

June 2018



# ANNUAL REPORT 2017



# Feedback

‘I would like to . . . thank you for your great support in the development of [a national small arms and light weapons strategy]. The continued close cooperation with our partners will be crucial for the successful implementation of the goals and objectives set out in the document and for effective and sustainable results in the international fight against the illicit trade in and misuse of small arms and light weapons.’

—Programme officer at a ministry of foreign affairs

‘Your publications are very useful. The research is always excellent and I rely on it a lot for my work.’

—Senator from Uruguay

‘The ongoing efforts by the Survey are highly appreciated in the IGAD (Intergovernmental Authority on Development) region and beyond.’

—Security professional at IGAD

‘The Making Peace Operations More Effective project is a most welcome initiative.’

—Professional in the international research sector

‘One of the best meetings I have ever attended on these topics.’

—Law enforcement official at one of the four EU-supported symposia that the Small Arms Survey and UNODA organized in support of RevCon3

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# Contents

|   |           |
|---|-----------|
| <b>List of boxes, figures, images, maps, and tables</b> ..... | <b>4</b>  |
| <b>List of abbreviations</b> .....                            | <b>5</b>  |
| <b>From the director of the Small Arms Survey</b> .....       | <b>6</b>  |
| <b>Introduction</b> .....                                     | <b>7</b>  |
| Gender .....  | 7         |
| <b>Weapons and ammunition stocks</b> .....                    | <b>8</b>  |
| Introduction .....  | 8         |
| Selected activities, 2017 .....                               | 9         |
| <b>Illicit flows of weapons and ammunition</b> .....          | <b>10</b> |
| Introduction .....  | 10        |
| Selected activities, 2017 .....                               | 12        |
| <b>Impacts of weapons and ammunition</b> .....                | <b>13</b> |
| Introduction .....  | 13        |
| Selected activities, 2017 .....                               | 14        |
| <b>Support to multilateral frameworks</b> .....               | <b>14</b> |
| Introduction .....  | 14        |
| Selected activities, 2017 .....                               | 15        |
| <b>Organization, partners, and finance</b> .....              | <b>17</b> |
| The Survey team .....   | 17        |
| Providing institutional guidance and support .....            | 17        |
| Working with partners .....                                   | 17        |
| Financing the work .....                                      | 18        |
| <b>Getting the word out</b> .....                             | <b>19</b> |
| Publications list, 2017 .....                                 | 19        |
| <b>The Small Arms Survey team in 2017</b> .....               | <b>20</b> |

# List of boxes, figures, images, maps, and tables

## Boxes

|  |    |
|--|----|
| 1. Regional multi-year projects                              | 8  |
| 2. Improving arms control in peace operations                | 9  |
| 3. Terrorist acquisition of weapons                          | 12 |
| 4. Databases   | 13 |
| 5. The 2030 Agenda for Sustainable Development               | 15 |
| 6. Third UN Small Arms Programme of Action Review Conference | 17 |
| 7. The Survey and the Maison de la Paix                      | 18 |

## Figures

|  |    |
|--|----|
| 1. Small Arms Survey funding in 2015, 2016, and 2017 | 19 |
|--|----|

## Images

|  |    |
|--|----|
| 1. Small Arms Survey Physical Security and Stockpile Management (PSSM) Priorities Matrix (with sample answers) | 9  |
| 2. Global overview of violent deaths in 2016   | 12 |
| 3. Small Arms Trade Transparency Barometer   | 13 |
| 4. Small Arms Survey organigram, December 2017   | 18 |

## Maps

|   |    |
|---|----|
| 1. Main flows of illicit weapons to and through Niger | 10 |
|---|----|

## Tables

|  |    |
|--|----|
| 1. Small Arms Survey Strategic Goals, 2014–18                            | 7  |
| 2. Activities related to work on weapon and ammunition stocks            | 10 |
| 3. Activities related to work on illicit flows of weapons and ammunition | 11 |
| 4. Activities related to work on impacts of weapons and ammunition       | 14 |
| 5. Activities related to support to multilateral frameworks              | 16 |

# List of abbreviations

|                           |   |
|---------------------------|---|
| <b>2030 Agenda</b>        | 2030 Agenda for Sustainable Development   |
| <b>ATD</b>                | Arms Transfers Dialogue   |
| <b>ATT</b>                | Arms Trade Treaty   |
| <b>AU</b>                 | African Union   |
| <b>BCMS</b>               | Bosnian-Croatian-Montenegrin-Serbian  |
| <b>CSP<sub>3</sub></b>    | Third Conference of States Parties to the ATT   |
| <b>DCAF</b>               | Geneva Centre for the Democratic Control of Armed Forces  |
| <b>DDR</b>                | Disarmament, demobilization, and reintegration  |
| <b>ECOWAS</b>             | Economic Community of West African States   |
| <b>EU</b>                 | European Union  |
| <b>G&amp;D Hub</b>        | Gender and Diversity Hub (of the Maison de la Paix)   |
| <b>GBV</b>                | Gender-based violence   |
| <b>GCSP</b>               | Geneva Centre for Security Policy   |
| <b>GICHD</b>              | Geneva International Centre for Humanitarian Demining   |
| <b>HSBA</b>               | Human Security Baseline Assessment  |
| <b>IHEID</b>              | Institut de hautes études internationales et du développement/<br>Graduate Institute of International and Development Studies   |
| <b>IPC</b>                | International Programme Council   |
| <b>ITI</b>                | International Tracing Instrument  |
| <b>KAIPTC</b>             | Kofi Annan International Peacekeeping Training Centre   |
| <b>LCMA</b>               | Life-cycle management of ammunition   |
| <b>MdP</b>                | Maison de la Paix   |
| <b>MPOME</b>              | Making Peace Operations More Effective  |
| <b>OSCE</b>               | Organization for Security and Co-operation in Europe  |
| <b>PCC</b>                | Police-contributing country   |
| <b>PoA</b>                | UN Programme of Action to Prevent, Combat and Eradicate the Illicit<br>Trade in Small Arms and Light Weapons in All Its Aspects |
| <b>PSSM</b>               | Physical security and stockpile management  |
| <b>RESOLVE</b>            | Researching Solutions to Violent Extremism  |
| <b>RevCon<sub>3</sub></b> | Third UN Small Arms Programme of Action Review Conference   |
| <b>SAFTE</b>              | Studying the Acquisition of Illicit Firearms by Terrorists in Europe  |
| <b>SALW</b>               | Small arms and light weapons  |
| <b>SANA</b>               | Security Assessment in North Africa   |
| <b>SDG</b>                | Sustainable Development Goal  |
| <b>TCC</b>                | Troop-contributing country  |
| <b>UEMS</b>               | Unplanned explosions at munition sites  |
| <b>UNIDIR</b>             | UN Institute for Disarmament Research   |
| <b>UNMAS</b>              | UN Mine Action Service  |
| <b>UNODA</b>              | UN Office for Disarmament Affairs   |
| <b>UNODC</b>              | UN Office on Drugs and Crime  |
| <b>UNSCAR</b>             | UN Trust Facility Supporting Cooperation on Arms Regulation   |

