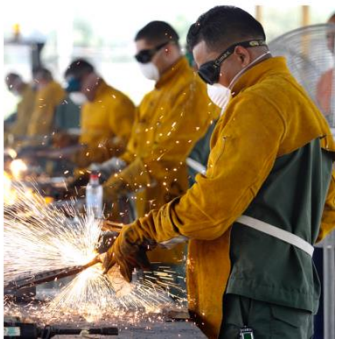

GNAP 02:

OSCE Assistance Mechanism for SALW and SCA

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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 supporting the implementation of the SALW and SCA assistance mechanism, as well as 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

The original OSCE Document on SALW of 2000 referred briefly to the need for assistance in the management of stockpiles and the reduction of surpluses. However, the document provided no guidance on how participating States (pS) should seek or provide financial and/or technical assistance. In 2002, the Forum for Security Co-operation (FSC) adopted[1] an amendment which included a 'standard' approach to assistance for: the security and management of SALW stockpiles; monitoring the reduction and disposal of SALW; and SALW collection and control programmes.

The original 2003 OSCE Document on SCA included a three-page section on the 'scope of assistance and procedures' for destroying surplus ammunition. It also provided model questionnaires and a flow chart illustrating the procedural steps to be taken for requesting and providing practical assistance.[2] When the OSCE Document on SALW was further revised in 2009, it included a description of the assistance mechanism with a flow chart and model questionnaires - which were similar to those used in the OSCE Document on SCA.

A CPC study in 2018 reviewed the procedures for requesting and providing assistance. It concluded that additional guidance for practitioners was needed in designing, implementing and monitoring assistance projects.

The purpose of this Guidance Note is to assist project planners and implementers at all stages of an assistance project, from clarifying the need for assistance through to project completion. It aims to ensure a timely, effective and efficient support in response to a request for assistance from an OSCE pS. It draws on fifteen years of practical experience from implementing the assistance mechanism as set out in the OSCE Documents on SALW and SCA.

This Guidance Note recognises that assistance projects no longer focus exclusively on the destruction of surplus stockpiles and the effective and safe management of SALW and SCA. Requests for assistance and subsequent projects may address a broader range of needs and may contribute to all three dimensions of OSCE security: political-military, human, and economic and environmental.

It complements but does not replace the procedure for dealing with a request for assistance as described in the OSCE Documents on SALW and SCA.

[1] 374th Plenary Meeting, FSC Journal No 380, Agenda Item 5, FSC.DEC/15/02 dated 20 November 2002.
[2] The 2011 revision of the Document on SCA did not change the assistance procedure.

OSCE assistance mechanism for SALW and SCA

1. Scope

This Guidance Note provides direction and advice to stakeholders involved in OSCE assistance projects in Small Arms and Light Weapons (SALW) and Stockpiles of Conventional Ammunition (SCA). It covers all stages of the assistance mechanism, from clarifying the need for assistance through to project completion.

Guidance is provided in terms of principles which apply to all OSCE assistance projects, and step-by-step advice on how the principles should be used by national authorities, organizations and individuals responsible for designing, developing and implementing assistance projects. This practical guidance is supported by examples which demonstrate how the principles can be applied to one or more types of assistance project.

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[3] standards and guidelines:

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.

The OSCE Document on SALW[4] and the OSCE Document on SCA[5] are referred to collectively as the 'OSCE Documents on SALW and SCA'.

The document 'Project Management in the OSCE: A Manual for Programme and Project Managers' is referred to as the 'OSCE Manual for Programme and Project Managers'.

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

The terms, definitions and abbreviations used in this Guidance Note are defined in the glossary at Annex B. A glossary of all the technical terms used in the sector will be provided in a separate Guidance Note to be developed in 2020/21.

[3] International Organisation for Standardization (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.

[4] OSCE Document on SALW (FSC.DOC/1/00/Rev.1 dated 20 June 2012).

[5] OSCE Document on SCA (FSC.JOUR/413 dated 19 November 2003).

4. Guiding principles

OSCE pS are responsible for the life-cycle management of their own stockpiles of SALW and SCA, and for the identification and reduction of surpluses.[6] Requests for assistance by pS, and the provision of support from assisting/donor states, will take place on a voluntary basis.[7]

Requests for assistance may be shaped by a number of factors, including, but not restricted to:

a) Concerns about the destabilizing accumulation and uncontrolled spread of SALW;

b) Confidence building measures (e.g. the removal of surpluses, improvements in safety measures and the security of a specific location and its perimeter, and/or the disposal of unstable stockpiles);

c) Transparency measures (e.g. sharing information on a problem to be addressed by: the assistance project; the willingness of pS to take preventative, corrective or remedial actions; and responding to an incident/accident such as an unplanned explosion at a munitions site);

d) Constraints in capacity building that would undermine the concept of common, comprehensive, co-operative and indivisible security; and

e) Co-ordination with other international organizations and actors.

After initial consultations, it may be determined that no direct OSCE involvement is needed if, for example, the requesting and assisting/donor states agree on a bilateral arrangement.[8]

If the implementation of an assistance project requires an amendment to the mandate of an existing OSCE field mission, the Forum for Security Co-operation (FSC) shall prepare a draft decision for approval by the Permanent Council.[9]

The CPC shall act as the primary point of contact between the OSCE and other international organizations, and with relevant non-governmental organizations.[10]

5. OSCE assistance procedure

The OSCE Documents on SALW and SCA prescribe a procedure for dealing with a request for assistance. An extract from the Documents, showing the procedure as a flowchart, is at Annex C. The flowchart is suitable for all assistance requests relating to SALW and SCA.

Although most of the assistance projects implemented thus far have dealt with the destruction of surplus stockpiles, the OSCE Documents on SALW and SCA also refer to assistance in upgrading stockpile management and security practices including training,[11] and assistance in reinforcing border controls to reduce the illicit trafficking in SALW.[12]

Guidance on the OSCE assistance procedure, including the responsibilities and obligations of key stakeholders, is given in Sections 6 – 14 below.

[6] OSCE Document on SCA, paragraph 14; OSCE Document on SALW, section IV(A), paragraph 1.
[7] OSCE Document on SCA, paragraph 15; OSCE Document on SALW, section IV(D), paragraph 1.
[8] OSCE Document on SCA, paragraph 35(vii); OSCE Document on SALW, Annex VI, section D, paragraph 1(vii).
[9] OSCE Document on SCA, paragraph 35(iii); OSCE Document on SALW, Annex VI, section B, paragraph 2.
[10] OSCE Document on SCA, paragraph 36; OSCE Document on SALW, section VI, paragraph 1.
[11] OSCE Document on SALW, Section D, page 11; and OSCE Document on SCA, paragraphs 31 & 32.
[12] OSCE Document on SALW, Annex VI, Section B.

