

Interim working procedures for processing assistance requests

A supplement to the flow-chart with letters' templates

Authentication of requests and handling of informal requests

1. When a request is received from a non- State entity or an NGO, or when it is difficult to determine whether a request has been officially authorized, the 1540 Committee experts will liaise with the Permanent Mission and/or the focal point of the State or the NGO concerned and advise them on the proper form to submit an assistance request.
2. Requests addressed to international organizations and forwarded by that organization to the Committee will be dealt with on a case-by-case basis by the Committee's Working Group on assistance.
3. Pending a submission of an official request in proper form, the 1540 Committee experts will engage with the requestor and with potential assistance providers in order to facilitate the processing of the request.

Processing the request

4. When the Chair or the Secretariat receives an official request in a proper form, the request is circulated to the Committee members, ODA and the Committee experts for information as a Note by the Chair.
5. The Chair, on behalf of the Committee, will send to the State/organization requesting assistance (the requestor) a letter of acknowledgement (Attachment 1).
6. When appropriate, the experts, acting through the respective Permanent Mission and/or focal point will remind the requestor of the assistance template and encourage its use.
7. After the acknowledgment letter is sent to the requestor, the Chair, on behalf of the Committee, unless notified to the contrary by the requesting State within five working days, will send a note verbale to the potential assistance providers containing the request (Attachment 2). The experts will also prepare a summary of the request and post it on the Committee's website unless notified to the contrary by the requesting State within five working days.

"Match-making"

8. The experts will conduct the "match-making" informally as advised by the requestor.

9. The list of potential assistance providers will be updated periodically by the Committee at the recommendation of the Working Group on assistance.

10. Offers of assistance will be circulated by the Chair through the Secretariat to the Committee members for information as a Note by the Chair (copy of the note will be sent to the Committee's Group of Experts).

11. The Chair, on behalf of the Committee, will send a letter of acknowledgment to the State/organization offering assistance (Attachment 1 bis or Attachment 1 ter) and will send a letter/s to the requestor informing it of the offer/s (Attachment 3). This letter will be circulated to the Committee members for information as a Note by the Chair (copy of the note will be sent to the Committee's Group of Experts).

Follow-up

12. The Chair, on behalf of the Committee, will send a letter to all requestors one year after the date of the receipt to the letter of request inquiring whether the request has been met (Attachment 4). These letters and the replies received thereto will be circulated by the Chair through the Secretariat to the Committee members for information as a Note by the Chair (copy of the note will be sent to the Committee's Group of Experts).

13. The experts will brief the Committee on the “match-making” efforts every two months.

General provisions

14. At any step of the proposed procedure any member of the Committee may request that a specific request for assistance be discussed by the WG on assistance, which will then advise the Committee how to handle that particular request.

15. If the Committee agrees with the proposed procedures, no separate silence procedures will be required, as a rule, for sending the letters referred to in paragraphs 5, 7, 11 and 12 above.

Attachment 1

Letter of acknowledgment of an assistance request

Excellency [Dear Sir or Madame],

On behalf of the Security Council Committee established pursuant to resolution 1540 (2004), I have the honour to refer to the note verbale [letter] of [date] from the Permanent Mission [Ministry/Office] of [State/organization] containing a request for assistance in implementing Security Council resolution 1540 (2004). The note verbale [letter] was received by the Committee secretariat on [date], and it was circulated to the members of the Committee for their information on the same date.

Unless notified to the contrary before XXX, the Committee will post your assistance request on its website (<http://www.un.org/sc/1540/index.shtml>) and circulate it to potential assistance providers.

The Committee and its Group of Experts (Email: 1540experts@un.org) are available to engage in further discussions with you and will contact you on the next steps to facilitate matching your request with offers of assistance.

For any further information, please contact the Committee at:

Secretariat of the 1540 Committee
2 United Nations Plaza, Room DC2-2046
United Nations, New York, NY 10017
Fax: 212-963-1300
Email: sc-1540-Committee@un.org

Throughout the process, the Committee invites you to inform it if you receive directly bilateral offers to respond to your request.

Please accept, Excellency [Sir or Madame] the assurances of my highest consideration.

Attachment 1 bis

Letter of acknowledgment of a generic offer of assistance

Excellency [Dear Sir or Madame],

On behalf of the Security Council Committee established pursuant to resolution 1540 (2004), I have the honour to refer to the note verbale [letter] of [date] from the Permanent Mission [Ministry/Office] of [State/organization] containing an offer of assistance in implementing Security Council resolution 1540 (2004).

The note verbale [letter] was received by the Committee secretariat on [date], and it was circulated to the members of the Committee for their information on the same date.

Please note that your offer of assistance will be posted on the Committee's website (<http://www.un.org/sc/1540/offersofassistance.shtml>) and will be circulated to Member States requesting assistance.

The Committee and its Group of Experts (Email: 1540experts@un.org) are available to engage in further discussions with you and will contact you on the next steps to facilitate matching your offer with requests for assistance.

For any further information, please contact the Committee at:

Secretariat of the 1540 Committee
2 United Nations Plaza, Room DC2-2046
United Nations, New York, NY 10017
Fax: 212-963-1300
Email: sc-1540-Committee@un.org

Throughout the process, the Committee invites you to inform it if you have offered bilateral assistance directly to any Member States.

