GNAP 2.4:

OSCE SALW/SCA approach to national ownership and capacity development

Contents

Foreword

The OSCE Document on Small Arms and Light Weapons (SALW) was adopted on 24 November 2000 and reissued on 20 June 2012 (FSC.DOC/1/00/Rev.1). The OSCE Document on Stockpiles of Conventional Ammunition (SCA) was adopted on 19 November 2003 and reissued on 23 March 2011 (FSC.DOC/1/03/Rev.1).

The two documents set out the OSCE's norms, principles and measures to address the threat posed to the international community by the excessive and destabilising accumulation and uncontrolled spread of SALW and SCA. They describe *inter alia* the assistance mechanism and outline procedures for requesting and providing assistance to meet the requirements of the documents.

Guidance Notes for Assistance Projects (GNAP) provide direction and practical advice on how assistance should be requested, and how assistance projects should be initiated, designed and implemented. They provide examples by drawing on lessons learned from managing the life cycle of OSCE SALW and SCA projects. Although GNAP are aimed primarily at OSCE staff, it is envisaged they will benefit other stakeholders involved in requesting and implementing assistance projects.

The OSCE Conflict Prevention Centre (CPC) Support Section is the custodian of GNAP and will make the latest versions widely available.

Introduction

Traditionally, many OSCE assistance projects for SALW and SCA have addressed problems with a clearly defined end state - such as the destruction of stockpiles of ammunition and volatile rocket fuels, the demilitarisation of white phosphorous ammunition and napalm powder, and the clearance of landmines and other explosive hazards. More recently there has been a shift in emphasis to enhance the capacity of national authorities to regulate, manage and co-ordinate their SALW and SCA programmes, and to build the local capacity of implementing organizations including the military and police.

However, capacity development (CD) is much more than delivering training, or updating technical procedures, or enhancing facilities. It is a continuous process which aims to address institutional change, leadership and empowerment. It requires stakeholders to show commitment and sponsorship of the CD agenda and needs the agenda to be embedded in broader national security priorities and plans.

CD should not be considered as a single SALW/SCA assistance project. Ideally, CD should be preceded by a solid understanding of a State's existing capacity to fulfil its responsibilities (as set out in the OSCE's normative documents) to manage the life cycles of SALW and SCA. This Guidance Note refers to: (i) the functional roles required to manage SALW and SCA as described in GNAP 2.1 and GNAP 2.2; (ii) the need to assess the capabilities required to fulfil the functional roles; and (iii) an assessment of any gaps in capability, before proceeding with developing a CD programme or project.

This Guidance Note describes the principles of CD and emphasises the importance of national ownership in promoting and enabling change. It provides a framework in which individual OSCE assistance projects in CD should be designed, developed and promoted - as described in detail in GNAP 3.1.

OSCE SALW/SCA approach to national ownership and capacity development

1. Scope

This Guidance Note provides direction and advice to stakeholders involved in the planning and implementation of OSCE technical assistance in Small Arms and Light Weapons (SALW) and Stockpiles of Conventional Ammunition (SCA).

Guidance is provided in terms of the principles which apply to all capacity development (CD) programmes and projects in support of SALW and SCA control systems, the constituent parts and institutions, and advice on how the principles should be used by national authorities, organizations and individuals responsible for designing, developing and providing assistance.[1]

2. References

References used in this Guidance Note are listed at Annex A. **Normative** references are those that are prescriptive and are to be followed in order to comply with the requirements of this Guidance Note. **Informative** references are those that are descriptive and aim to help the reader understand the concepts presented in this Guidance Note.

3. Terms, definitions and abbreviations

The words 'shall', 'should' and 'may' are used to indicate the intended degree of compliance. This use is consistent with the language used in ISO standards and guidelines:[2]

a)   'shall' is used to indicate requirements, methods or specifications that are to be applied in order to conform to this Guidance Note;

b)   'should' is used to indicate the preferred requirements, methods and courses of action; and

c)   'may' is used to indicate a possible method or course of action.

OSCE missions, special missions, observer missions, centres, programme offices and presences are referred to collectively as 'OSCE field missions'.

A 'capability' is an ability, feature, faculty or process that can be developed or improved. A capability is a collaborative process in which individual competencies and abilities can be exploited, systems and procedures applied, and assets (including information) used to fulfil a role or conduct a task or activity.