6. Request for assistance

6.1. Preparations for request

In preparing requests for assistance, pS may formally or informally seek guidance and/or assistance from the CPC/FSC Support Section and/or the OSCE field mission in its country. This may involve seeking advice on technical issues or clarification on the procedural steps to be taken in preparing and submitting a request for assistance.

Key messages:

- The CPC/FSC Support Section and/or OSCE field missions should be ready and willing to offer support by engaging at the earliest opportunity in discussions with the requesting State to clarify the purpose and scope of the assistance, the practical/physical results of an assistance project, and the intended outcomes.[13]
- The CPC/FSC Support Section and relevant OSCE field mission should liaise to obtain background information on the programmatic and/or geographic area, and to understand the context in which the request is being made. The CPC/FSC Support Section has many documented examples of ongoing and successfully completed OSCE assistance projects and will make them available in English or Russian to assist in planning future projects.
- The CPC/FSC Support Section and relevant OSCE field mission should request the pS to clarify whether legal, regulatory and procedural frameworks are already in place to enable an assistance project to be implemented, and should request the pS to provide the necessary information at the earliest opportunity. Without appropriate legal and regulatory frameworks it is impossible to initiate an assistance project or any related practical activity.
- The CPC/FSC Support Section and relevant OSCE field mission should clarify whether the requesting State has already approached other actors (international and/or regional organizations, NGOs or bilateral partners) already present and active in the given programme or geographic area.
- The CPC/FSC Support Section and relevant OSCE field mission should inform the requesting State that any offer of assistance, and the timing of such assistance, will depend on the availability of donor funding. The requesting State should be informed that assistance will depend on the quality and completeness of the information provided (in the formal request for assistance) and on competing demands for assistance which may be considered by donor pS to be of greater priority/urgency.

6.2. Submission of request

The requesting State is required to submit a formal written request for assistance to the CPC or OSCE field mission. A completed questionnaire should accompany the request.

The 'model questionnaires' included in the OSCE Documents on SALW/SCA use surplus stockpiles as an example. If the assistance aims to address other related problems (such as upgrading stockpile management and security practices including training, or mutual assistance to implement and reinforce border controls to reduce illicit trafficking in SALW) then the questionnaires should be adapted by the requesting State.

[13] This preparatory work is described in the OSCE Manual for Programme and Project Managers as a 'situation analysis'.

A generic questionnaire is given at Annex D to this Guidance Note. It includes examples of the form and scope of information to be provided by the requesting State. Sufficient information should be provided to enable an informed decision to be taken by the OSCE.

7. Consultations about request

In initiating the OSCE response to the request, the FSC Chairperson, or the designated co-ordinator for SALW and SCA projects, in close co-operation with the Chairperson-in-Office (CiO), will review the request for assistance, informing the FSC as appropriate. At this stage they may seek additional information and/or clarification from the requesting State. This may include organizing an initial visit, if invited to do so by the requesting State, which may take the form of a pre-feasibility study.

The purpose of a pre-feasibility study is to understand the context in which the problem exists, and the options and sequencing of an OSCE assistance project - should a decision be taken to implement the project.

A template for the terms and reference of a pre-feasibility study is given at Annex E. Normally a report will be written, and should be shared between the CPC, OSCE field mission and the requesting State.

On completion of a pre-feasibility study, it may be concluded that:

a) The requesting State has the capability to address the problem without external assistance; or

b) The requesting State requires external assistance, and this can best be provided bilaterally by another state, an international / regional organization or NGO without the need for a formal OSCE assistance project; or

c) External assistance is required and feasible, and this can best be provided through a formal OSCE assistance project; or

d) A combined approach of an OSCE project and bilateral support is required and is feasible.

The pre-feasibility study may also conclude that the assistance required to address the problem is greater than that envisaged in the request for assistance, and may recommend that a more comprehensive assistance project is required.

Key messages:

- The pre-feasibility study requires on-site visit(s) and meetings with relevant stakeholders to confirm/clarify the scope and form of the 'technical' problem. If a decision is taken to implement the project, the 'technical' problem and its solution will be discussed in greater detail during the subsequent 'expert assessment visit'. For the pre-feasibility study, the focus of attention is to understand the scope of the problem and its related issues/dependencies. For example, would a stockpile destruction project require local facilities to be upgraded, and if so to what standard? Is it feasible to upgrade an existing disposal facility or should the SALW and/or ammunition be exported to a specialized disposal facility?
- Preparation for a pre-feasibility study visit should include a detailed literature review to understand the background and context of the problem, research into similar projects – both completed and ongoing - as well as research into new approaches and technologies which may be suitable for the proposed assistance project.
- The pre-feasibility study should clarify whether: (1) the request can realistically be addressed with the resources which are likely to be available in the timescale envisaged; (2) the problem is local or regional; (3) the request fits comfortably within the mandate of the OSCE field

mission; and (4) the proposed project is consistent with the requesting State's strategic priorities?

- The study should include a stakeholder analysis to understand which stakeholders have an interest in the problem and/or the ability to assist in addressing the problem. Who owns the problem and who will own the solution? Do the national authorities have the will to commit to the project at a senior level?
- Establish the extent to which other actors (international organisations, NGOs or bilateral partners) are already present and active in the given programme and/or geographic area. Plan to meet as many of them as possible.
- Identify whether other international organisations are interested in supporting or partnering in the design and implementation of the project. Are any of these organisations more suitable than the OSCE to facilitate the project?

8. Conduct expert assessment visit & provide assessment report

Should a decision be taken by the FSC that assistance is required and feasible, and can best be provided through a formal OSCE assistance project, then an expert assessment visit will be conducted.

Although the focus of an assessment visit is to scrutinise, clarify and verify technical issues, and to propose potential courses of action, it may be appropriate to review the broader issues raised in the pre-feasibility study report such as the urgency and feasibility of action. A comprehensive visit report also aims to provide transparency which should contribute to confidence building.

Of particular interest will be issues and assumptions which may become risks to the successful completion of the project. This could include, for example, ease of access to national/local disposal facilities, national licensing procedures and timescales, the capability of local trained personnel and available transportation capacities with appropriate safety and security certificates, or the requesting state's willingness to take 'ownership' of the project by providing political direction and support to the project.