## From the director of the Small Arms Survey

Throughout 2017 the Small Arms Survey contributed to global efforts to reduce the illicit proliferation of small arms and the incidence of armed violence. Working with our strategic partners, we supported the implementation of international and regional arms control measures, helped to create new checks and balances to counter small arms proliferation, and developed buy-in for their uptake and use. While the Survey supports processes and helps with agenda setting, our core focus is on implementation and impact. Our strategic engagement at the regional and regional levels strengthens international commitments such as the UN Programme of Action on Small Arms and Light Weapons (PoA). The Survey continues to generate authoritative data and analysis that help set agendas, and to support and monitor governments' implementation of related goals and commitments.

This report provides an overview of what we achieved in 2017 and the way we worked to deliver these results. It includes details on more than 20 distinct projects and gives specific examples of how the Survey assists government policy-makers, programmers, and civil society organizations who are working to implement arms control measures; reduce the incidence of violent deaths; counter illicit flows of arms; and better document, prioritize, and understand conflict dynamics.

During the year we benefitted from an independent evaluation of the Swiss strategic partnership with the Survey and welcomed its assessment that the Survey provided good value for money and had managed to efficiently handle the chal-

lenge of a reduction of core funding after 2015. The evaluation also indicated that some of the work we previously did should be reinstated; for example, our Yearbook series, which was held in high esteem, deserves additional earmarked funding to enable us to restart publication.

In the past year the Survey not only continued to deliver on its existing commitments, but also undertook several ambitious additional projects. These new initiatives provide a sturdier foundation on which to successfully base our core work. Indeed, in 2017 we hired 12 staff members and consultants to bring wider expertise and increased capacity to the multidisciplinary Survey team.

Two new, large, multi-year initiatives produced their first results in 2017: the Making Peace Operations More Effective (MPOME) project, and support for the Third UN Small Arms Programme of Action Review Conference (RevCon3). We appreciate the assistance we have received from Canada and the European Union (EU) in moving these initiatives forward. And we acknowledge the productive and rewarding collaboration with the UN Office for Disarmament Affairs (UNODA) on the RevCon3 project.

During 2017 we also updated our widely used and globally referenced databases. The Survey's Global Violent Deaths database formed the basis of the eponymous 2017 report, which analyses trends through 2016 and scenarios for the period 2017–30. The study was introduced during Geneva Peace Week in November. *Trade Update 2017*, which included our Transparency Barometer,

was launched during the Third Conference of States Parties to the Arms Trade Treaty (ATT). Our Peace Operations Data Set, which highlights losses of lethal materiel in peace operations since the 1990s, informed our study *Making a Tough Job More Difficult: Loss of Arms and Ammunition in Peace Operations*. Analyses and figures from our Unplanned Explosions at Munitions Sites (UEMS) database were published in the November issue of the *Journal of Conventional Weapons Destruction*. The year 2017 also saw significant progress in updating our Global Firearms Database, and we will release our new figures on global holdings in June 2018 during RevCon3. Sustained donor support is needed to allow us to continue updating, maintaining, analysing, and making publicly accessible these databases in the future.

Let me close with a special note of thanks to the Graduate Institute of International and Development Studies (IHEID), of which we are a project, for their enhanced levels of support in 2017. I also appreciate the assistance we receive from our donors, our partners, and—most of all—from our Small Arms Survey team. The team's hard work and dedication have allowed us to successfully continue our core work while moving forward ably and energetically to take advantage of several exciting new opportunities.



—Eric G. Berman  
Director

# Introduction

Since its beginning in 1999 in response to the need for authoritative evidence and analysis of the nature and consequences of the proliferation of small arms around the world, the Small Arms Survey has provided support for informed action by states and other actors. This Annual Report provides an overview of the many ways in which the Survey continued in this tradition as a central source of expertise, information, and analysis in 2017.

Over the years the nature of this work has been shaped by an understanding of the particular policy needs of states and other actors. In this Annual Report we have chosen to emphasize the main thematic areas into which these policy needs fall as a means of highlighting activities undertaken during the year and how the Survey sought to make a difference through its work. These themes, unpacked and illustrated in the following pages, are: weapons and ammunition stocks, illicit flows, impacts, and support to multilateral frameworks. The Survey also puts a major emphasis on its research and analysis on the gender-specific dimensions of small arms proliferation and armed violence.

In 2017 the Small Arms Survey continued to implement its 2014–18 Strategic Plan. The Strategic Goals of this plan provide the overall orientation for the intended achievements of the Small Arms Survey (see Table 1).

The work undertaken in the various thematic areas includes the collection of data, including field data; in-depth

research and analysis of this data; the communication of findings through traditional and new media; contributions to possible normative changes in a range of policy fora; and training and capacity building. Examples of these different ways of working are illustrated throughout the various thematic sections.

The final part of this Annual Report provides current information on the Survey as an organization—its team, its partners, its funding—and on the outreach dimensions of its work, including publications and other forms of communication.

## Gender

Arms proliferation and armed violence have gender-specific dimensions. The Small Arms Survey is exploring these dimensions in its research and policy engagements across its thematic areas of work.

Gender is a cross-cutting theme, increasingly featured in international fora ranging from the Women, Peace and Security Agenda to the implementation of the 2030 Agenda for Sustainable Development (2030 Agenda), and in arms control treaties such as the ATT. There is, however, little analysis on the differentiated impacts of small arms and light weapons on women and men, girls and boys. To address part of this gap, the Survey's *Global Violent Deaths 2017: Time to Decide* report featured a section on 'a gendered analysis of violent deaths'.

The Survey's publications and communications team produced content on gender-based violence (GBV) within the framework of the annual 16 Days of Activism Against Gender-Based Violence campaign, to draw attention to Survey research on the connections between GBV and small arms and light weapons. In 2017 Survey staff also provided expertise and capacity-building support to the project Gender-balanced Approaches to Small Arms Controls and Awareness to Strengthen Community Resilience in Libya. This project provided training to improve the skills and capacity of a group of Libyan women so that they could educate and raise the awareness of other members of their respective communities on the risks associated with small arms and light weapons and ammunition. This, in turn, allows for the integration of relevant risk reduction education tools in small arms and light weapons programming at the community level.