A 'capacity' refers to the collective assets, human resources, systems and processes which an organization currently has and can be used to effectively fulfil a role or conduct tasks and activities.

A glossary of terms used in this Guidance Note is at Annex B.

4. Governing principles of OSCE assistance in SALW and SCA

The OSCE Document on SALW was adopted on 24 November 2000 and reissued on 20 June 2012 (FSC.DOC/1/00/Rev.1). The OSCE Document on SCA was adopted on 19 November 2003 and reissued on 23 March 2011 (FSC.DOC/1/03/Rev.1). The two documents set out the OSCE's norms, principles, measures and **national responsibilities** for addressing the threats to the international community from the excessive and destabilising accumulation and uncontrolled spread of SALW and SCA.

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[1] GNAP 2.1 and 2.2 define 'control systems' as a 'whole-of-government approach' to SALW and SCA control issues.

[2] International Organisation for Standardisation (ISO) is a worldwide federation of national bodies from over 130 countries. Its work results in international agreements which are published as ISO standards and guides.

GNAP 2.1 and GNAP 2.2[3] clarify the national responsibilities in terms of the life cycles of SALW and SCA, and define the **functional roles** required to fulfil these national responsibilities. The functional roles are summarised in Annexes C and D.

To effectively fulfil their responsibilities, pS should review the functional roles and required capabilities in SALW and SCA relevant to their country, assess their **current capacity** (to conduct the functional roles), **identify gaps** in capacity and, where necessary, seek to **develop their capacity** to ensure the functional roles can be fulfilled effectively and safely.

Developing an effective and sustainable national capacity can be organized <u>and</u> the resources provided by national authorities themselves, or pS can seek international assistance. This assistance can include advice and support in assessing the required capabilities and identifying the gaps in capacity, as well as providing practical and/or financial assistance in developing/enhancing the capacities.

Advice and support in identifying gaps and prioritising capacity development can be provided informally by the CPC, OSCE field missions or bilaterally by other pS, or it can be provided formally through an OSCE assistance project.

5.   National ownership

In the context of OSCE projects in SALW and SCA, 'national ownership' refers to the ability of national authorities to regulate, manage and co-ordinate the life cycles of SALW and SCA effectively and efficiently and in a manner consistent with the OSCE's normative documents and Best Practice Guidelines (BPGs) on SALW and SCA. It also refers to the ability of national and local entities such as the military and police to conduct their work effectively, efficiently and safely.

In practice, the operational focus of national ownership for OSCE assistance is on **accountability and control**. Although final authority for the design and implementation of projects and initiatives should rest with pS receiving the assistance who have to live with the outcomes of the assistance project, pS who provide funding, expertise and the normative scaffolding for much international assistance also share responsibility. However, even where there is broad agreement on the overarching goals, there may be different opinions on issues such as prioritisation, timing and the sequencing of CD assistance. While a commitment to national ownership principles implies that final authority should reside with pS requesting assistance, 'donor states' may be unwilling to cede ultimate authority to the beneficiaries of the assistance.

6.   Capacity development – the principles and enablers

CD aims to assist national authorities and local entities to strengthen ownership and acquire the capacity to regulate, manage, co-ordinate and implement SALW and SCA activities <u>more effectively, efficiently and safely</u>, with minimal ongoing outside technical support. In doing so, pS receiving such assistance achieve enhanced national ownership of their SALW and SCA life cycle management. CD:

a)   is a **long-term process**. It should be promoted through a combination of short-term projects as part of a longer programme / agenda for change;

b)   involves **behaviour change** including transition from decision-making to implementation. It emphasises the importance of motivation and sustained national commitment as a driver of change. It cannot be imposed from outside. If national systems are not strong enough, they should be reformed and strengthened, rather than bypassed;

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[3] GNAP 2.2: OSCE approach to the life cycle of SCA is under development.

c)   requires **adaptation to local conditions and contexts** and starts from the specific requirements and performance expectations of the sector or organization it supports. Although general and broad principles exist, there are no detailed 'blueprints' that are applicable to all cases; and

d)   it requires **strong, high-level leadership (governance)** and **significant co-ordination and planning** – a 'master plan' should be developed and agreed by the key stakeholders.

At the political level, the OSCE is well positioned to conduct CD. Its mandate and modus operandi reflect the key principles of co-operation and collaboration that underpin international CD.