The composition of assessment teams will depend on the form and scope of the request for assistance, and the type of technical expertise required. Technical experts will be sourced from the OSCE roster and personnel provided by interested pS including assisting/donor states. Representatives of other international organizations and NGOs may be included. The composition of the assessment team will be discussed with, and approved by, the requesting State. In an effort to ensure from the very beginning of the process that gender mainstreaming is duly considered, pS providing experts to the assessment mission should be requested to ensure that those who are nominated include (male and female) experts with an expertise on gender issues. Assessment teams will normally be led by a representative from the CPC or OSCE field mission. An assessment report shall be written, and should be shared between the CPC, OSCE field mission, requesting State and donor pS.

An example Terms of Reference for an expert assessment visit is given at Annex F. For further guidance on how to integrate gender into the expert assessment visit and beyond see the Guidance Note for Practitioners on mainstreaming gender into the assistance mechanism.

Key messages:

- The expert assessment visit should include on-site visit(s) to all locations referred to in the formal request for assistance. The aim of the site visits is to confirm the technical problem as

declared by the requesting State, for example the nature, quantity, condition and location(s) of surplus stockpiles of SALW and SCA;

- The visit should include meetings with national lead agency(ies) responsible for addressing the wider pol/mil and socio-economic impact of the problem e.g. Ministry of Defence, Border Police, National Mine Action Authority and Environmental Agency;
- The visit should include meetings with national agencies likely to support/enable the project. Assess the suitability and availability of the support, and national agencies likely to provide direction to, and ownership of, the project;
- Request follow-up meetings with the participants of the pre-feasibility assessment visit and inquire about their level of interest and recommendations to their government to support the project or not; and
- While the composition of assessment teams will depend on the form and scope of the request for assistance, and the type of technical assistance required, effort should be made to encourage pS to nominate experts (male and female) with an experience in gender mainstreaming and promoting gender equality.

9. Identify operational/financial implications (and partners)

The OSCE Document on SCA defines the next step as *'identify operational/financial implications',* whereas the OSCE Document on SALW defines the step as *'identify operational/financial implications and partners.'* In practice, following the expert assessment visit, a deeper analysis of the problem and related issues, including the availability of financial and/or technical assistance from donor pS, shall be considered as part of developing the project plan.

With information from the expert assessment visit report and other sources, and an indication of interest from assisting/donor states, the CPC or field mission should conduct a formal problem analysis as described in *Project Management in the OSCE – a Manual for Programme and Project Managers*. Essentially, 'problem analysis' is a technique used to analyse and organize the problems which the project will aim to solve. Conducting a problem analysis will help to explore the different elements of the problem identified in the pre-feasibility study and expert assessment visit, and consider the intended outcomes to which the project will contribute.

The problem analysis should further elaborate the initial stakeholder analysis (initially developed during the pre-feasibility study) to understand the stakeholders' needs and expectations, analyse the operational and financial requirements of the stakeholders, and examine the capabilities of existing partners. The problem analysis should include a provisional risk analysis to identify elements of risk to the successful completion of the project, assess the probability and impact of risk, and consider ways in which the probability can be reduced and the impact mitigated.

On completion of the problem analysis, two or more project options should be produced. One of the options should be a 'do-nothing' option against which the other options should be compared. Criteria for assessing the suitability of each option should include *inter alia*:

a) Coherence, logic, affordability and feasibility of the project;

b) Intended contribution of the project option to the outcomes of the OSCE's comprehensive approach to security encompassing the pol-mil, economic and environmental, and human dimensions;

c) OSCE's added value to the project;

d) Complementarity with other forms of OSCE intervention;

e) OSCE's legal, technical and administrative capacity to manage the project; and

f) The presence and involvement of other national or international actors in the area.

The Manual for Programme and Project Managers refers to three types of decision which can be made after consideration of the project options: (1) the most suitable project option is accepted; (2) a project option is accepted subject to changes; and (3) none of project options is accepted.

The most suitable project option should be agreed between the requesting State and the CPC Support Section in consultation with the field mission and should form the basis for developing the detailed project plan.

Key messages:

- If there is an OSCE field mission in the country requesting assistance, check that its mandate covers the type of work envisaged in the proposed project. If not, can the mandate be expanded/adjusted, or will a specific MOU need to be developed for the project?
- At the earliest opportunity, the OSCE Secretariat and field mission should clarify and agree the implementation modality of the project: will the project be run by the mission, or the Secretariat, or a bespoke hybrid option?
- Clarify whether a specific legal framework (usually an MOU) exists which will regulate the implementation of the proposed project (rights, privileges and immunities, taxation etc). If no legal framework exists, discuss with the requesting State how and when a framework will be developed. What institution will develop the framework, who will need to sign it, and how will it be ratified?
- The OSCE Secretariat or field mission (depending on who is leading) should facilitate discussions between the requesting State and assisting/donor pS. The requesting State and assisting/donor pS should be invited to nominate points of contact who can be consulted regularly during the project development. Ideally, a project development team - who can jointly contribute to the development of a detailed project plan - should be established.

10. Produce detailed project plan

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. A project proposal template is given in the appendices section of *The Manual for Programme and Project Managers*. The proposal should contain the following:

a) Description of the political, legal, security, economic, social and other relevant contexts in which the project will take place;

b) Strategic justification for undertaking the project;

c) Description of the project objective;

d) Description of results the project is expected to deliver;

e) Plan of operations;

f) Roles and responsibilities of different parties to the project;

g) Risk management plan;

h) Monitoring, controlling and evaluation modalities; and

i) A detailed forecast budget.

Key messages:

- A realistic project budget should be a developed. A project which includes an infrastructure element should include a cost 'buffer' that allows for inflation and the uncertainty of the local market of construction companies.
- Sufficient time should be allowed for project implementation, in particular for complex projects which involve infrastructure upgrades and/or capital construction. Lessons learned from previous assistance projects show it can take longer than expected to negotiate a project MoU with the host government, or to mobilize project financial resources, or for the international procurement of works and services in accordance with the OSCE's rules and regulations. Allowing sufficient time will help to manage expectations in achieving early project completion.
- Many project activities - such as the procurement of assets and services, the construction of infrastructure, and import/export and transit, may require special permits, licensing and/or vetting by national and/or regional authorities. This will take thorough planning and may involve additional costs. Both of these factors should be considered during the planning phase.
- Once the requesting and assisting/donor States agree on the project plan, it will be registered at the OSCE executive structure, including allocation of project identification number. Subsequently, the project plan is being shared with the OSCE pS by either the requesting state or the designated co-ordinator for SALW and SCA projects in close co-operation with the CiO and, where necessary, the CPC or OSCE field operation/s.
- In some pS the project plan needs to be officially registered by the relevant national authorities. This may be a precondition for further project implementation in particular if the project includes the elements of equipment procurement or infrastructure development and its subsequent hand over to the host state.