The Survey supported the integration of a gender perspective into international arms control processes through its contribution to the preparatory work for RevCon3. The expert-level thematic symposia held in preparation for RevCon3 featured gender as a cross-cutting theme, with one symposium including gender as its primary theme, together with the Sustainable Development Goals (SDGs). As a result of the Survey's work, awareness of the importance of a gender perspective increased and proposals for practical solutions to enhance UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) to be formulated. These will be presented at several RevCon3 preparatory regional conferences in 2018.

The Survey also helped increase awareness among the participating states of the Organization for Security and Co-operation in Europe (OSCE) of the importance of gender mainstreaming in small arms and light weapons work through an event on the margins of the OSCE Annual Security Review Conference. The event generated great interest in gender-related small arms and light weapons work and highlighted the need for sharing good practice on concrete ways to mainstream gender in this context.

**Table 1** Small Arms Survey Strategic Goals, 2014–18

|                  |  |
|------------------|--|
| Strategic Goal 1 | The Small Arms Survey will maintain its role as a global centre of excellence on small arms, light weapons, and armed violence.  |
| Strategic Goal 2 | The Small Arms Survey will work to catalyse change through knowledge building and expertise.   |
| Strategic Goal 3 | The Small Arms Survey will contribute to the development of international norms and best practices through its engagement with international and regional initiatives.   |
| Strategic Goal 4 | The Small Arms Survey will enhance the measuring, evaluating, and monitoring of the effectiveness of security promotion initiatives, and promote the cross-fertilization of best practices within and between regions. |
| Strategic Goal 5 | The Small Arms Survey will consolidate its management and develop a careful growth strategy with adequate organizational, human, and financial resources.  |

The Survey further mainstreamed gender in its work on peace operations through its MPOME project. The Survey also began collaboration with a research group on NATO, gender, and learning, following participation in the NATO conference on Gender in Military Operations, and integrated a gender perspective when supporting the Viking 18 international peace and crisis management training exercise organized by the Swedish Armed Forces and the Folke Bernadotte Academy.

In 2017 the Survey also continued to engage with the Maison de la Paix Gender

and Diversity (G&D) Hub. The G&D Hub, started in 2015, is a collaborative project of six Geneva-based organizations: the Geneva Centre for the Democratic Control of Armed Forces (DCAF), the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), the Gender and Mine Action Project, the Gender Centre at the Graduate Institute, and the Survey. As a leading source of expertise on gender and diversity issues relating to peace and security, the G&D Hub fosters inclusive security policy and practice in Geneva.

## Weapons and ammunition stocks

### Introduction

While civilian weapons are distributed among millions of owners, the storage of official weapons, especially military weapons, often requires accumulating them in a few places. Poor stockpile security is an important cause of arms and ammunition being diverted from legal to illicit markets. Inadequate ammunition storage and poor maintenance of munition sites also increase the risk of explosions, with severe consequences when they occur in urban areas. The loss of individual small arms and ammunition—through theft (by outsiders) or pilferage (by members of a country’s armed forces or law enforcement agencies)—is a widespread problem. For example, research carried out by the Survey in the Sahel–Sahara region shows that armed groups have obtained a large amount of materiel from poorly secured stockpiles of the states they are fighting. The loss of small arms in natural disasters is rare, but is still happening.

The Survey engages with the challenges of weapons and ammunition management across their life cycle (from planning to procurement, stockpile management, and disposal), and in 2017 supported a range of activities. These included advising the UN SaferGuard Programme, which is building a roster of expert ammunition technical specialists from diverse global regions who have obtained standardized certifications of competence in line with the International Technical Ammunition Guidelines; developing the *Practical Guide to Life-cycle Management of Ammunition* (LCMA) Handbook and the Bosnia and Herzegovina LCMA case study, both of which help stakeholders to safely and securely manage their ammunition stockpiles; working at the national level with strategic partners to improve the weapons management policies and practices of national armed forces; and working with national partners to introduce the use of the Physical Security and Stockpile Management (PSSM) Priorities Matrix previously developed by the Survey.

In 2017 the Survey intensified work to update the global estimates of fire-arm stocks by category (civilians, law enforcement, and military) that it initially published in 2007. It will release the new figures in June 2018.

### Box 1 Regional multi-year projects

Two projects of the Small Arms Survey are regionally focused and multi-year in nature. Established in 2006 and 2012 respectively, the Human Security Baseline Assessment (HSBA) and the Security Assessment in North Africa (SANA) projects touched upon a wide range of the Survey’s core themes in 2017.

#### HSBA

The HSBA project, in its 11th year, focuses on Sudan and South Sudan. The overarching objective of the project is to shape policy and programming, and inform peace processes and conflict resolution in these countries. The HSBA project is widely credited with providing policy-makers, researchers, and practitioners with impartial and in-depth analysis of conflict dynamics in Sudan and South Sudan. The HSBA publication series was widely consulted in 2017, with more than 194,000 downloads of original, peer-reviewed research (more than 160,000 in English, nearly 32,000 in Arabic, and just under 2,000 in French). Publications in 2017 included research on the internal dynamics within the Sudan People’s Liberation Movement-in-Opposition; the Agreement on Resolution of Conflict in the Republic of South Sudan peace process; conflict in the Equatorias—Democratic Republic of the Congo border area; transformations in the national South Sudan police force; Sudanese militias and paramilitary forces; and cross-border conflict and illicit arms in the tri-border region of Sudan, Chad, and Libya (a joint publication with the Survey’s SANA project). HSBA researchers also began the development of an online mapping instrument of conflict actors to provide donors and researchers with current information on the complex political and military dynamics operating in South Sudan. Plans for this online tool, scheduled for completion in 2018, include the further development of illicit arms flows mapping in South Sudan. Funding for HSBA in 2017 was provided by the US Department of State.



#### SANA

The SANA project, initiated in 2012, supports efforts to build a more secure environment in the greater Sahel–Sahara region. The project produces timely, evidence-based research and analysis on the availability and circulation of small arms, the dynamics of emerging armed groups, conflict trajectories, and related insecurity. All SANA publications are translated into Arabic, and several also appear in French to extend SANA’s regional reach and exposure. In 2017 the SANA project recorded nearly 54,000 downloads of its publications (more than 40,000 in English, more than 9,000 in Arabic, and nearly 2,800 in French) and more than 1,900 downloads of its podcasts. Its 2017 publications included research on measuring illicit arms flows, arms trafficking, and terrorism in Niger; assessing the online trade of small arms and light weapons in Libya; documenting smuggling networks and statelessness in the Chad–Sudan–Libya border triangle; the gold rush in northern Niger; and emerging armed groups in Egypt. Activities in 2017 included weapons identification and reporting training for journalists, a public panel discussion on transnational armed groups and violence in the Sahara–Sahel region as part of Geneva Peace Week, participation in the Researching Solutions to Violent Extremism (RESOLVE) Network annual forum, and a series of closed policy briefings at the invitation of key project stakeholders. Funding for SANA in 2017 was provided by the Netherlands, Canada, and Switzerland.