At the operational level, the biggest strength of the OSCE lies in its extensive network of field missions, and in their commitments, political support for accomplishing them, transparency and accountability of planning and action. As a result of their long-term physical presence in host countries, OSCE field missions have a deep understanding of local conditions and realities and an extensive network of contacts with state and non-state actors. This makes them well positioned to conduct CD activities, and to assist other OSCE executive structures based outside the host country with the implementation of such initiatives.

CD usually involves programmes conducted over several years, however many donor pS are unable to provide multi-year funding as their budgets are approved on an annual basis. Furthermore, some donor pS require their contributions to be used to fund only activities that take place in the given financial year.

CD demands commitment and involvement of the OSCE executive structure in developing and implementing assistance. The high turnover of the OSCE's staff can be a challenge. CD assistance projects may have more than one project manager over the course of their design, development and implementation. This can undermine long-term planning and continuity. In addition, working and personal relationships with counterparts from the host country cannot be easily transferred to a new project manager.

Unlike projects with a clear and final end state such as the removal and neutralization of Mélange and related toxic propellants, CD projects which involve training should recognise the likely turnover of participants. Indeed, the OSCE Office of Internal Oversight (OIO)'s 2019 report on *Evaluation of Capacity Development and Learning* highlights the challenge of sustainability of OSCE CD projects involving the training of individuals. Where possible, emphasis should be given to developing the capacity of pS to train their own staff through train-the-trainer projects. Suitable training approaches and curricula which are sustainable are addressed in GNAP 4.2.

7.   Components of capability

In reviewing the national capacity to regulate, manage and co-ordinate the life cycles of SALW and SCA, there are eight capability areas to consider:

(a)   <u>Regulatory capabilities</u>. Does the regulatory framework (laws, policies and national standards) of a pS enable it to fully meet its commitments under the OSCE documents on SALW and SCA and other international obligations (such as the UN Programme of Action and the Firearms Protocol)[4] and adequately fulfil the functional roles (as defined in GNAP 2.1 and 2.2)?

(b)   <u>Organizational capabilities</u>. Is the organizational framework (government departments and accredited agencies) adequate to manage and co-ordinate SALW and SCA-related functions and activities?

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[4] The UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All its Aspects (POA) (A/CONF.192/15) and the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition (Firearms Protocol) (A/RES/55/255).

(c) <u>Education/training requirements</u>. Do individuals responsible for the regulation, management, co-ordination and implementation of the functional roles (as defined in GNAP 2.1 and 2.2) have the required knowledge and skills?

(d) <u>Infrastructure and materiel</u>. Is the current infrastructure and materiel sufficient for the effective and safe implementation of the functional roles (as defined in GNAP 2.1 and 2.2)?

(e) <u>Personnel / HR framework</u>. Is there a comprehensive and effective HR framework to enable the right number of suitably qualified staff to be recruited, retained and developed for the effective and safe implementation of the functional roles (as defined in GNAP 2.1 and 2.2).

(f) <u>Financial management</u>. Are allocated national funds sufficient for the effective and safe implementation of the functional roles (as defined in GNAP 2.1 and 2.2)? Are suitable financial management systems in place, including auditing and accountability?

(g) <u>Information management</u>. Is accurate information available in a timely manner to enable the regulation, management, co-ordination and implementation of the functional roles (as defined in GNAP 2.1 and 2.2)?

(h) <u>Security and safety</u>. Are the systems and procedures sufficient for the secure and safe implementation of the functional roles (as defined in GNAP 2.1 and 2.2)?

These eight capability areas provide a 'framework' around which the required and current capabilities can be agreed, gaps in capability can be identified, and CD requirements can be developed on the level of SALW and SCA control systems, its constituent elements and institutions.

It should be recognized that this approach of defining the need, agreeing the current capabilities, and developing a programme of assistance to address any shortfall is <u>unlikely</u> to be achieved in a single project or programme. Initially, there may be a lack of awareness or a reluctance to acknowledge the extent of the current shortfall in capability.

It may be necessary to start with a relatively modest assistance project in order to establish trust between the pS requesting assistance, donor pS, the OSCE field mission and CPC/FSC Secretariat. This initial project can then lead to a fuller understanding of the scale and scope of the shortfall in capabilities.

8.   Scope and form of assistance

The OSCE normative documents on SALW and SCA refer to a broad range of assistance which pS can request and assisting/donor states can provide. Guidance on the OSCE assistance mechanism for SALW and SCA is provided in GNAP 3.1. A summary of the scope and form of assistance is given at Annex E to this GNAP.