11. Project implementation

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.

11.1. Inception/mobilisation phase

Inception/mobilization refers to the administrative and contractual work required before the activities outlined in the plan of operations are carried out by the OSCE and implementing partners. It includes for example resource mobilization, recruitment and procurement, the signing of MOUs and implementing partner agreements (IPAs).

The inception/mobilization phase ends once all human, financial and material resources are mobilized, or in some cases once sufficient resources have been mobilized to execute the first phase of the project, with sufficient confidence that further resources can be mobilized for later phases.

Key messages:

- The overall success of a project depends on the quality and continuity of the project management staff (including financial, procurement and administrative elements) - not just within the OSCE's executive structure but also in the national partner of the requesting state.

The turnover of key staff in the project management team should be minimised to ensure continuity of knowledge, management skills and experience.

- Prepare and submit job description(s) to the Department for Human Resources (DHR) for classification, and request creating an ExB post in the system - or submit Terms of Reference for an SSA expert/consultant to DHR/Fund Administration Unit (FAU).
- Identify activities where tendering and contracting will be required. Create a detailed procurement plan. Based on that document discuss with FAU, Legal and/or other departments the requirements and rules to be followed for each step.
- Prepare Terms of Reference for the contracted activities in the procurement plan.

11.2 Execution phase

During the second phase, the project plan is executed. Progress should be continuously monitored (see below) to track progress. Appropriate adjustments can be made in accordance with the project management procedures and documentation (including the contract(s) signed with the donors), and subject to approval of the FAU and the donors. All agreed adjustments shall be appropriately recorded as variances from the original plan.

In any project, the Project Manager will spend most of his/her time implementing the project activities, overseeing the work of the implementing partner(s), briefing different audiences about the developments, and reporting on the progress achieved to relevant authorities.

Appropriate project management tools should be used. For large and complex projects, Project Managers should consider using Critical Path Analysis (CPA) or Programme Evaluation Review Technique (PERT) to understand and control the interdependence of tasks/activities in the project plan. Information should be shared routinely and frequently through team meetings.

Risk management is a continuous process and not something to be conducted only quarterly by the Project Manager while preparing routine quarterly reports. In particular, risk to activities on the critical path should be continuously monitored to ensure the probability and impact of a 'disruptive event' will be reduced to an acceptable level.

Key messages:

- Although 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, it must be stressed that 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.
- Every quarter, in parallel to the reporting requirements, time should be given managing project risks by developing and updating the Risk Log. External and internal risks for each of the activities (legal, time, budget, other) should be assessed, and mitigating action(s) taken.
- Changes in the implementation of the project may be inevitable due to changes of project assumptions or other unforeseen developments that can occur at any time during the inception and execution of the project. These changes may affect the project's scope of work, schedule and budget. Project partners should work constructively to accommodate such changes which may include revising the project plan.

- Project execution requires not only close and day-to-day 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/or executive board meetings help to 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.

11.3 Monitoring and controlling

Monitoring is the systematic and continuous collecting, analysis and use of information for the purpose of management and decision-making. Once implementation begins, the execution of the activities should be overseen and progress assessed.

The *Manual for Programme and Project Managers* refers to monitoring and controlling. It defines 'monitoring' as the tracking of progress and 'controlling' as the corrective action to remedy any problems and issues raised during the monitoring.

During implementation, the project needs to be regularly monitored to assess:

a) Project's progress against the milestone targets set in the plan of operations;

b) Project's progress against the results proposed in the project logframe (see Glossary);

c) Effective employment of resources; and

d) Expenditure stays within budget.

Monitoring is usually conducted by the Project Manager, or by someone in the project management team acting on behalf of the Project Manager, and where applicable also by the CPC Support Section.

Monitoring is usually aligned to the task of collecting information for progress reports which should be prepared and submitted every three months, although additional reports may be requested by donor states to meet their own reporting requirements. The frequency of monitoring and reporting should be determined during the project design phase and set out in the project proposal.

Key message:

It is important to be aware of the danger of drowning in a sea of excessive information. Not every piece of information is essential. Monitoring should focus on indicators of progress in achieving the agreed milestone targets, expenditure, any changes to the risk log, and providing confidence that the end-state of the assistance project will be achieved on time and budget.

12. Project closure and final report

'Project closure' should be included as a separate activity in the plan of operations. This will ensure enough time and resources are dedicated to dismantling the operation. There are six key parts to project closure and handover:

a. Ensure that all substantive work is completed and adequately documented e.g. reports, invoices and certificates;

b. Ensure all project documentation has been added to the relevant directories in DocIn;

c. Perform the required administrative tasks (e.g. documented donation of procured equipment to host country authorities, handling leave and separation of project staff, completing financial records, requesting the FAU to close the project in Oracle, returning leftover funding to donors or asking their permission for reallocation;

d. Announce the project closure to stakeholders and other relevant parties;

e. Prepare a document on the lessons learned in the implementation of the project – see Section 13.5; and

f. Prepare a final project report. The format for a final report is provided in the appendices section of the *Manual for Programme and Project Managers.*

Key messages:

- All assets acquired during the implementation of the project should be accounted for, properly documented and handed over accordingly.
- A narrative report providing an adequate level of detail about the activities conducted and the impact achieved should be prepared and submitted to the CPC and the donor(s) in a timely manner.
- A well-written final evaluation will provide organizational objectivity, learning and accountability to the OSCE. External evaluators should have SALW and/or SCA subject-matter expertise as well as suitable skills and proven experience in conducting complex evaluations.
- 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.
- 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.
- Recommendations and lessons identified should be written in a manner which provides positive inputs to future SALW/SCA assistance projects. They should include not only OSCE programmatic improvements, but also suggested updates to the relevant OSCE organizational, financial, procurement and administrative instructions and guidelines, if applicable. When lessons identified are effectively applied to future projects they become 'lessons learned'; see also Section 13.5.