Please accept, Excellency [Sir or Madame] the assurances of my highest consideration.

Attachment 1 ter

Letter of acknowledgment of a specific offer of assistance

Excellency [Dear Sir or Madame],

On behalf of the Security Council Committee established pursuant to resolution 1540 (2004), I have the honour to refer to the note verbale [letter] of [date] from the Permanent Mission [Ministry/Office] of [State/organization] containing an offer of assistance in implementing Security Council resolution 1540 (2004) in response to the requests for assistance from [State] of [date].

The note verbale [letter] was received by the Committee secretariat on [date], and it was forwarded to [State] on [date] and to the members of the Committee for their information on [date].

The Committee and its Group of Experts (Email: 1540experts@un.org) are available to engage in further discussions with you and will contact you on the next steps with regard to your offer of assistance.

Please accept, Excellency [Sir or Madame], the assurances of my highest consideration.

Attachment 2

Note verbale to potential assistance providers

The Chair of the Security Council Committee established pursuant to resolution 1540 (2004) presents his compliments to the [Permanent Representative of State / to the United Nations / Secretary General of IGO] and has the honour to address a matter of importance pursuant to operational paragraph 7 of the resolution, and to relevant provisions of resolution 1810 (2008).

In that paragraph, the Security Council recognized that some States may require assistance in implementing the provisions of this resolution within their territories and invited States in a position to do so to offer assistance as appropriate in response to specific requests to the States lacking the legal and regulatory infrastructure, implementation experience, and/or resources for fulfilling their obligations under resolution 1540.

In accordance with paragraph 11c of resolution 1810, the Committee's clearing house role in facilitating technical assistance has been strengthened including by engaging actively in matching offers and requests for assistance through such means as assistance templates, action plans or other information submitted to the Committee. Moreover, under its current Programme of Work, the Committee has a working group focused on assistance (a copy of the Programme of Work is available at <http://www.un.org/sc/1540/programofwork.shtml>).

In this context, the Committee received an assistance request from [State], which is attached for your [Government's / organization's] consideration as a potential provider of assistance. [The requesting State used, or referred to, the assistance template, approved by the Committee in November 2007]. It indicates areas in which assistance is being sought. The Committee's website also indicates that XX Member States have expressed more general interest in receiving assistance.

If your country/organization is interested in considering any of the existing assistance requests, in learning more about the Committee's current Programme of Work, or in providing additional information in this regard, please contact the Committee at:

Secretariat of the 1540 Committee
2 United Nations Plaza, Room DC2-2046
United Nations, New York, NY 10017
Fax: 212-963-1300
Email: sc-1540-Committee@un.org

Upon receipt of your reply, the Committee will contact you on the next steps to facilitate matching requests and offers of assistance. The Committee encourages States or organizations in a position to offer assistance to contact the requesting State or organization directly, while informing the Committee of such response. Your current information, as a potential assistance provider, is posted at this link: <http://www.un.org/sc/1540/offersofassistance.shtml>.

The Chair would appreciate it if your [Government / organization] would inform the Committee by [one month from the date of receiving this letter] of its interest in the attached assistance requests and on the appropriate point of contact, both in New York and your capital concerning resolution 1540 (2004). The Chair would also appreciate if, throughout the process, you would inform the Committee of any bilateral action taken to respond to that request.

Attachment 3

Letter to requestors on responses received from interested assistance providers

Excellency [Dear Sir or Madame],

On behalf of the Security Council Committee established pursuant to resolution 1540 (2004), I have the honour to refer to your letter [date], containing a request for assistance in the implementation of resolution 1540 (2004).

Your request has been circulated to Member States of the United Nations and to international organizations that had expressed interest in providing assistance. Replies with offers relevant to the request were received as follows:

...

Copies of the relevant messages are attached below for your information.

The Committee is pleased to inform you that talks are currently underway, at the level of experts, on details regarding the implementation of your request.

The Committee would be grateful if [State/organization] would inform it whether it would seek further assistance or facilitation of a dialogue with assistance-providers to further the implementation of resolution 1540 by [State / organization], by contacting the Committee at the address below :

Secretariat of the 1540 Committee
2 United Nations Plaza, Room DC2-2046
United Nations, New York, NY 10017
Fax: 212-963-1300
Email: sc-1540-Committee@un.org

Attachment 4

Follow-up letter to requestors

Excellency [Dear Sir or Madame],

On behalf of the Security Council Committee established pursuant to resolution 1540 (2004), I would like to refer to for your letter [date] containing a request of assistance in the implementation of Security Council resolution 1540 (2004) and our letter [date] informing you of the offer/s of assistance made by [State / organization].

The Committee will be grateful if you would kindly indicate whether your request for assistance has been successfully met, by contacting the Committee at the address below:

Secretariat of the 1540 Committee
2 United Nations Plaza, Room DC2-2046
United Nations, New York, NY 10017
Fax: 212-963-1300
Email: sc-1540-Committee@un.org

The Committee stands ready to make additional efforts, if necessary, to facilitate a dialogue with assistance-providers to further the implementation of resolution 1540 (2004).