9.   CD assistance cycle

Ideally the development of national capacities in SALW and SCA should be managed through a programme of several years. In practice, CD in SALW and SCA is often delivered through extra-budgetary (ExB) projects of a shorter duration. Thus, in preparing and planning CD technical assistance, pS and the CPC must recognise that each project should form part of a longer-term agenda, sometimes referred to as a 'road-map' or 'master plan'.

Like all projects, a CD project has four key sequential activities:

(1) Clarify the problem – what capacity is required, what capacity exists, and what is the capacity shortfall. This involves working closely with the potential beneficiaries of the CD project and should be considered as part of a longer-term agenda;

(2) Prepare a plan for the CD project;

(3)   Implement the CD project, including monitoring progress; and

(4)   Evaluate the effectiveness of the CD project and identify lessons to be learned for related and follow-on CD projects.

From the very beginning of a CD project, priority should be given to engaging with the national 'owners' and potential beneficiaries. CD goes beyond training or technical assistance: it usually requires a qualitative change in processes, attitudes, behaviour and often mindsets. Thus, for any CD project to be successful, there needs to be active support, buy-in and engagement from the national 'owners' and intended beneficiaries.

CD should result in a sustainable capacity. A CD project or activity needs to produce results that are sustainable once the intervention is over - a change in processes, attitudes or behaviour achieved by a CD project should remain in place after external support is removed.

10.   OSCE assistance mechanism – to support a broader agenda for change

GNAP 3.1 provides direction and advice to stakeholders involved in OSCE assistance projects in SALW and SCA. It covers all stages of the assistance mechanism, from requesting assistance through to project completion.

The relationship between the four key stages of a CD project and the OSCE assistance mechanism is shown in Table 1.

OSCE assistance mechanism	Four key stages of a CD project			
	Clarify the problem	Prepare a plan	Implement CD project	Evaluate CD project
1. Request for assistance	■			
2. Consultations about request	■	▨		
3. Expert assessment visit	■	■		
4. Identify operational/ financial implications		■		
5. Produce detailed project proposal & plan		■		
6. Project implementation (including monitoring)			■	▨
7. Project closure & final report				■

Table 1: Alignment of four key stages of a CD project with the OSCE assistance mechanism

10.1   Clarify the problem

Understanding and clarifying the problem – which may lead to a CD assistance project - is a gradual process rather than a single task or activity. It will evolve during the first three stages of the OSCE assistance mechanism: request for assistance, consultations about the request, and the expert assessment visit.

Understanding the problem to be addressed though an ExB-funded assistance project should be seen as part of a broader agenda for change. Ideally, this broader agenda should be described using tools such as a 'Theory of Change' diagram. In this way, the contribution of a proposed ExB-funded

assistance project to the broader agenda can be described, together with external conditions and assumptions for the project's outcomes to be achieved.

In preparing requests for assistance, pS may seek guidance and/or assistance from the CPC/FSC Support Section and/or the OSCE field mission in its country. At this initial stage it is important to understand whether the problem can best be addressed by developing the national capacity or whether to use an external capacity for tasks. Examples of this are the security of buildings and the transportation of ammunition where it might be more efficient to hire contractors with their own vehicles, trained staff and managerial knowledge and skills rather than develop an 'in-house' national capacity.

The scale and form of the problem should be clarified during the expert assessment visit, but it is important to explore the problem during the earlier 'consultations about the request'. This will ensure that experts with appropriate CD skills and knowledge form part of the visit team.

The existing level of capacity (the 'baseline') for each of the eight components of capacity (referred to in Section 7 of this Guidance Note) should be agreed by the key stakeholders.

The degree of CD required can range from: (1) very <u>intensive</u> CD is needed because no existing national capacity exists; through to (2) no ongoing external assistance and advice is needed because a comprehensive national capacity exists.