13. Cross-cutting / horizontal issues

13.1 Understand project outcomes and sustainability

The procedures and model questionnaires in the OSCE documents on SALW/SCA require the requesting State to define a technical problem requiring a technical solution. Consequently, SALW/SCA assistance projects have traditionally focused on delivering outputs and not on outcomes. Understanding the pol-mil problem from the very beginning of a project - and how it may contribute

to the economic, environmental and human dimensions of security - will help shape a plan which can contribute more effectively to conflict prevention and confidence building in the OSCE area.

In some cases, such as the destruction of a specified quantity of ammunition, an agreed end state can be achieved without the need for sustainability. However, other projects such as capacity development including the training of managers and technicians are likely to require ongoing effort to maintain a defined level of national capacity/capability well after the successful closure of the assistance project.

13.2 Gender equality and mainstreaming

Gender is a term used to describe socially determined differences between men and women, such as roles, attitudes, behaviour and values as perceived in a given context. Gender is an identity that is learned through family, education, media, social and cultural tradition. Different roles, rights and restrictions are assigned to men and women, depending on societies, countries, historical periods or individuals. These gender roles and rights, as well as the relations between men and women, are not an absolute value or an ideal. They usually change, allowing more rights to both men and women if appropriate gender equality policies are in place.

'**Gender**' refers to the social attributes and opportunities associated with being male or female as well as the relationships and power dynamics between women and men, girls and boys.

Unlike biological sex, these attributes, opportunities and relationships are socially constructed and learnt through socialization processes. They are not static, but are context and time-specific. Gender determines what is expected, allowed and valued in a woman or a man in a given context. In most societies there are differences and inequalities between women and men in the responsibilities they are assigned, activities they undertake, their access to and control over resources, as well as their opportunities for making decisions.

As noted above, OSCE participating States have recognized the importance of gender equality and mainstreaming to be an important element in further strengthening the effectiveness of the OSCE's work in in the field of SALW/SCA.

The principle of '**gender equality'** and the **corresponding prohibition of discrimination** are fundamental principles of international human rights law. The promotion of gender equality is stipulated in the OSCE's Parliamentary Decision No. 638, and OSCE participating States have committed themselves to making gender equality an integral part of their policies. A key strategy for promoting gender equality and eliminating all forms of discrimination on the basis of sex and gender is mainstreaming gender.

Gender mainstreaming is defined as "the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality."

Under the Common Regulatory Management System, the OSCE executive structures are responsible for mainstreaming gender aspects in projects and programmes they plan, design, implement and self-evaluate. This is in line with Ministerial Council Decision (MC.DEC/14.04) on the adoption of the 2004 OSCE Action Plan for the Promotion of Gender Equality.

In project design and implementation, gender mainstreaming is a tool to ensure that:

a) The project creates an equal opportunity for both women and men to contribute to its management, activities, results and outcomes;

b) The project does not exacerbate any existing gender inequalities; and

c) If the project objectives and outputs are to have a different positive impact on men and women, then the project should be designed to ensure this will happen.

Further guidance on gender equity and mainstreaming in SALW and SCA projects will be provided in a separate Guidance Note to be developed in 2020/21.

13.3 Best Practice Guides on SALW and SCA

The OSCE Best Practice Guides (BPGs) on SALW and SCA are provided in two handbooks: the *Handbook of Best Practices on Conventional Ammunition*, and the *Handbook of Best Practices on Small Arms and Light Weapons.* The former provides guidance on techniques and procedures for the destruction of conventional ammunition, explosive material and detonation devices and the management and control of stockpiles of ammunition. The latter provides guidance on all stages of the life of a SALW from manufacture through to destruction and disarmament, demobilization and reintegration.

Where appropriate, BPGs should be used in the pre-feasibility study and expert assessment visit to determine the scope of the technical problem which the assistance project aims to address, i.e. do the current arrangements conform to the OSCE's BPGs or other international guidelines relating to the life-cycle management of SALW and SCA such as International Ammunition Technical Guidelines (IATG), United Nations Coordinating Action on Small Arms (CASA) and the Modular Small Arms Control Implementation Compendium (MOSAIC). The need to systematically update the BPGs was noted in the OSCE 2017 MC decision on SALW and SCA (MC.DEC/10/17).

Where appropriate, BPGs should be used in the project plan to prescribe the agreed end state, i.e. the techniques, procedures and standards which the project aims to achieve.

Key messages:

- Procedures based on BPGs are the norm for OSCE assistance projects. Should the requesting State insist on applying different standards/guides, consideration should be given to their suitability and safety, as well as the potential costs that could be associated with such a decision.
- Feedback from the implementation of projects and lessons learned should be noted in the review and updates of the BPGs, thus ensuring synergy of the normative and practical sides of the OSCE approach to SALW and SCA control.

13.4 Code of conduct

The OSCE addresses 'code of conduct' at two levels. At a strategic level, the 'OSCE Code of Conduct on Politico-Military Aspects of Security' is a politically binding instrument which calls for the democratic control of the military and other security forces including paramilitary, police and intelligence services. And at an operational/project level, it refers to the rules of behaviour of the OSCE's staff and consultants, and organizations/contractors responsible for implementing OSCE projects.

The behavioural standards expected of OSCE staff and consultants form part of their employment contract. Suppliers are bound by the *OSCE Supplier's Code of Conduct*[14] which requires ".... suppliers and their employees, parent, subsidiary or affiliate entities and subcontractors" to be aware of, and adhere to, the Code. It requires suppliers to ensure the Code is communicated to their employees, parent, subsidiary or affiliate entities and subcontractors in the local language and in a manner that is understood by all.

Key message:

Requesting and assisting/donor states expect the OSCE to design and implement projects in a manner that meets the *OSCE Supplier's Code of Conduct* and often additional requirements of the donor to ensure projects are compliant with donor's national legal requirements. Compliance with the *OSCE Supplier's Code of Conduct* should be monitored by the Project Manager, and any failing should be addressed without delay.

13.5 Lessons learned

Monitoring the project during its implementation should be used to 'review' issues, processes and activities with the aim of maximising the likelihood that planned results will be achieved. Throughout the project, and especially at the end of the project, issues identified, raised and properly documented during the review may become lessons learned. Issues identified may range from project management lessons to the technical content and application of BPGs.

The final project report should include a section on lessons learned. The purpose of identifying lessons learned, and lessons to be learned, is to assist in the identification, design and implementation of future projects. Lessons learned should address issues, processes and activities which were successful as well those where improvements can be made.

