

Project Document Format for projects within a CPAP

**United Nations Development Programme
Country: Serbia
Project Document**

Project Title	SEESAC 2009
UNDAF Outcome(s):	Human security and rule of law
Expected CP Outcome(s):	<p>Outcome 1: SALW legislation and its implementation in the Western Balkans countries contribute to improved security and stability in the region.</p> <p>Outcome 2: Governments within the Western Balkans are able to develop and implement nationally owned SALW control strategies or activities in the area of SALW control, armed violence reduction and disarmament interventions.</p>
Expected Output(s):	<p>Output 1: Increased harmonization of the SALW legislation and its implementation in the Western Balkans countries with the legislation and practices in the European Union.</p> <p>Output 2: Improved operational capacity of the national governments to integrate SALW control in their national policies and to comply with their international SALW obligations.</p>
Implementing Partner:	UNDP/SEESAC
Responsible Parties:	UNDP/SEESAC

Brief Description

The South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC) is a joint project between the Regional Cooperation Council (RCC) and the United Nations Development Programme (UNDP). SEESAC was launched on 08 May 2002 as a mechanism to assist the governments of Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Montenegro, Moldova, Romania, Serbia and the former Yugoslav Republic of Macedonia with the implementation of the 2001 Regional Plan for Combating the Proliferation and Impact of Small Arms and Light Weapons (SALW). At its core, the Regional Implementation Plan seeks to enhance regional cooperation in this area, providing both information sharing and local standard setting geared toward direct project formulation and implementation. The Plan envisions continued SEESAC support to national SALW programmes.

In 2008 the Ministers of Defence of South East European countries, at their meeting in Sofia, on March 11th 2008, adopted a joint statement, in which among others they state:

"Taking stock of the negative impact of the enduring existence of large amounts of small arms and light weapons on the security environment of the SEE region, we declare our firm support to the work of South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC). We are convinced that the continuation of its work on coordinating the control and downsizing of small arms and light weapons in the region will result in substantial reduction of the risks stemming from uncontrolled transfers and use of armaments. We expect the engagement of the international institutions in these issues would remain high in the future."

In 2009 SEESAC will focus on providing assistance for increased harmonization of SALW legislation and its implementation in the Western Balkans countries with the legislation and practices in the European Union; Improved operational capacity of the national governments to integrate SALW control in their national policies and to comply with their international SALW obligations; and support for increased regional ownership of SEESAC. The proposed actions under this project document complement the tasks of the RCC and contribute to the objective of developing a co-ordinated regional approach to combat the excessive and uncontrolled circulation of SALW in the region.

Programme Period:	01.01 – 31.12.2009
Key Result Area (Strategic Plan):	Support all international and national stakeholders by strengthening national and regional capacity to control and reduce the proliferation and misuse of small arms and light weapons, and thus contribute to enhanced stability, security and development in South Eastern and Eastern Europe
Atlas Award ID:	
Start date:	01.01.2009
End Date:	31.12.2009
Management Arrangements:	DEX

Total resources required	USD 795,700
Total allocated resources:	
• TRAC	
• Other:	
o MFA Norway	USD 795,700
o Donor	_____
o Donor	_____
o Government	_____
Unfunded budget:	
In-kind Contributions	_____

Agreed by Regional Cooperation Council:

Agreed by UNDP:

I. ANNUAL WORK PLAN AND BUDGET SHEET

Year: 2009

EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		2009					Source of Funds	Budget Description	Amount (USD\$)
		Q1	Q2	Q3	Q4				
<p>Output 1: Increased harmonization of the SALW legislation and its implementation in the Western Balkans countries with the legislation and practices in the European Union.</p> <p>Indicators: Development of legislative proposals and adoption of primary and subsidiary SALW legislation in harmonization with the existing EU regulatory framework and policies and a regional annual report on arms exports.</p>	<p>Regional activities:</p> <p>1 Activity result: Comparative study on the regulations of Converted Weapons in the Western Balkans</p> <p>Action: Technical assistance for comparative legal analyses on the existing regulations in the Western Balkan countries regarding converted weapons and recommendation for harmonization with the EU policies.</p> <p>2 Activity result: Development and implementation of legislation for control of converted weapons in the Western Balkans</p> <p>Action: Based on the Regional Comparative Study, development of draft regulations to be adopted and implemented by the national authorities in the Western Balkans.</p> <p>Country specific activities:</p> <p>Montenegro</p> <p>1 Activity result: Project for implementation of central weapons registration of weapons in civilian possession</p> <p>Action: Needs assessment for the implementation of central registration system within the Ministry of Interior</p>		X	X			Contracts, travel and administration costs of conducting the study	40,000	
				X		Donor	Contracts	90,000	
			X				Contracts, travel	15,000	

EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		2009					Source of Funds	Budget Description	Amount (USD\$)
		Q1	Q2	Q3	Q4				
	<p>Moldova</p> <p>1 Activity result: Destruction of confiscated and surplus weapons in the Ministry of Interior Action: Project development and monitoring of the destruction process</p> <p>Serbia:</p> <p>1 Activity result: Project for implementation of central weapons registration of weapons in civilian possession Action: Needs assessment for the implementation of Weapons Registration software in accordance with the Law on Arms and development of Terms of Reference for its implementation.</p> <p>Serbia</p> <p>1 Activity result: Destruction of confiscated and surplus weapons in the Ministry of Interior Action: Project development and monitoring of the destruction process</p> <p>Regional activities:</p> <p>1 Activity result: Development of a template for a regional or sub-regional arms exports report Action: Technical support for the creation of consulting mechanism and template for a regional or sub-regional arms export report</p> <p>2 Activity result: Industry outreach Action: Conducting workshop with industry representatives on their legal obligations for reporting on arms exports</p>	X					Contracts, travel, DSA	13,000	
			X				Contracts, travel	15,000	
			X				Contracts	65,000	
<p>Output 2:</p> <p>Improved operational capacity of the national institutions to integrate and implement SALW control interventions in their national policies and to comply with their international SALW obligations.</p>		X	X	X	X	SEESAC	Conference, outreach workshop, contracts, travel	75,000	

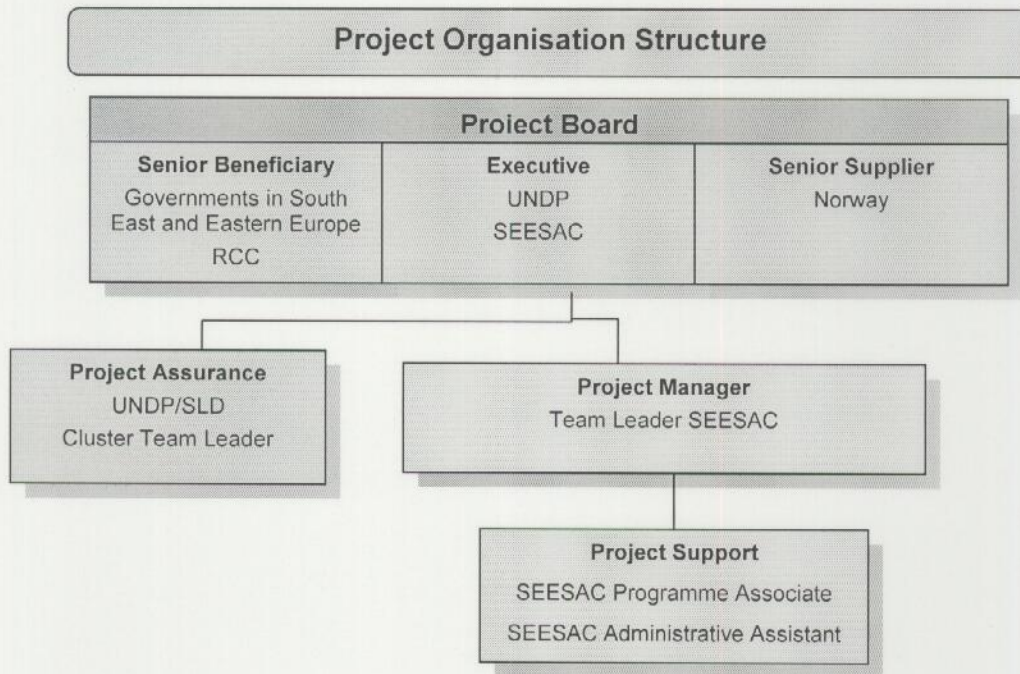
EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		2009					Source of Funds	Budget Description	Amount (USD\$)
		Q1	Q2	Q3	Q4				
Indicators: Project development and implementation of SALW control interventions by the national authorities in the Western Balkans.	3. Technical advice to and capacity building of national authorities in the Western Balkans countries for the implementation of national SALW strategies.	X	X	X	X		Contracts, travel, DSA	120,000	
	Country specific activities: Albania 1 Activity result: Publication of a national arms exports report Action: Technical assistance for the development and publication of annual arms exports report Moldova: 1 Activity result: Development of capacity for adherence to the EU Code of Conduct on Arms Exports Action: Technical assistance for the development and publication of annual arms exports report	X	X						
Output 3: Establishment of political process for transition to regional ownership of SEESAC	1. Meeting of National Government Focal Points to develop and draft a strategy to enhance regional ownership of SEESAC	X				SEESAC	Donor	17,000	
					X				

EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		2009					Source of Funds	Budget Description	Amount (USD\$)
		Q1	Q2	Q3	Q4				
Indicator: Development of strategy to enhance regional ownership of SEESAC	2. Second regional meeting of national government focal points to agree on final strategy to enhance regional ownership of SEESAC and develop action plan for implementation.						Workshop, travel, DSA	17,000	
Management of the project	Administrative and Technical Support	X	X	X	X	SEESAC	Donor	243,001	
Total net programmable								740,001	
GMS ¹ off-the-top at 7%								55,699	
TOTAL BUDGET								795,700	

¹ General Management Service fee. UNDP charges also implementation support service (ISS) fees for each project activity in line with the UNDP Cost Recovery Policy and in accordance with the 2008 UNDP Universal Price List, where the fees vary between 1% and 3%. The ISS fees are incorporated in this budget.

II. MANAGEMENT ARRANGEMENTS

The Project will be implemented under the DEX modality.



III. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- ❑ On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- ❑ An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- ❑ Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- ❑ Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- ❑ a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- ❑ a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- ❑ **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- ❑ **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

Quality Management for Project Activity Results

OUTPUT 1: Increased harmonization of the SALW legislation and its implementation in the Western Balkans countries with the legislation and practices in the European Union		
(Atlas Activity ID)	<i>Harmonization and implementation of SALW legislation</i>	Start Date: 01.01.2009 End Date: 31.12.2009
Purpose	<i>SALW legislation and its implementation in the Western Balkans countries contribute to improved security and stability in the region</i>	
Description	<p>The 2006 EU Strategy to combat illicit accumulation and trafficking of SALW and their ammunition stipulates among others the following goals:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Reduction of surplus stocks of SALW and their ammunition, either under a stockpile reduction policy or by participating in DDR operations; and <input type="checkbox"/> Strengthening of the effective rule of law in countries which remain unstable, so as to limit the propensity of local people to provide for their own defence and hence to keep hold of quantities of SALW, whose presence enables crises to degenerate in a cycle of aggression and reprisals which it is impossible to control in a weak State. <p>The Council Directive 91/477/EEC on control of the acquisition and possession of weapons has been recently amended by introducing the requirement for establishment of computerized record keeping systems for firearms for not less than twenty years. This requirement also falls in line with the implementation of the UN Firearms Protocol related to establishment of record-keeping systems for firearms. The Council Directive also introduces the obligation to ensure that convertible weapons are brought into the definition of firearms under the national legislation.</p> <p>Based on this policy guidelines the following activities will contribute to the achievement of the Output 1:</p> <p>Regional activities</p> <ul style="list-style-type: none"> <input type="checkbox"/> Technical assistance for comparative legal analyses (Regional Comparative Study) on the existing regulations in the Western Balkan countries regarding convertible weapons and recommendation for harmonization with the EU policies. <input type="checkbox"/> Based on the Regional Comparative Study, development of regulations to be adopted and implemented by the national authorities in the Western Balkans. <p>Country specific activities</p> <ul style="list-style-type: none"> <input type="checkbox"/> Needs assessment for the implementation of central registration system within the Ministry of Interior of Montenegro and Serbia <input type="checkbox"/> Destruction of confiscated and surplus weapons in the Ministry of Interior of Moldova and Serbia. 	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Development of legislative proposals for amendment or adoption of provisions regulating convertible weapons based on the Regional Comparative Study	Acceptance by the national counterparts to adopt the proposed regulations related to convertible weapons	Q4 2009
Confiscated and surplus weapons are rendered not operational through destruction process	Verification of the destruction process	Q4 2009