The relationship between the current level of capacity (the 'baseline') and the required CD effort to address the capacity shortfall is shown in Figure 1.
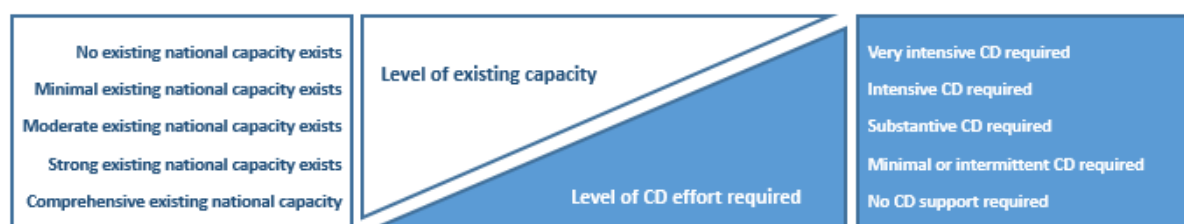

Figure 1: Relationship between CD required and assessed existing capacity

For clarity, it may be necessary to divide the components of capacity into sub-components and assess each sub-component separately. For example, the infrastructure for storing ammunition may be comprehensive but the infrastructure for individual training may be only minimal.

Over time, with enhancements in capacity, the required level of additional CD effort should reduce, unless commitments increase requiring a greater capacity.

With information from the visit report and other sources, and an indication of interest from assisting/donor states, the CPC or OSCE field mission should conduct a formal problem analysis. The problem analysis should explore the stakeholders' needs and expectations, analyse the operational and financial requirements of the stakeholders, and examine the capabilities of existing partners. It should also seek to understand the degree of national will and leadership supporting an agenda for change. Consideration should be given to understanding the ability of the requesting pS to absorb the CD support being requested. Guidance on conducting a problem analysis for OSCE assistance projects in SALW and SCA is provided in GNAP 3.1.

10.2   Prepare a plan

Preparing a plan to address the problem – which may lead to a CD assistance project - is also a gradual process rather than a single task or activity. Some elements of the plan will have been explored during the problem analysis – such as the sequencing of tasks, complexity, cost and risk.

The purpose of this phase is to **prepare a project proposal** for consideration and approval by the Fund Manager. All relevant stakeholders should be consulted during the preparation of the proposal.

Throughout this phase, although much of the focus will be developing a plan for approval by the Fund Manager, it must not be forgotten that the project will be 'owned' by the pS requesting assistance. Any changes to the definition of the problem or the scope, form and timing of the preferred option for addressing the problem <u>must be discussed with the national authorities</u> and other key stakeholders.

10.3   Implement CD project

Project implementation involves four phases and activities: inception/mobilization; execution; monitoring and controlling; and administrative closure and handover of the project to national or local authorities. The activities are addressed in GNAP 3.1.

Project execution requires not only close operational communication and co-ordination between the project's partners, but also strategic-level engagement. Mechanisms such as focal points and the use of liaison officers, project working groups, formal and informal consultations and <u>executive board meetings</u> led by the national authorities of the pS receiving assistance will help facilitate and accelerate project implementation.

Regular joint donor briefings, roundtables and the reporting of national and international stakeholders' efforts contribute to a more efficient and effective use of financial support and other assistance provided by the donor community. They also contribute to higher-level outcomes such as building confidence, security and transparency.

Assistance projects are normally managed by a project manager who reports to the donor(s) as well as the CPC and/or OSCE field mission. However, as the project is 'owned' by the national authorities who have requested assistance, project managers should ensure their management processes and style contribute to the broader intended outcomes of the project such as inter-state co-operation, confidence building and stability.

The existing level of capacity (the 'baseline') should be monitored and adjusted accordingly throughout the implementation of a CD project.

10.4   CD project evaluation

The evaluation of a project is a shared responsibility between the OSCE Secretariat, field missions and pS. Project evaluations should be implemented in consultation with all relevant stakeholders using established OSCE methodology and criteria. The evaluation of OSCE assistance projects is addressed in GNAP 3.1.

Draft evaluation reports should be shared with all key stakeholders to ensure they are 'technically' accurate, the conclusions are appropriate and justified by sound evidence, and the recommendations are politically acceptable and can be implemented.

The results of an evaluation should be shared internally within different structures of the OSCE as well as with the donor community, beneficiaries and other project stakeholders.

As CD projects often form just part of a broader agenda for change, the successful completion of a CD project may be a pre-condition for follow-on CD projects. Evaluation reports should therefore discuss whether this pre-condition has been achieved and/or whether the scope and form of any follow-on project(s) will need to be changed.

For multiyear CD projects, a mid-term evaluation may be required to review progress and to consider whether changes need to be made to the plan and/or its implementation to ensure the project outputs will be achieved effectively and efficiently.