## Selected activities, 2017

### Physical security and stockpile management

The continuing work of promoting and supporting the use of the Survey-developed PSSM Priorities Matrix was an important focus of the Survey in 2017. This tool provides a structured approach for national governments and other participants to identify problems concerning the safe and secure storage of weapons and ammunition, and to prioritize and implement solutions. The matrix allows national security and other national interests to be recognized, while identifying ways to improve both weapons/ammunition storage and record-keeping in line with the UN PoA. These matrix-based methods were pioneered by the Survey and are now being adopted by other organizations, including the African Union (AU). PSSM-related in-country work in 2017 included assisting the national military authorities in Bosnia and Herzegovina with a weapons-marking programme and database of weapons. The Survey, in partnership with the Mines Advisory Group, assisted the Government of Burkina Faso in developing a National Action Plan for PSSM. In Niger, the Survey supported government officials working to assess national PSSM needs and develop a roadmap for addressing issues requiring attention.

### Making Peace Operations More Effective

The Survey's MPOME project, established in December 2016, examines the loss of materiel from peace operations and works with MPOME partners to reduce these losses. The four routes to results are convening regional conferences to identify and share the expertise of troop- and police-contributing countries (TCCs and PCCs); working bilaterally with TCCs and PCCs to learn from their experience and help develop national training modules and good-practice guidelines; developing or enhancing checks and balances to counter diversion by organizations that authorize peace operations; and sharing findings and promoting good practice with policy-makers, programmers, and experts at relevant international fora.

In April the Survey held the First MPOME Regional Workshop in Accra with the Kofi Annan International Peacekeeping Training Centre (KAIPTC) and the Economic Community of West African

**Image 1** Small Arms Survey Physical Security and Stockpile Management (PSSM) Priorities Matrix (with sample answers)

| PSSM element  | Problem   | Solution  | Solution criteria scores  |   |  | Priority score (highest priority =11 points) (urgency plus feasibility scores)  |                              |
|---|---|---|---|---|--|---|------------------------------|
|   |   |   | Urgency<br>1: Low<br>2: Low/medium<br>3: Medium<br>4: Medium/high<br>5: High  | Difficulty<br>1: Difficult<br>2: Easy   | Affordability<br>1: Expensive<br>2: Affordable   |   | Speed<br>1: Slow<br>2: Quick |
| Procedures and regulations                                  |   |   |   |   |  |   |                              |
| Stockpile locations   | Civilian dwellings have expanded over time around an ammunition storage facility, posing a threat to the inhabitants, who may suffer injury or loss of life in the event of an unplanned explosion. | The storage facility should be relocated to a location that is at a safe distance from the civilian population. | The problem is of high urgency (5) as the site is in a densely populated urban area and contains large amounts of ageing and unstable ammunition, raising the risk of an unplanned explosion. | Relocating the large amounts of unstable ammunition to another site would be difficult (1) due to the possibility that it may explode during transport. | Moving the ammunition is likely to be expensive (1) as it will require specialized equipment and qualified personnel in view of the large quantity of unstable ammunition to be moved. | Implementation of the solution is likely to be slow (1) since it will take time to source the required equipment and personnel. | 8                            |
| Physical security measures                                  |   |   |   |   |  |   |                              |
| Control of access   |   |   |   |   |  |   |                              |
| Inventory management (including record-keeping and marking) |   |   |   |   |  |   |                              |
| Staff training  |   |   |   |   |  |   |                              |
| Security during transport                                   |   |   |   |   |  |   |                              |
| Procedures and sanctions for theft or loss                  |   |   |   |   |  |   |                              |
| Surplus, including identification and disposal              |   |   |   |   |  |   |                              |

Annexe from *Facilitating PSSM Assistance in the Sahel and Beyond: Introducing the PSSM Matrix*

States (ECOWAS). Workshop participants, including several former and current force commanders, shared information on instances of loss and their impact on mission effectiveness, and requested

that the Survey work with ECOWAS and the KAIPTC to develop training modules and courses. In October the Survey, as part of a memorandum of understanding with the AU, convened an inception

### Box 2 Improving arms control in peace operations

In October 2017 the Survey released the report: *Making a Tough Job More Difficult: Loss of Arms and Ammunition in Peace Operations*. This second study followed up on the 2015 Working Paper *Under Attack and Above Scrutiny? Arms and Ammunition Diversion from Peacekeepers in Sudan and South Sudan, 2002–14*, which clearly showed policy-makers and practitioners that the scale of arms and ammunition losses in peace operations was greater than previously assumed. For the 2015 report the Survey had recorded more than 100 attacks on AU and UN peacekeepers, which resulted in the loss of at least 500 small arms and light weapons, as well as 750,000 rounds of ammunition. The study generated support for an expanded study and led to the MPOME project (described above).

The 2017 study found that the initial estimates of loss were much too conservative: the number of attacks on peacekeepers was far higher than documented; there were more instances of loss of arms and ammunition than previously reported; and the initial estimates of the losses suffered were too low. Moreover, attacks on peacekeepers that resulted in the loss of lethal materiel were not limited to missions in Sudan and South Sudan nor only involved AU and UN peace operations. Dozens of missions carried out by several organizations have experienced losses. All told, the Survey reported that thousands of small arms and millions of rounds of ammunition have been diverted. Much of this diversion could have been readily prevented. Lack of oversight of lethal materiel recovered from hostile forces in areas of operation is also a widespread problem with far-reaching implications for force protection and mandate implementation.