The CPC/FSC Support Section is responsible for collecting and documenting lessons learned and lessons to be learned during OSCE assistance projects in SALW and SCA, and providing support to field missions in presenting and communicating the findings to other field missions, OSCE Secretariat and pS.

Key messages:

- Lessons identified and learned shall be generated and documented through quarterly project progress reports, extraordinary briefings and the final report.
- Additional valuable opportunity to generate and exchange lessons identified and learned are periodic co-ordination meetings with the CPC/FSC Support Section. Examples of such meetings are the informal meetings devoted to SALW and SCA practical projects, Informal Group of Friends meetings, review conferences, as well as the coordination meetings of the pol-mil focal points convened by the CPC and managed by the CPC/FSC Support Section.

14. Responsibilities

A summary of the responsibilities for projects managed by CPC and/or OSCE field missions is given at Annex G.

[14] OSCE Supplier's Code of Conduct: https://procurement.osce.org/resources/document/supplier-code-conduct.

Annex A

References

The following **normative** documents contain provisions, which, through reference in this text, constitute provisions of this part of the informative guide:

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

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

c) Project Management in the OSCE: A Manual for Programme and Project Managers (2010 OSCE, ISBN: 978-92-9234-301-9).

The following **informative** documents contain provisions, which, through reference in this text, constitute provisions of this part of the informative guide:

a) OSCE Code of Conduct on Politico-Military Aspects of Security (DOC.FSC/1/95, 3 December 1994);

b) OSCE Supplier's Code of Conduct: https://procurement.osce.org/resources/document/supplier-code-conduct;

c) Guidance Note on glossary of terms, definitions and abbreviations [yet to be developed]; and

d) Guidance Note on gender for OSCE SALW/SCA assistance projects [yet to be developed].

The latest version/edition of these references should be used. The CPC/FSC Support Section holds copies of all references used in this guide. pS and other interested bodies, organisations 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

Ammunition

The OSCE Document on Stockpiles of Conventional Ammunition (SCA) refers to conventional ammunition, explosive material and detonating devices of land, air and sea-based weapons systems:

- Ammunition for small arms and light weapons (SALW);
- Ammunition for major weapon and equipment systems, including missiles;
- Rockets;
- Landmines and other types of mines; and
- Other conventional ammunition, explosive material and detonating devices.

Code of conduct

At a strategic level, the 'OSCE Code of Conduct on Politico-Military Aspects of Security' is a politically binding instrument which calls for the democratic control of the military and other security forces including paramilitary, police and intelligence services. The Code reaffirms the validity of the guiding principles and common values of the Helsinki Final Act, the Charter of Paris and the Helsinki Document of 1992.

At a project level, 'code of conduct' refers to the rules of behaviour of OSCE staff and organisations/ contractors responsible for implementing OSCE projects.

Compliance

The legal requirement placed on the suppliers (through their contracts with the OSCE) to exercise due diligence and have policies and procedures which are consistent with national, international and contractual requirements, and with sector norms such as those given in the OSCE's Best Practice Guides.

DocIn

The OSCE's Electronic Document and Record Management System, which has been in operation since January 2006. It is a web-based application for the storing, sharing and distributing information.

Due diligence

The policies and processes the suppliers use to achieve their legal and ethical responsibilities (as set out in the code of conduct), and the procedures they use to confirm their responsibilities have been met.

Gender

Gender is a term used to describe socially constructed roles for women and men and boys and girls. It is an acquired identity that is learnt and changes over time and varies widely within and across cultures. In contrast, the term 'sex' is used to describe the biological differences between men and women.

Gender equality

Gender equality is the equal enjoyment by women and men of opportunities, resources, socially valued goods, rights and rewards. It is *de facto* the absence of discrimination and distinction on the basis of being a woman or a man in opportunities, in the allocation of resources or benefits, in access to services and the enjoyment of rights. It is thus, the full and equal exercise by men and women of their fundamental rights. The aim is not that women and men become identical, but that their opportunities and their benefits become and remain equal.

Gender equality is embedded in the global human rights framework and as such concerns all aspects of our lives. It is often measured according to social, economic, civil and political rights and their realization.

Gender mainstreaming

Gender mainstreaming is defined as "the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality."

Logical Framework (Logframe)

A logframe is a tool that helps to plan and visually present the strategy of a project. A logframe displays the objective, results, and main activities of a project and their relationships with each other. (See Section 6 of *Project Management in the OSCE: A Manual for Programme and Project Managers*).

Oracle

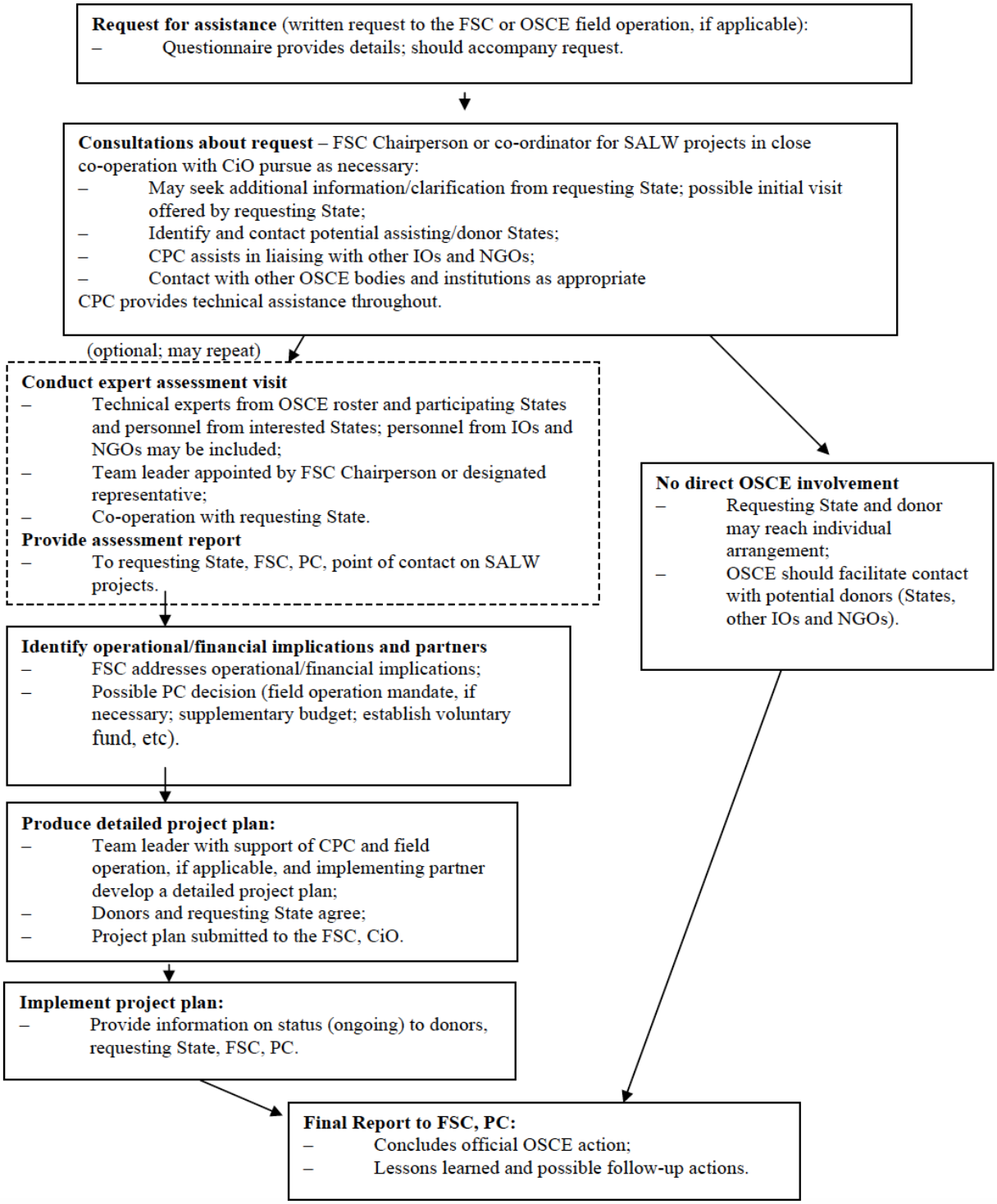
Oracle is the OSCE's key tool for managing the financial, human and material resources used by Unified Budget (UB) and extra-budgetary (XB) projects.