11. Responsibilities

A summary of the responsibilities for OSCE projects managed by the CPC and/or OSCE field missions is addressed in GNAP 3.1. The particular responsibilities in providing CD assistance are as follows:

11.1. OSCE pS requesting assistance

pS requesting CD assistance should be transparent regarding the problem to be solved and how OSCE assistance will contribute to addressing the problem. pS should recognise that addressing the problem may involve **organizational and behaviour change** that will require a strategic and sustained national commitment.

11.2 OSCE pS providing assistance

pS providing financial and/or technical CD assistance should consider providing support over a **long period** and not just to a single CD project;

11.3 OSCE decision-making bodies

OSCE decision-making bodies, in particular the CPC/FSC, are of critical importance regarding SALW and SCA in general and, on receiving assistance requests from the pS, providing guidance and facilitating assistance projects, including CD assistance.

The CPC/FSC Support Section and OSCE field missions can assist the national authorities **develop an agenda for change**, ideally in the form of a theory of change diagram showing the contribution of each CD project to longer-term outcomes, and agree the conditions and assumptions for successfully achieving change.

11.4 OSCE executive structures

The OSCE executive structures, in line with their mandates, have a general responsibility to support pS in the process of identifying and assessing (together with expert team members from other pS) the need for assistance as well as, on confirmation of the needs and consent of all OSCE pS, developing and implementing CD assistance projects in SALW and SCA.

Annex A

References

The following **normative** documents are referred to in the text in such a way that some or all of their content constitutes requirements of this GNAP. For dated references, only the edition cited applies:

a)   OSCE Document on SALW (FSC.DOC/1/00/Rev.1 dated 20 June 2012); and

b)   OSCE Document on SCA (FSC.JOUR/413 dated 19 November 2003).

The following **informative** documents are descriptive and aim to help the reader understand the concepts presented in this GNAP.

a)   Project Management in the OSCE: A Manual for Programme and Project Managers; 2010 OSCE, ISBN: 978-92-9234-301-9. (A revision of this manual is planned by PESU.)

b)   GNAP 1.2: Glossary of terms, definitions and abbreviations. (To be developed)

c)   GNAP 2.1: OSCE approach to the life cycle of SALW.

d)   GNAP 2.2: OSCE approach to the life cycle of SCA. (To be developed)

e)   GNAP 3.1: OSCE Assistance Mechanism for SALW and SCA.

f)   GNAP 4.2: OSCE SALW/SCA training system.

The latest version/edition of these references should be used. The CPC/FSC Support Section holds copies of all references used in this GNAP. pS and other interested bodies, organizations and individual technical experts should obtain copies of the latest version/edition of these references before commencing an OSCE SALW/SCA assistance project.

Annex B
(Informative)
Glossary

Ability

The skill or **competency** of an individual to perform a task. Organizations do not inherently have abilities that can be exploited. Individuals within an organization do.

Activity

An event or some happening. See **task**.

Capability

An ability, feature, faculty or process that can be developed or improved. A capability is a collaborative process in which individual **competencies** and **abilities** can be exploited, systems and procedures applied, and assets (including information) used to conduct a **task** or **activity**.

Capacity

The collective assets, human resources, systems and processes which an organization currently has and can be used to effectively conduct **tasks** and **activities**.

Capacity development

In the context of OSCE assistance projects in SALW and SCA, 'capacity development' is the process by which the national authorities of an OSCE pS enhance their **capacity** to regulate, manage and co-ordinate SALW and SCA.

Competence

The quality or state of being functionally adequate or having sufficient knowledge, strength, skill and attitude to effectively conduct a **task** or **activity**. The term usually applies to individuals rather than organizations.

[Note: the OSCE Competency Model provides a good example of how the core and managerial competencies, and related core values, of the OSCE were identified and how they should be applied in recruitment, performance management, and learning & development.]

National ownership

The ability of national authorities to regulate, manage and co-ordinate SALW and SCA effectively and efficiently, and in a manner consistent with international norms as set out the OSCE's normative documents on SALW and SCA.

Task

A piece of work to be undertaken or done. A task implies work imposed by a person in authority or by circumstance. A task can be said to be any **activity** that is done with a particular purpose**.**

Annex C
(Informative)
OSCE Approach to the life cycle of SALW – functional roles

GNAP 2.1 explains that the life cycle of SALW is implemented through a number of actors fulfilling a wide range of responsibilities and activities. These 'roles' are carried out at various levels by national authorities and implementing entities (such as the police, military, manufacturers, agencies and contractors) in which together provide the SALW control system in each country.