MAKING PEACE OPERATIONS MORE EFFECTIVE



POUR DES OPÉRATIONS DE PAIX PLUS EFFICACES

**Table 2** Activities related to work on weapon and ammunition stocks

| Project, meeting, conference   | Location    | Date          |
|--|-------------|---------------|
| UN SaferGuard Validation Process meeting   | Vienna      | January 2017  |
| Bosnia and Herzegovina weapons marking project   | Sarajevo    | February 2017 |
| High-level National SALW Conference in Moldova   | Chisinau    | February 2017 |
| PSSM National Action Plan for Burkina Faso, follow-up meetings   | Ouagadougou | February 2017 |
| Meeting of the Weapons and Ammunition Management Committee of the Federal Government of Somalia                      | Mogadishu   | March 2017    |
| Survey briefing for donors and partners on PSSM work at German–AU G7 donor coordination meeting for the Sahel region | Berlin      | March 2017    |
| PSSM National Action Plan for Burkina Faso, presentation of plan to national authorities                             | Ouagadougou | March 2017    |
| Meeting with the UN Development Programme (UNDP) on Somalia SALW National Assessment                                 | Mogadishu   | March 2017    |
| Somaliland Validation workshop, National Small Arms Assessment Project   | Hargeisa    | March 2017    |
| Comando Estratégico de Transición seminar on post-conflict and DDR   | Bogotá      | May 2017      |
| XXVth Multinational Small Arms and Ammunition Group Symposium and meetings   | New York    | June 2017     |
| Inter-Agency Working Group on Disarmament, Demobilization, and Reintegration   | Geneva      | July 2017     |
| PSSM Priorities Matrix training workshop   | Niamey      | December 2017 |

meeting to develop guidelines on the management of arms and ammunition recovered in AU peace operations. In December the Survey met with officials from Uruguay to learn from their experience and to explore how the Survey could assist Uruguay in improving its management of arms and ammunition in peace operations.

## Illicit flows of weapons and ammunition

### Introduction

Illicit arms flows occur in all parts of the globe, but tend to be concentrated in areas affected by armed conflict, violence, or organized crime, where the demand for illicit weapons is often highest. These weapons fuel civil wars and regional conflicts, and stock the arsenals of terrorist and criminal organizations, drug cartels, and other armed groups. The 2030 Agenda for Sustainable Development considers illicit weapons an obstacle to development; under Target 16.4 states have undertaken ‘By 2030, [to] significantly reduce illicit . . . arms flows’.

In 2017 the Survey continued to strengthen its understanding of illicit arms flows, building on two decades of experience in this area. While international instruments often focus on cross-border arms trafficking, the Survey’s

fieldwork frequently reveals the importance of local sources of illicit arms. These sources include illicit ‘craft’ production, the diversion of national stockpiles or civilian holdings, and the unauthorized conversion of deactivated and blank-firing weapons to fire live ammunition.

The Survey uses a multidisciplinary approach to documenting the flows of illicit arms and ammunition in all their complexity. This includes analysing weapons that are seized by authorities and gathering forensics data. Weapon seizures only represent part of the picture, however, so the Survey also examines other indicators such as illicit market prices, gun crime statistics, and household survey results.

The Survey’s work on illicit arms flows takes various forms. In 2017 it supported regional and national institutions in measuring and addressing illicit arms flows in Africa and Europe (see Box 3); mapped arms flows and identified policy gaps in support of the AU’s Silencing the Guns agenda; and worked with the national authorities of several countries—including the Central African Republic, Chad, Madagascar, Mauritania, Niger, Nigeria, and South Sudan—to monitor illicit arms flows and assess the capacities available to reduce them. The Survey also worked to support the regulation of the legal trade in weapons by providing training and assisting with the introduction of brokering legislation in three African countries: Ghana, Namibia, and Zambia.

**Map 1** Main flows of illicit weapons to and through Niger



Map 1 from *Measuring Illicit Arms Flows: Niger*

**Table 3** Activities related to work on illicit flows of weapons and ammunition

| Project, meeting, conference  | Location                      | Date                |
|---|-------------------------------|---------------------|
| Meeting with Institut national de la police scientifique, France, for the conversion study  | Lyon                          | January 2017        |
| Meeting with Bundeskriminalamt, Germany, for the conversion study   | Wiesbaden                     | January 2017        |
| Meeting with the Institut de recherche criminelle de la gendarmerie nationale, France, and panel moderation at the Institut de relations internationales et stratégiques event on post-conflict arms trafficking for the conversion study | Paris and Cergy-Pontoise      | January 2017        |
| MPOME briefing for UN officials, and expert meeting   | New York                      | January 2017        |
| Studying the Acquisition of Illicit Firearms by Terrorists in Europe (SAFTE) project meeting  | Brussels                      | February 2017       |
| NATO Euro-Atlantic Partnership Council ad hoc Working Group on SALW and Mine Action   | Brussels                      | February 2017       |
| UN Office on Drugs and Crime (UNODC) expert group meeting on the revision of the Annual Firearms Report Questionnaire   | Vienna                        | March 2017          |
| Rand workshop on the dark web, for the conversion study   | London                        | March 2017          |
| France case study for the SAFTE project   | Paris                         | March 2017          |
| Promediation event, 'Maghreb-Sahel: Emerging from the Turmoil, Developing New Cooperation'  | Tunis                         | April 2017          |
| Meetings with French national Banc d'épreuve  | Saint Etienne and Lyon        | April 2017          |
| Meetings with Guardia Civil in Spain for the Survey's research on firearms conversion   | Madrid                        | April 2017          |
| Russian International Affairs Council meeting, 'Will the States Survive in the Middle East in the XXI Century?'   | Moscow                        | April 2017          |
| Meeting with INTERPOL president and advisors  | Geneva                        | May 2017            |
| Viking 18 Main Planning Conference  | Balsta                        | May 2017            |
| Southeast European Law Enforcement Centre, meeting  | Bucharest                     | June 2017           |
| Inception meeting for the AU–Survey study on mapping illicit arms flows in Africa   | Addis Ababa                   | June 2017           |
| Building National Capacity to Develop Brokering Controls (UNSCAR 2017) workshops in Zambia, Namibia, and Ghana  | Chilanga, Okahandja, Ho       | June, December 2017 |
| Technical workshop on converted firearms in Europe, hosted by the Survey  | Geneva                        | June 2017           |
| Second SAFTE coordination workshop  | Brussels                      | June 2017           |
| Lecture at the DIRPOLIS Institute, Scuola Universitaria Sant'Anna   | Pisa                          | July 2017           |
| 'Conventional Weapons: Small Arms and Light Weapons', part of the week-long Executive Education Course 'Building Capacities on Arms Control in the MENA Region'   | Geneva                        | July 2017           |
| Enhancing Africa's Response to Transnational Organized Crime project meeting; the Survey provided a background paper for the Global Initiative against Transnational Organized Crime  | Cape Town                     | July 2017           |
| NATO Maghreb/Sahel SALW situation brief for the Commission internationale permanente pour l'épreuve des armes à feu   | Brussels                      | July 2017           |
| Meeting with representatives of the Ecole des sciences criminelles, Forensics Department  | Lausanne                      | July 2017           |
| Briefing for the Uganda People's Defence Force on the MPOME project   | Kampala                       | August 2017         |
| Clingendael Libya Expert Meeting  | The Hague                     | August 2017         |
| Introductions/outreach for 'Exploring the potential for community-based small arms and light weapons control interventions in Libya'  | Tunis                         | August 2017         |
| UN Mine Action Service (UNMAS) SALW Mapping in Central African Republic   | Bangui, Bouar, and Bambari    | August 2017         |
| RESOLVE Network meeting and Annual Forum  | Washington, DC                | September 2017      |
| UNDP SALW Mapping in Madagascar   | Antananarivo and Fort Dauphin | September 2017      |
| 'Craft Weapons Production in Nigeria' study, presentation of results to key stakeholders  | Abuja                         | October 2017        |
| INTERPOL Firearms Forensics Symposium (IFFS 2017)   | Dubrovnik                     | October 2017        |
| Third SAFTE coordination workshop   | Brussels                      | October 2017        |
| Meeting with INTERPOL on the capacities and needs of forensics institutions in the Francophone Sahel  | Lyon                          | November 2017       |
| First Planning Workshop for Viking 18 international exercise  | Enköping                      | November 2017       |
| Final Planning Conference for Viking 18   | Balsta                        | November 2017       |
| Meetings for the Nigerian Household Survey project  | Abuja                         | December 2017       |