OUTPUT 2: Improved operational capacity of the national institutions to integrate and implement SALW control interventions in their national policies and to comply with their international SALW obligations.		
(Atlas Activity ID)	<i>Capacity building to national counterparts</i>	Start Date: 01.01.2009 End Date: 31.12.2009
Purpose	<i>Governments within the Western Balkans are able to develop and implement nationally owned SALW control strategies or activities in the area of SALW control, armed violence reduction and disarmament interventions.</i>	
Description	<p>The countries in SEE have made progress in the implementation of SALW interventions since 2002. Some countries have adopted a national SALW strategy (Croatia, FYROM, and Montenegro) and have started with the implementation of their actions plans. Other countries still need technical assistance in policy and project formulation as well as in the implementation phase of national SALW interventions. An area of particular concern has been the issue of transparency regarding arms exports. The obligation to produce a national annual arms exports report stems under the EU Code of Conduct on Arms Exports. As the countries from the SEE region have adhered to the Code of Conduct or are in process to adhere, the following activities will be implemented during 2009:</p> <p>Regional activities</p> <ul style="list-style-type: none"> <input type="checkbox"/> Technical support for the publication of regional arms export report; development of information gathering system and industry outreach activities <p>Country specific activities:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Albania: Technical assistance for the development and publication of an annual arms exports report <input type="checkbox"/> Moldova: Technical assistance for adherence to the EU Code of Conduct on Arms Exports <p>Additionally, technical advice to and capacity building of national authorities will be provided for the implementation of their national SALW strategies.</p>	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Production of a template for a regional or sub-regional arms exports report based on the EU Code of Conduct	Regional or sub-regional arms exports report template is accepted for implementation by the Western Balkans countries	Q4 2009
Creation of a template for a national arms exports report for Albania	Publication of an arms exports report by Albanian authorities	Q4 2009
Provision of training through workshops and consultancy advice for adherence to the EU Code of Conduct	Creation of a national proposal for adherence to the EU Code of Conduct	Q4 2009

OUTPUT 3: Establishment of political process for transition to regional ownership of SEESAC		
(Atlas Activity ID)	<i>Regional ownership</i>	Start Date: 01.01.2009 End Date: 31.12.2009

Purpose	<i>Increased regional ownership of SEESAC</i>	
Description	<p>SEESAC has been established in 2002 as a joint project of the Stability Pact for South Eastern Europe and UNDP. The main contribution towards policy formulation and funding for the implementation of SEESAC's activities has come from UNDP and EU. The establishment of RCC gives a new impetus for increased regional ownership of SEESAC and aligning the project with other regional initiatives. Therefore the following activities will be carried out in 2009:</p> <ul style="list-style-type: none"> ❑ Meeting of RCC and National Government Focal Points to develop and draft a strategy to enhance regional ownership of SEESAC ❑ Second regional meeting of RCC and national government focal points to agree on final strategy to enhance regional ownership of SEESAC and develop action plan for implementation. 	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Development of a strategy to enhance regional ownership of SEESAC and action plan for its implementation	Agreement by the national focal points to implement the action plan for enhanced regional ownership	Q4 2009

IV. LEGAL CONTEXT

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document".

ANNEX 1 Risk Log Matrix

#	Description	Category	Impact & Probability	Countermeasures / Mngt response	Owner	Author	Date Identified	Last Update	Status
1	<p>Change in the security environment in the Western Balkans</p> <p>Developments related to the status of Kosovo could affect the degree to which governments are willing to continue with regional or country specific SALW non-proliferation measures.</p>	Political	<p>Medium impact</p> <p>Medium probability</p>	<p>SEESAC's operations cover the whole Western Balkans region. In the event that issues related to the status of Kosovo become a detrimental factor for cooperation with a specific state (states), SEESAC's operations will focus on sub-regional activities, leaving all options for cooperation open for the future.</p>	SEESAC	SEESAC	Dec 2008		
2	<p>Insufficient operational capacity</p> <p>National institutions in the Western Balkans lack - in many instances - human and financial resources to respond to specific, time-constrained activities. There is a probability that delays may occur in the implementation of the proposed activities, thereby making it difficult or impossible to keep the proposed timeframe.</p>	Political	<p>Medium impact</p> <p>Medium probability</p>	<p>The insufficient operational capacity of the national counterparts will be mitigated through careful planning process. The project planning will map the national institutions responsible for the implementation and include substitutes for the designated national implementation partners. The substitutes will be regularly briefed on the ongoing project activities.</p>	SEESAC	SEESAC	Dec 2008		
	<p>Strong fluctuation of the EURO/US dollar exchange rate.</p> <p>The activities in this request are budgeted in EURO. The UNDP's financial regulations provide that project activities are to be budgeted in and implemented in</p>	Economic	<p>Medium impact</p> <p>Medium probability</p>	<p>Strong fluctuation of the EURO/US dollar exchange rate cannot be mitigated by UNDP through standard financial instruments (hedging). SEESAC will maintain a risk log for every project activity where the impact of the identified risk will be updated every</p>	SEESAC	SEESAC	Dec 2008		

	<p>USD. If the EURO value strongly depreciates during the course of implementation of the proposed activities, the budget might not be sufficient.</p>			<p>quarter. In the event of strong currency fluctuation SEESAC will contact the donor with a detailed report and offer follow up actions, which could consider the following options: 1) scaling down the project activities; or 2) requesting additional funds to mitigate the currency fluctuation.</p>					
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