In many cases, the government has full and direct authority for defining the roles and responsibilities through legislation, and for ensuring the responsibilities are properly conducted. In some cases, the responsibility is less direct, for example the role and responsibility of national standards agencies often lies outside of the national government. Regardless of the governance structure in each OSCE pS, national authorities should oversee all government and non-government bodies and agencies involved the life cycle.

For the sake of clarity and conciseness GNAP 2.1 organizes the functional roles into seven groups as follows:

(1) **Policy-making and legislative role**. For example, the development of national policy and strategies, laws on the ownership and safe keeping of weapons, and laws on the national implementation of international obligations such as the UNODC protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition. (Firearms Protocol).

(2) **Regulatory and enforcement role**. For example, providing registration and record-keeping services during different stages of the life cycle of SALW, and carrying out compliance and targeted inspections and verifications.

(3) **Manufacturing roles.** GNAP 2.1 foresees two distinct manufacturing roles, namely: (a) the manufacture of complete SALW, its parts and components; and (b) the disassembly and deactivation of SALW.

(4) **Trader roles.** Roles carried out by public or private entities licensed or authorized to: sell, act as broker, export, import, and provide transit services.

(5) **End user roles.** End users can be the government or local authorities, non-profit and for-profit entities as well as private individuals as 'owners' and 'users' of SALW. GNAP 2.1 provides the following examples of end user roles: analysing and plan; quality management; training; storage; and inventory management and accountability.

(6) **Legal and administrative proceedings roles**. GNAP 2.1 includes the **legal** roles relating to prosecution, the judiciary, penal regime and sanctioning, and correction; and **administrative** roles of administrative agencies and government departments responsible for SALW-related matters; and administrative courts who issue licenses/authorization for the manufacturing and trading of SALW.

(7) **Disposal roles**. Roles for the disposal of SALW including destruction[5], deactivation[6]; and re-export (sale or donation).

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[5] Rendering the weapon both permanently disabled and physically damaged.

[6] Rendering all essential parts of the weapon permanently inoperable and therefore incapable of being removed, replaced or modified in a way that might permit the weapon to be reactivated.

Annex D
(Informative)
OSCE Approach to the life cycle of SCA – functional roles

This Annex will be written in 2021 once GNAP 2.2 (OSCE approach to the life cycle of SCA) is prepared and approved.

Annex E
(Informative)
Scope of OSCE Assistance for SALW and SCA

SALW assistance

Section V of the OSCE Document on SALW states that assistance could include:

(a)   Assistance on the security and management of stockpiles of small arms;

(b)   Assistance with, and possible monitoring of, the reduction and disposal of small arms;

(c)   Advice or mutual assistance to implement and reinforce border controls to reduce illicit trafficking in small arms; and

(d)   Assistance with small arms collection and control programmes.

The OSCE can only take action in response to a specific request for assistance from one or more pS to resolve SALW problems in their respective territories. pS may seek early assistance from SALW expert assessment teams and OSCE field missions, both in <u>assessing the situation</u> and by <u>participating in any subsequent action</u>.

The OSCE Document on SALW requests the CPC to "…. stand ready to provide and co-ordinate expert assistance on SALW issues to the pS directly and/or through the missions when requested."

SCA assistance

Section VI of the OSCE Document on SCA states that assistance could include:

(a)   Collecting information on the needs expressed by the pS as well as on resources for assistance;

(b)   Providing a risk assessment, as well as advice on stockpile management and on destruction;

(c)   Assisting the requesting pS in elaborating a programme for the destruction of surplus stockpiles or enhancement of their management;

(d)   Assisting the requesting pS State in the definition of projects (pre-feasibility stage) by setting up multinational assistance teams of experts designed to make a preliminary assessment of a given situation; and

(e)   Assisting the requesting pS State in the training of personnel involved in the destruction of conventional ammunition, explosive material or detonating devices, as well as in stockpile management and security.

The OSCE Document on SCA states the CPC should have a clearing house function which should include, inter alia, the ability to provide assistance and conduct evaluation missions. Such assistance and missions should be developed in close co-ordination with the requesting pS and can be co-ordinated as appropriate with other (international) organizations or institutions.

Amendment record

Number	Date	Amendment Details
1		
2		
3		
4		