### Box 3 Terrorist acquisition of weapons

Terrorist attacks in Mumbai (2008), Paris (2015), Copenhagen (2015), Bamako (2015), Tunis (2015), and Ouagadougou (2016) illustrate the harm and fear that terrorists wielding automatic rifles have managed to inflict around the world. The analysis of terrorist weapons often takes a back seat to investigations of the attackers' personal networks, sources of financing, and movements. Yet weapons investigations are vital to counter-terrorism efforts and can help identify both supporters of and ties to broader terrorist and organized crime networks. Information on the procurement of specific firearm models and types of ammunition, including sources of supply, can help identify control gaps, allowing governments to take targeted legislative and enforcement action in response.

The Survey is working with a range of actors, including forensics institutions, to prevent terrorist access to small arms by providing innovative ways to tackle the problem. Relevant Survey deliverables in 2017 included a detailed report on illicit weapons in France, based on ballistics and forensics data, for the multinational project Studying the Acquisition of Illicit Firearms by Terrorists in Europe (SAFTE). Mandated by the European Commission, this study will be released in 2018. The Survey is an associate member of the Working Group on Firearms and Gunshot Residue of the European Network of Forensic Science Institutes, and has worked with this expert community on the threats posed by the proliferation of readily convertible firearms. In Africa, the Survey is cooperating with INTERPOL to assess the capacities of national forensics institutions in the francophone Sahel. Joint field visits took place in Chad and Mauritania in December 2017 and will lead to recommendations for strengthening these countries' capacities to tackle illicit weapons.

Bill to revise Namibia's Arms and Ammunition Act that was finalized in November 2017. The Ad Hoc Committee, established as a direct result of the Survey's workshop, drafted the Bill; the Survey provided further technical input by reviewing the draft. In both Ghana and Zambia, the workshops have moved the issue up the list of priorities and led to some initial preparatory work for legislative change. The Survey's work in this area will continue in 2018 through a new UNSCAR-supported project, Sharing Knowledge and Good Practice to Effectively Regulate Brokering in Southern Africa.

### Firearms conversion in the European Union

Converted firearms include imitation guns such as alarm weapons that have been modified to function as real, lethal-purpose weapons. The Survey is researching the production, transfer, criminal use, and seizure of illegally converted and reactivated firearms in Europe to help European governments take effective countermeasures. Financial support comes from the French and German ministries of foreign affairs, with logistical support provided by the European Multidisciplinary Platform against Criminal Threats (EMPACT). In June 2017 the Survey hosted a technical

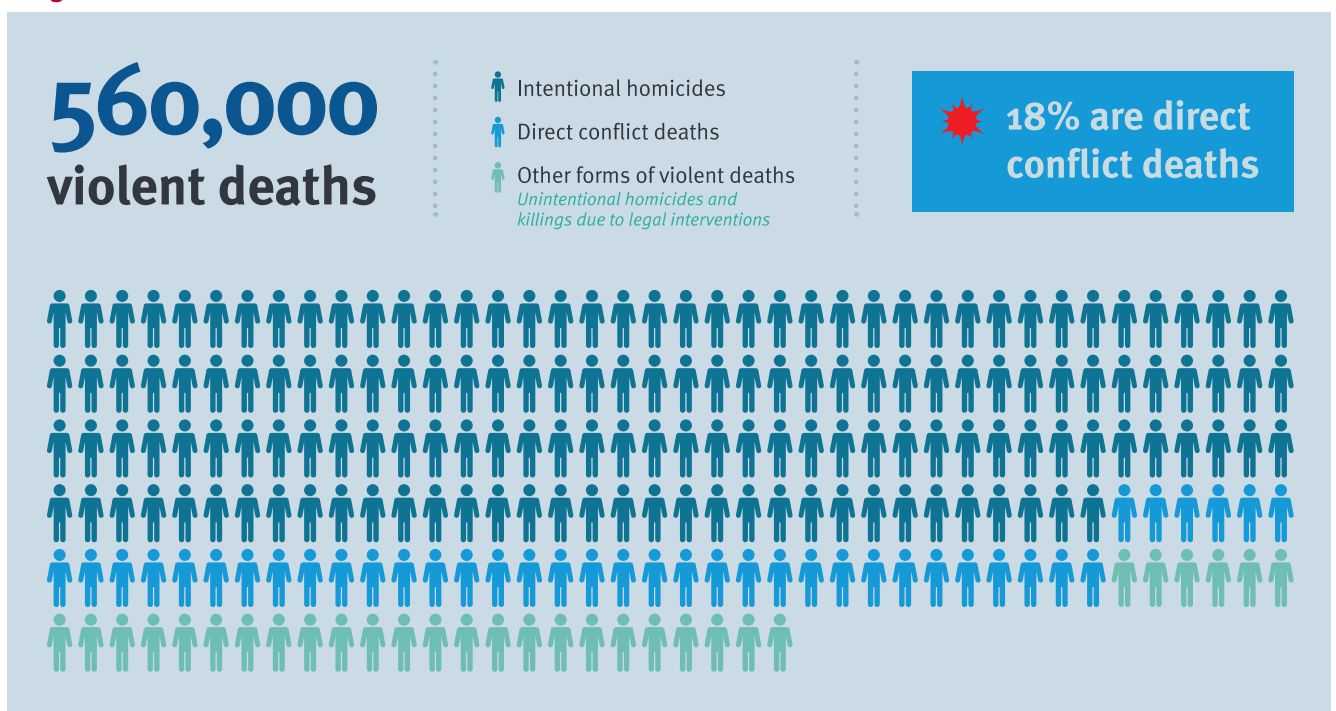
### Selected activities, 2017

#### The regulation of arms brokers

The regulation of arms brokers is an important part of the fight against illicit weapons flows: national legislation needs to be designed, implemented, enforced and regularly updated. Zambia, Namibia, and

