transport, transfer, or use nuclear, chemical or bio-logical weapons, and their means of delivery;
2. Acknowledged that the resolution 1540 is an international legally binding instrument dealing with the proliferation of weapons of mass destruction and has played a crucial role in global and regional non-proliferation efforts;
3. Acknowledged the central role of the 1540 Committee in coordinating international efforts in the implementation of the Resolution;
4. Noted that the prevention of proliferation of weapons of mass destruction impacts not only on safety and security of States but also protects human population from its negative effects;
5. Noted that international and regional cooperation among States is a crucial step towards achieving the key objectives of resolution 1540;
6. Called for intensification of efforts to develop and strengthen the cooperative interactions among States and building synergies among key stakeholders including relevant international, regional, sub-regional, non-governmental organizations and industry;
7. Supported efforts to promote a wide dissemination of effective 1540 implementation practices in order to facilitate national implementation efforts and international and regional cooperation;
8. Acknowledged with interest the 1540 Peer review between Croatia and Poland as an effective practice in implementation of the resolution 1540 and advocated for other States to make use of this practice, as appropriate;
9. Underlined the need to combat illicit trafficking of WMD-related materials and in this regard supported stringent national export and border control, in particular the need for further consultations and practical events on commodity identification as well as on challenges related to enforcement;
10. Welcomed the forthcoming 10th anniversary of the resolution 1540 and its 2016 Comprehensive Review as important milestones and as opportunities to identify realistic goals for the future;

11. Acknowledged the role of international and regional organizations in resolution 1540 implementation efforts in cooperation with the 1540 Committee, and in line with their respective mandates;
12. Particularly recognized the useful role of the OSCE Conflict Prevention Centre in supporting interested OSCE participating States in elaborating voluntary National Implementation Action Plans for the implementation of the Resolution;
13. Noted the on-going update of the OSCE 1994 Principles Governing Non-proliferation with the hope that the document will be adopted by the OSCE Forum for Security Co-operation prior to the Ministerial Council in Kyiv in 2013 as an important contribution to the global non-proliferation efforts;
14. Expressed their intention to continue close cooperation on 1540 related issues, since more still remains to be done to achieve the objectives of the resolution;
15. Noted that the results of this workshop are a direct contribution to the Canada-ROK Gift Basket on United Nations Security Council Resolution (UNSCR) 1540 (2004) proposed for the Nuclear Security Summit in The Hague, the Netherlands in March 2014;
16. Noted that in 2014 Ukraine will celebrate 20th anniversary of its NPT accession as a non-nuclear State and signing the Budapest Memorandum on security assurances.