

Proposal for AusAID Core Support to the Small Arms Survey in 2011

Prepared by the Small Arms Survey
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Summary

The Small Arms Survey is the international authority on all aspects of small arms and light weapons and armed violence. It has a global mandate and is devoted to promoting transparency and developing evidence to support policies, programmes and projects designed to enhance security for affected populations. Building on a decade long relationship with the Australian Department of Foreign Affairs and Trade (DFAT) and the Australian Agency for International Development (AusAID), the Survey is **requesting AUD 500,000** for the period **March 2011 to December 2011**. This contribution will be devoted to:

- (1) research on assessing the outcomes of the United Nations Programme of Action on Small Arms (UNPoA);
- (2) producing the 2012 edition of the Small Arms Survey yearbook; and
- (3) basic core and organizational functions.

The expected outcomes of DFAT and AusAID support are various. At a minimum, the Small Arms Survey will generate a range of published outputs (occasional papers, issue briefs, media and policy outreach) to a high standard in 2011, along with the 2012 Yearbook to be released in July 2012 at the Second Review Conference of the UNPoA. Moreover, DFAT and AusAID support will allow the Small Arms Survey to continue promoting informed international decision-making on arms control and armed violence prevention/reduction policies in the United Nations (UN) and at the regional and national levels in affected countries, particularly in South and Southeast Asia and the South Pacific. Moreover, the Survey will support capacity development for data collection, analysis, monitoring and evaluation among public and private actors, particularly in lower- and medium-income settings.

Background on the Small Arms Survey

The Small Arms Survey, established in 1999 at the Graduate Institute of International and Development Studies in Geneva, Switzerland, is the primary source of information on all aspects of small arms and light weapons issues. Its flagship publication, the *Small Arms Survey* yearbook (published by Cambridge University Press), is an annual review of global small arms issues, including small arms production, transfers, stockpiles, socio-economic impacts, and measures and interventions.

In addition, the Survey works with a large network of some 50 local, regional and international partners on research projects around the globe, the vast majority of which are undertaken in the field.¹ The Survey has expertise in rapid baseline assessments with multilateral and bilateral development partners in more than 25 post-conflict countries.² The Survey supplies policy makers and practitioners concerned with preventing and reducing armed violence and promoting human security with robust baseline evidence and analysis, strategic guidance, targeted training and monitoring and evaluation services.

The Survey has been long recognised by diplomats and government experts as the primary source of information and analysis for UN efforts to combat the proliferation and misuse of small arms and light weapons. Its primary communication vectors include the annual yearbook (launched in Geneva and New York every year), its multiple publications, the www.smallarmssurvey.org website, and a range of media technologies including documentaries, podcasts, facebook and twitter.

The Survey also hosts the *Secretariat for the Geneva Declaration on Armed Violence and Development*, which includes 108 state signatories and supports advocacy and programming to enhance violence prevention and reduction activities. The Survey is also working closely with the World Bank and UNDP – including on their forthcoming World Development Report and Human Development Report – to examine the influence of armed violence on Millennium Development Goals (MDGs). The Survey is also working with governments at risk of not meeting the MDGs to better design, monitor and evaluate related policies and programmes.

Australian support for the Survey

The Small Arms Survey has a long and strategic relationship with Australia's DFAT and AusAID. Australia's Department of Foreign Affairs and Trade contributed core and project support of 640,000 CHF between 2000 and 2012. This includes critical funding from 2002-2003 for regional studies and investments in baseline assessments in Papua New Guinea, Timor-Leste and Nepal. These and related studies have generated considerable media coverage in Australia, as well as internationally.

Australia's first major contribution, between 2002 and 2003, resulted in an intensive investigation into arms stocks, trade, transfers and legislation across the South Pacific. This led to the publication of the widely cited Occasional Paper 8 *Small Arms in the Pacific* (Alpers and Twyford, 2003). Follow-on research also contributed to the publication of

¹ These include the World Bank, United Nations Development Programme (UNDP), United Nations Children's Fund (UNICEF), World Health Organization (WHO), Organisation for Economic Co-operation and Development (OECD), including both DAC and INCAF, the Organization for Security and Co-operation in Europe (OSCE), the North Atlantic Treaty Organization (NATO) and many others.

² The Small Arms Survey has conducted small arms baseline assessments in conjunction with UNDP and other UN agencies in a number of countries, including Burundi, the Central African Republic, the Republic of Congo, Sudan, Uganda, Tajikistan, Haiti, Mauritania, Kosovo, Macedonia, Serbia-Montenegro, Papua New Guinea, and the Solomon Islands.

Occasional Paper 15 *Silencing Guns: Local Perspectives on Small Arms and Armed Violence in Rural South Pacific Islands Communities* (Lebrun and Muggah, 2005). Both of these publications remain path-breaking in the region.