Ghana benefitted from the Survey's project Building National Capacity to Develop Brokering Controls, supported by the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR). Training workshops were held in Namibia and Zambia in June 2017 and in Ghana in December 2017. The Namibia workshop led to a draft

### Image 2 Global overview of violent deaths in 2016



Infographic from *Global Violent Deaths 2017: Time to Decide*

workshop to review the scale of the problem, the technical characteristics of the conversion process, the routes and sources of proliferation, and available countermeasures. Participants representing 11 EU countries, the European Commission, and other stakeholders attended the workshop, most of whom were firearms investigators or forensic specialists. The workshop allowed the Survey to gather additional information from official sources and cross-check tentative conclusions regarding source, transit, and end-use countries.

## Impacts of weapons and ammunition

### Introduction

Approximately 560,000 people worldwide met violent deaths in 2016. More than two-thirds of these—385,000—were victims of intentional homicides. For the first time since 2004 the global homicide rate increased slightly, with devastating consequences for communities in countries such as El Salvador, Honduras, and Venezuela, where homicide rates are on a par with war-torn countries such as Afghanistan and Syria. The illicit trade in and misuse of small arms and light weapons fuelled many of these deaths: 38 per cent of all victims of lethal violence in 2016 were killed by firearms.

At the global level there is a growing desire to identify strategies to prevent such violence. One of the responses to the related challenges of illicit arms flows and violent deaths is the international community's commitment to the SDGs. The reduction of both illicit arms flows (SDG Target 16.4) and violent death rates (SDG Target 16.1) is central to SDG 16, which recognizes their catastrophic impact on human development. At the national level, states confront the challenge of translating these commitments into practical policies and programmes that prevent crime and curb related (armed) violence.

Measuring the change produced by specific policies requires the prior establishment of baselines—which the Survey's efforts to collect, compile, and analyse information on armed violence has helped to advance. For many years the Survey has been generating and sharing knowledge on the impacts of small arms misuse as part of a broad multidisciplinary approach,

focusing on public health, security, humanitarianism, development, criminal justice, gender, and human rights. The Survey has developed unique expertise on lethal and non-lethal violence, and on the specific impacts of illicit small arms in areas ranging from the international weapons trade to stockpile security.

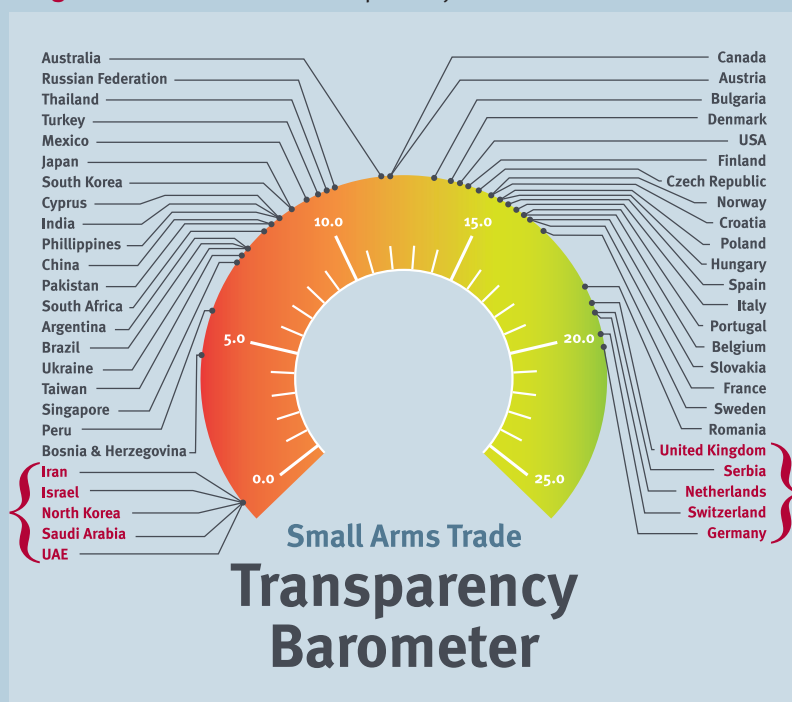
The Survey's work in this area has also involved the development and maintenance of several global databases (see Box 4) aimed at policy-makers and other stakeholders. Related publications and tools—such as those dealing with unplanned explosions at munitions sites—help relevant actors put in place

### Box 4 Databases

The Small Arms Survey has initiated, developed, and maintained five internationally recognized databases that address various aspects of arms and armed violence:

- The Global Firearms Holdings database, maintained since 2007, includes data on firearms holdings by civilians, law enforcement agencies, and military forces from more than 200 countries and territories. In 2018 new updated figures will be released on the Survey website.
- The Survey's Global Violent Deaths database offers comprehensive coverage of homicides, direct conflict deaths, and other violent deaths (unintentional homicides and killings due to legal interventions) from 223 countries and territories reaching back to 2004, including, where available, data disaggregated by sex and by the use of firearms.
- The Peace Operations Data Set records attacks on peacekeepers from missions undertaken by the AU, the UN, and other bodies that have authorized peacekeeping operations. The database focuses on the loss of lethal materiel from such operations, documenting hundreds of attacks that have resulted in losses of thousands of weapons and millions of rounds of ammunition since the 1990s.
- The Small Arms Trade Transparency Barometer assesses the transparency of top and major small arms exporters on an annual basis. The first edition of the Barometer came out in 2004, covering transfers and licenses issued in 2001.
- The Unplanned Explosions at Munitions Sites (UEMS) database tracks the unplanned explosions of stockpiles of ammunition and explosives at storage sites throughout the world. The database provides information on more than 500 incidents since 1979, including, where available, their causes and the number of casualties.