Small arms and light weapons
Extract from OSCE Document on SALW

Small arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns. Light weapons are broadly categorized as those weapons intended for use by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable ant-aircraft guns; portable anti-tank guns; recoilless rifles; portable launchers of anti-tank and rocket systems; portable launchers of ant-aircraft missile systems; and mortars or calibres less that 100mm.

Annex C
(Informative)
Illustration of the procedure for dealing with a request for assistance

(Extract from OSCE Documents on SALW and SCA)[15]



[15] OSCE Document on SALW, Annex VI; and OSCE Document on SCA, Annex III.

Annex D
(Informative)
Generic questionnaire for a requesting state

1. Problem description

The problem should be specified in a precise and quantifiable manner; see attached examples.

2. Problem impact

The impact of the problem should be described in a manner consistent with the political, security, safety and environmental challenges outlined in the OSCE Documents on SALW and SCA; see attached examples.

3. Intended end-state

The intended end-state of actions taken to address the problem and its impact; see attached examples. As relevant, consider whether the impact affects different groups (men, women, children) in different ways and warrants specific action to address this gender dimension.

4. Requesting state's assets/capabilities available

Details of financial, material or in-kind support from the requesting state to be made available to international assistance:

a) Technical assets directly linked with the destruction or storage of SALW, CA, explosive material and detonating devices;

b) Logistic support including accommodation and transportation; and

c) Financial contribution.

5. Bilateral/multilateral assistance already requested and/or granted.

Details of financial, material or in-kind bilateral/multilateral assistance already requested and/or granted, and work already in hand. The availability of such information will help the OSCE understand how best to design and implement the OSCE assistance project, and to assess the contribution (added value) the OSCE assistance project will make to address the problem.

6. Assistance requested from OSCE pS

Noting the intended end-state, actions already being taken to address the stated problem by national authorities and bilateral/multilateral assistance already requested and/or granted, what assistance is requested from donor pS. The assistance requested may be technical and/or financial.

7. Requesting state's point of contact

Name, appointment and address, telephone and e-mail of the requesting state's initial point of contact (POC) for the assistance request.

8. Any further information

Any further information which may assist the CPC of field mission to understand the form, scale and impact of the problem, and how OSCE assistance can help address the problem in a timely, effective and efficient manner.

Examples of problems to be addressed by OSCE assistance projects

(1) Surplus stockpiles of SALW and/or CA

Problem: *The nature, quantity, condition and location(s) of surplus stockpiles of SALW and CA.*

If the problem involves different categories of SALW and CA, the information should be provided in a table.

Impact: *The risk (probability and consequence) insecure and surplus stockpiles of SALW and CA being diverted to illicit trade and international crime.*

Intended end state: *All surplus stockpiles of SALW and CA are destroyed and no longer represent a risk of being diverted to illicit trade and international crime.*

(2) Inadequate or in secure armouries and/or munition storage bunkers

Problem: *The type, number and location of SALW armouries and/or munition storage bunkers which need to be built / upgraded to meet agreed levels of safety and security*

Impact: *The risk (probability and consequence) of unplanned explosions at munition storage bunkers specified in the problem description.*

Intended end state: *Sufficient SALW armouries and/or munition storage bunkers are available to meet agreed levels of safety and security.*

(3) Humanitarian demining

Problem: *The area(s) of land contaminated by mines and/or other categories of explosive remnants of war (ERW) to be release through survey and demining.*

Impact: *The ongoing risk of harm to non-combatants from uncleared mines and other ERW.*

Intended end state: *All specified hazardous areas are cleared or mines and/or ERW, and no longer represent a risk to non-combatants.*

(4) Management and technical training

Problem: *The number of national staff by rank, grade or level requiring training on matters relating to the regulation and life-cycle management of SALW and/or SCA to meet agreed levels of safety and security.*

Impact: *The impact (in terms of security and safety) resulting from national staff unable to regulate and manage stockpiles of SALW and SCA effectively and in accordance with OSCE and national best practices.*

Intended end state: *National staff are able to regulate and manage stockpiles of SALW and SCA effectively and in accordance with OSCE and national best practices.*

Annex E
(Informative)
Pre-feasibility study – terms of reference

Background

Provide a short summary of the problem to be addressed by the proposed OSCE assistance project. Describe how and when the OSCE was made aware of the problem and indicate the anticipated end-state following the successful completion of the project, if a decision is taken to proceed.

Objective

The objective of the pre-feasibility study is to gain a better understanding of the problem and its context, to identify the options for addressing the problem, and to advise the requesting state on how to complete and submit a formal request for assistance.