Australia's partnership with the Small Arms Survey expanded from 2004 onwards. Between 2004 and 2006 the Small Arms Survey in partnership with the Australian National University (ANU) worked with AusAID support to undertake a baseline assessment of armed violence in Papua New Guinea (PNG). This resulted in a host of publications including a chapter in the Small Arms Survey 2006 yearbook and a study, published by the UNDP on armed violence in the region.³ The study was used to inform the July 2005 Gun Summit (held in PNG) and subsequent work by UNDP, Oxfam and others on small arms control. The Small Arms Survey also published a short summary of some of the key findings as a Special Report no. 5 *Gun-running in Papua New Guinea: From Arrows to Assault Weapons in the Southern Highlands* (Alpers, 2005).

In 2008 the Small Arms Survey, in partnership with ActionAid-Australia and with financial support from AusAID, launched the Timor-Leste Armed Violence Assessment (TLAVA). The TLAVA project generated nine publications in English, Bahasa, Tetum and Portuguese and outputs were distributed internationally and regionally.⁴ The TLAVA publications have already informed dialogue on the issues of armed violence and featured in the Timorese Parliament, academic journals, and OECD and World Bank reports. Between 1 January 2010 and 30 December 2010 the TLAVA website had 57,062 page views, 29,472 visits and approximately 9,900 unique viewers.

Most recently, in 2010, the Small Arms Survey, with support from AusAID, launched the Nepal Armed Violence Assessment (NAVA). Between 2011 and 2012 the NAVA project will be generating at least five major publications for release in Nepal and internationally. The NAVA project has already initiated publications in the international media⁵, and will also seek to support local researchers and policy makers establish a productive dialogue to identify concrete opportunities to prevent and reduce armed violence. It will also forge partnerships with the UNDP and other agencies to promote early warning.

To this we should add that Canberra has graciously created space for civil society to participate in UN forums and has included the Survey's Sarah Parker as a member of the Australian delegation to the most recent UNPoA biennial meeting in New York, last June (BMS-4), as well as the Preparatory Committee meetings on the Arms Trade Treaty held in New York in July 2010 and February 2011.

³ See Chapter 7, "Jumping the Gun: Armed Violence in Papua New Guinea" by Robert Muggah and Nicole Haley.

⁴ See www.timorlesteviolence.org for access to all TLAVA publications.

⁵ See, for example, <http://www.opendemocracy.net/subindra-bogati/trouble-ahead-in-nepal>.

Outputs

For more than a decade the Survey has helped set the terms of the international debate on the relationships between small arms, armed violence and development. This was initiated through a formative partnership with multilateral agencies such as the UNDP in 2001 and 2003⁶ and featured a range of ground-breaking publications and strategic inputs to discussions on the UNPoA, and on the relationship between armed violence and development. The Survey has worked closely with a number of governments and development agencies since 2006 to advance the *Geneva Declaration on Armed Violence and Development*.⁷ Between 2009 and 2010 the Survey authored the OECD-DAC guidance on armed violence reduction to identify practical strategies for donor investment.

With Australian core support, the Survey expects to maintain its central position in shaping policy and programming on small arms control and armed violence prevention and reduction in 2011 and beyond. The Survey anticipates the development of several specific outputs from Australian support. These include (1) conducting research on assessing the outcomes and practical steps to implement the UNPoA, (2) producing the 2012 annual yearbook (researched and written during 2011), and (3) basic core and organizational functions.

Research on impacts of a decade of the UNPoA: DFAT and AusAID support will allow the Survey to undertake solid evidence-based research on the key outputs and outcomes of the main global instrument to combat the illicit trade in small arms and light weapons in all its aspects. In 2011, the Small Arms Survey will develop a prospective research agenda that will set in place a means to track changes in legislation, policies, programmes, trade and trafficking in small arms, and related mortality and victimization due to the implementation of the UNPoA. These findings will feature in the 2012 yearbook.

In addition the Survey plans to undertake a multi-year study aimed at assessing ten years of implementation of the UNPoA, including the following elements:

(1) *Analysis of national reports*: a comprehensive analysis of all national reports submitted between 2002 and 2011, in anticipated partnership with the United Nations Institute for Disarmament Research (UNIDIR); (2) *UNPoA Implementation monitor*: the creation of a mechanism to monitor and evaluate UNPoA implementation based on a scoring system similar to the Transparency Barometer produced by the Survey annually. The implementation monitor will adopt a 100-point scoring system, using indicators derived from the UNPoA and International Tracing Instrument commitments and other sources, such as the reports of the Group of Governmental Experts meetings on ammunition and brokering, and based on

⁶ See, for example, Muggah and Batchelor (2002) *Development Held Hostage: Assessing the Effects of Small Arms on Human Development*. New York: UNDP and Small Arms Survey (2003) *Development Denied*. Oxford: Oxford University Press.