Study team composition

Include a list of the study team participants by name and their role: team leader, SALW technical expert etc.

Issues to be addressed

Include the key issues to be addressed, organisations to be visited and meetings to be held. This is likely to include, inter alia:

a) On-site visit(s) to confirm/clarify the scope and form of the technical problem;

b) Meetings with national lead agency(ies) responsible for addressing the problem e.g. Ministry of Defence, Border Police, National Mine Action Authority;

c) Meetings with national agencies likely to support/enable an OSCE assistance project; and

d) Identify any related projects (underway or planned) involving the national authorities, other states, international organisations or NGOs.

Study report

The study report should be short and concise, and should include the following:

a) Confirmation/clarification of the technical problem and the pol-mil impact of the problem; and

b) An assessment of whether the requesting state has the capability to address the problem without external assistance; or

c) Whether the requesting state requires external assistance, and whether this can best be provided bilaterally by another state, international organisation or NGO without the need for a formal OSCE assistance project; or

d) Whether external assistance is required and feasible, and this can best be provided through a formal OSCE assistance project;

e) Whether there is the political will to support an OSCE assistance project; and

f) Confirmation that guidance was given to the requesting state by the pre-feasibility team on how to prepare and submit a formal request for assistance, and expected timing of the request.

Examples of problems to be addressed by OSCE assistance projects

(1) Surplus stockpiles of SALW and/or CA

Problem: *The nature, quantity, condition and location(s) of surplus stockpiles of SALW and CA.*

If the problem involves different categories of SALW and CA, the information should be provided in a table.

Impact: *The risk (probability and consequence) insecure and surplus stockpiles of SALW and CA being diverted to illicit trade and international crime.*

Intended end state: *All surplus stockpiles of SALW and CA are destroyed and no longer represent a risk of being diverted to illicit trade and international crime.*

(2) Inadequate or in secure armouries and/or munition storage bunkers

Problem: *The type, number and location of SALW armouries and/or munition storage bunkers which need to be built / upgraded to meet agreed levels of safety and security*

Impact: *The risk (probability and consequence) of unplanned explosions at munition storage bunkers specified in the problem description.*

Intended end state: *Sufficient SALW armouries and/or munition storage bunkers are available to meet agreed levels of safety and security.*

(3) Humanitarian demining

Problem: *The area(s) of land contaminated by mines and/or other categories of explosive remnants of war (ERW) to be release through survey and demining.*

Impact: *The ongoing risk of harm to non-combatants from uncleared mines and other ERW.*

Intended end state: *All specified hazardous areas are cleared or mines and/or ERW, and no longer represent a risk to non-combatants.*

(4) Management and technical training

Problem: *The number of national staff by rank, grade or level requiring training on matters relating to the regulation and life-cycle management of SALW and/or SCA to meet agreed levels of safety and security.*

Impact: *The impact (in terms of security and safety) resulting from national staff unable to regulate and manage stockpiles of SALW and SCA effectively and in accordance with OSCE and national best practices.*

Intended end state: *National staff are able to regulate and manage stockpiles of SALW and SCA effectively and in accordance with OSCE and national best practices.*

Annex F
(Informative)
Expert assessment visit – terms of reference

Background

The background should provide a short summary of the problem to be addressed by the proposed OSCE assistance project, describe how and when the OSCE was made aware of the problem, indicate the anticipated end-state following the successful completion of the project, and include any key issues identified in the pre-feasibility study report. (The report should be attached as an annex to the terms of reference.)

Objective

In essence, the objective of the assessment visit is to provide sufficient information to enable a problem analysis to be conducted, and a project proposal to be prepared by the CPC and/or the OSCE field mission.

Assessment visit team composition

Provide a list of the assessment visit participants by name and their role, for example: team leader (CPC, FSC co-ordinator on SALW/SCA or OSCE field mission), SALW technical expert/advisor(s), representatives of donor pS and other key stakeholders. Whenever possible, ensure that there is also relevant expertise on mainstreaming gender.

Issues to be addressed

Include the key issues to be addressed, organisations to be visited and meetings to be held. This is likely to include, inter alia:

a) On-site visit(s) to confirm the technical problem as declared by the requesting state, for example the nature, quantity, condition and location(s) of surplus stockpiles of SALW and SCA;

b) Meetings with national lead agency(ies) responsible for addressing the wider pol/mil, socio-economic, environmental and human dimensions of security, e.g. Ministry of Defence, Border Police, National Mine Action Authority, Environmental Agency.

c) Meetings with national agencies likely to support/enable an OSCE assistance project. Assess the suitability and availability of the support. ;

d) Meetings with national agencies likely to provide direction to, and ownership of, the assistance project;

e) Identify any related and inter-dependant projects (underway or planned) involving the national authorities, other states, international organisations or NGOs;

f) Explore and identify if and how this politico-military problem also impacts and contributes to the economic, environmental and human dimensions of security, including whether it has a gender dimension.

Assessment visit report

The assessment visit report should include the following:

a) Confirmation/clarification of the technical problem and an analysis of the pol-mil and socio-economic impact of the problem;

b) Options for addressing the problem;

c) An assessment of whether the requesting state has the capability to address the problem without external assistance;

d) Confirmation that external assistance is required and likely to be provided; and

e) Assessment of the political will (from the requesting pS) to support an OSCE assistance project.

Annex G
(Informative)

Summary of the responsibilities for OSCE assistance projects

Activities to be conducted ↓		pS requesting assistance	pS providing assistance	OSCE decision-making bodies (PC, FSC …)	CPC / OSCE field mission	Remarks
Request for assistance	Prepare for formal request for assistance	**L**	I	I	S	
	Submit formal request for assistance	**L**	I	I	S	
Consultations about request (including pre-feasibility study, if required and agreed with pS)		S	S	**L**	S	
Expert assessment visit and report	Conduct expert assessment visit	S	S	**L**	S	
	Provide assessment report			**L**	S	
Identify operational / financial implications		S	S	I	**L**	
Produce detailed project proposal and plan		S	I	I	**L**	
Project implementation	Inception/mobilisation phase	S	I	I	**L**	

	Execution phase	S	I	I	**L**	
	Monitoring and controlling	I	I	I	**L**	
Project closure and final report		S	I	I	**L**	

Key:

L Lead organization / individual
S Supporting organization / individual
I Interested organization / individual (to be kept informed)

Amendment record

Number	Date	Amendment Details
1		
2		
3		
4		