⁷ The Geneva Declaration features 108 state signatories and an international coalition devoted to investing in practical strategies to improve security and reduce armed violence.

information derived from national reports; (3) *Regional studies*: a series of regional studies that supplement the assessment of UNPoA implementation efforts in select regions (East or West Africa, the Pacific and Southeast Asia) based on national reports, with information obtained from other sources (including relevant regional organizations, questionnaires, key informant interviews, reports by international organizations and UN agencies); and (4) *Reporting practicalities*: a survey of three to five states⁸ to examine the process by which they prepare their national reports on UNPoA implementation (including interdepartmental cooperation and coordination, the role of national focal points and national coordination agencies, and the role of civil society).

Initial steps in the multi-year study that will be completed in the calendar year 2011 include the following: (1) establishing a methodological framework for analyzing national reports and commencing the analysis of national reports; (2) designing the indicators that will be the basis of the implementation scoring system through consultations with relevant experts in the small arms community; and (3) preparing a series of guidelines for national reporting derived from the scoring system, to be presented at the launch of the project during the meeting of the First Committee (Disarmament and International Security Committee) in October 2011. The remaining outputs of the multi-year study will be delivered in 2012.

Small Arms Survey yearbook 2012: DFAT and AusAID support will enable the Survey to devote personnel and research support to the production of the 2012 yearbook. The majority of the research and writing for yearbooks takes place in the preceding year – in this case 2011. It is expected that the 2012 yearbook will focus on the “impacts and outcomes” of the UNPoA over the past decade. The Survey will publish the 2012 yearbook with Cambridge University Press and ensure extensive media outreach through internet, radio, television, film and print news.⁹

Sustained core functions of the organization: DFAT and AusAID support will allow for the retention of core research personnel that are essential to the daily functioning and high quality outputs of the Survey. Such resources allow for the maintenance of a dedicated cadre of PhD and post-graduate level researchers, including from lower- and medium-income settings. Such staff are critical for the Survey not just to maintain its exacting standards, but to routinely exceed them from year to year.

⁸ This will include Australia, which has submitted the largest number of national reports on UNPoA implementation (nine reports).

⁹ In 2009, for example, the Survey reported more than 63,000 downloads of its publications and more than 1 million discreet pages viewed from its primary website (www.smallarmssurvey.org), as well as hundreds of thousands of downloads of publications and outputs on related websites. See, for example, www.genevadeclaration.org, www.lebanonviolence.org, www.timorlesteviolence.org, www.yemenviolence.org, www.smallarmssurveysudan.org, and others. The Survey also produced a documentary film for ministerial and UN General Assembly debate (<http://www.genevadeclaration.org/faces-of-violence.html>).

Budget

The overall budget of the Small Arms Survey in 2011 is estimated to be approximately 6,365,772 CHF – the figure approved by the Survey’s oversight body, the International Programme Council (IPC), for the 2011 Budget (attached). The Survey traditionally receives most of its funding (about 90%) from governments. In 2009-2010, the Survey received support from Australia, Belgium, Canada, Denmark, Finland, Germany, the Netherlands, Norway, Spain, Sweden, Switzerland, the UK, and the United States. Other sources have included agencies and bodies in the UN System such as UNDP, UNICEF, and the World Bank, as well as OECD among others.

Some governments provide core (untied) support to the Survey, while others support specific projects. Some of this assistance is specified to cover a specific calendar or fiscal year and must be renewed every 12 months or so. Other support is on a multi-year basis. Additional Australian support in 2011 will be quite timely, given the uncertainties around future funding from some key traditional partners.

Moving Forward

Ongoing core support for the Small Arms Survey is critical to the fulfillment of its central mission, and is widely recognized by donors to be meritorious. As noted in recent IPC meetings, there has been a discernible trend by some governments to move from core to project-specific support and from multi-year agreements to one-off commitments. This arrangement makes it harder for the Survey to be proactive and flexible in supporting and undertaking worthwhile initiatives – which is something many governments consider a particularly attractive aspect of the Survey’s culture and method of operations.

We would welcome additional support for continued research in South and Southeast Asia and the Pacific, where the Small Arms Survey continues extending its research support and outputs in these otherwise weakly examined geographic areas. Specifically, the Survey aims to expand its research portfolio in India (where it has recently launched with existing funds the Indian Armed Violence Assessment), China (where it is exploring entry points with key research institutions), PNG and Bougainville (where it maintains extensive linkages with research institutions and UN agencies) and elsewhere.

The Survey also plans to continue its engagement with regional organizations such as the Association of South-East Asian Nations (ASEAN) and the Pacific Islands Forum (PIF) as well as the UN Regional Centre for Peace and Disarmament (UNRCPD) in Kathmandu. In this regard, the Survey will also undertake to develop a close working relationship with relevant officials in different ministries in Canberra and at key Australian missions, as it does with all core-contributing partners. The work of the Survey could benefit from deeper contacts with government officials knowledgeable about small arms production, transfers and markets in the Asia-Pacific region (arguably the most opaque in the world) and familiar with the activities of regional players such as ASEAN, PIF, and UNRCPD. Multi-year core support together with working relationships with more members of your government and representatives of civil society would generate better information and analysis on issues of concern to Canberra and others.

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