Image 3 Small Arms Trade Transparency Barometer



Infographic from *Trade Update 2017: Out of the Shadows*

practical, proven measures to prevent the unnecessary loss of life. The Survey's field-based assessments provide more granular knowledge of the causes and impacts of violent deaths and illicit arms in highly affected countries and communities. In 2017 Survey staff conducted research on the impacts of armed violence in the Central African Republic, Madagascar, and South Sudan, producing information that policy-makers can use to assess the effectiveness of ongoing violence reduction initiatives in these settings and that can be used by governments and stakeholders in other countries to reduce armed violence. The Small Arms Survey's support for national surveys, such as that planned for Nigeria in collaboration with the Nigerian Presidential

Committee on Small Arms and Light Weapons and the German Embassy in Nigeria, offers further evidence, not only of the Survey's capacity to support the technical aspects of data collection and analysis, but also to translate these efforts into tangible policy—in this case, a future national action plan on small arms.

## Selected activities, 2017

### *Global Violent Deaths 2017* report

The Survey's report *Global Violent Deaths 2017: Time to Decide* adopts the same 'unified approach' to lethal violence, with its coverage of conflict-related, criminal,

and interpersonal violence, that the Survey's earlier Global Burden of Armed Violence reports (2008, 2011, and 2015)—and, indeed, the 2030 Agenda—have used. The 2017 Global Violent Deaths report, the first since the adoption of the 2030 Agenda, includes new information on trends and patterns, the use of firearms, and gender implications. Launched during Geneva Peace Week, the report also sketches out possible future scenarios, based on current trends, to estimate the number of lives that could be saved by the implementation of effective violence reduction initiatives in line with the 2030 Agenda. The report contributes to measuring the progress towards achieving SDG Target 16.1.

## National Small Arms Assessment in Sudan and South Sudan

In August, UNDP released a report by the Survey on the National Small Arms Assessment in South Sudan. The Small Arms Survey designed this comprehensive household survey on security, small arms proliferation, and victimization; managed the collection and analysis of data; and drafted the resulting report within the framework of the HSBA project. The publication of the report by UNDP allows policy-makers and practitioners throughout the world to benefit from the insights shared in the report.

## Support to multilateral frameworks

### Introduction

Contributing to the 'development of international norms and best practices through its engagement with international and regional initiatives' (Strategic Goal 3) is a cornerstone of the Survey's work. While the long-term impacts of Survey support to multilateral frameworks depend above all on the processes and organizations themselves, the Survey is providing decision makers with the information they need to identify specific problems in a nuanced way and address them in the most cost-effective way possible.

The Survey's support for multilateral small arms control accelerated in 2017. Most important in this regard was the UN small arms process and the initial

**Table 4** Activities related to work on impacts of weapons and ammunition

| Project, meeting, conference  | Location        | Date                           |
|---|-----------------|--------------------------------|
| First UN World Data Forum   | Cape Town       | January 2017                   |
| Journalist training at Columbia University Journalism School  | New York        | February 2017                  |
| Expert Group meetings: Development of Voluntary Supplemental Indicators for SDG16   | Oslo, Warsaw    | April, June 2017               |
| Meeting: Maghreb-Sahel: Emerging from the Turmoil, Developing New Cooperation   | Tunis           | April 2017                     |
| Conference organized by the Primakov National Research Institute, 'Greater Middle East in World Politics and Economy'   | Moscow          | April 2017                     |
| Musée de design et d'arts appliqués contemporains in Lausanne; Survey support for the firearms-themed art exhibition 'Ligne de mire: design létal' (Line of Sight: Lethal Design)                         | Lausanne        | June, October 2017             |
| Training, 'Gender-balanced Approaches to Small Arms Controls and Awareness to Strengthen Community Resilience in Libya', three workshops for UNMAS  | Tunis           | August, October, December 2017 |
| Multi-stakeholder consultation on Human Rights Indicators for the Sustainable Development Goals, by the Office of the UN High Commissioner for Human Rights (OHCHR). The Survey developed a concept note. | Geneva          | September 2017                 |
| 'Viable Support for Transition and Stability', Actors Mapping project in Western Equatoria state, South Sudan; meetings and field research  | Juba and Yambio | October 2017                   |
| Conflict Sensitive Assistance Platform meeting and outreach; follow-up for 'Exploring the potential for community-based small arms and light weapons control interventions in Libya'                      | Tunis           | October 2017                   |
| First Arabic-language pilot of Weapons Identification and Training Workshop for journalists organized by SANA with DCAF and the Tunisian Press Agency   | Tunis           | November 2017                  |
| Participation in high-level Libya Exchange meeting  | Tunis           | December 2017                  |

preparations for RevCon3. A major EU-funded project, conducted in collaboration with UNODA, is the main conduit for Survey support to RevCon3 (see Box 6). Other Survey initiatives feeding into preparations for RevCon3 included an analysis of the results of the last PoA meeting, the Sixth Biennial Meeting of States, as well as Arms Transfers Dialogue (ATD) meetings in Geneva that allowed the arms control community to focus on key small arms-related challenges such as the prevention of arms transfers diversion.

The ATD is an example of the Survey's engagement—and expertise—across the full range of global conventional arms control instruments, which include, in addition to the PoA and International Tracing Instrument (ITI), the ATT and the UN Firearms Protocol. Survey publications, research, and expertise are also drawing the attention of policy-makers to important implementation and reporting synergies between the SDGs and existing arms control instruments. The Survey's engagement with regional and sub-regional arms control frameworks also remained strong in 2017, with projects and regular interaction involving the AU, NATO/the Euro-Atlantic Partnership Council, the OSCE, and many others.

## Selected activities, 2017

### Global Partnership on Small Arms and Light Weapons

The Small Arms Survey is a member of the Global Partnership on Small Arms and Light Weapons, a web platform that connects existing initiatives on illicit arms with the 2030 Agenda, in particular SDG Target 16.4 on illicit arms flows. The Global Partnership encourages the sharing of information and experience, and brings together work relating to the PoA; the ATT; and the Women, Peace, and Security Agenda. To support the implementation of Target 16.4, the Survey published an online assessment of amendments to SDG Indicator 16.4.2 adopted by the UN Statistical Commission at its 48th session in March 2017. In addition, the Survey carried out a series of case studies, including on Niger (March 2017) and Ukraine (April 2017), following similar studies in 2016 on Honduras (November 2016) and Somalia (October 2016). Drawing on the experiences of various countries and contexts, these

case studies offer useful insights into how to measure progress in combatting illicit arms flows. The Survey supported this work in May 2017 with a podcast on the measurement of illicit arms flows in non-conflict settings.

### Arms Transfers Dialogue series

The ATD series, conducted in collaboration with the UN Institute for Disarmament Research (UNIDIR), supports the work of Geneva-based diplomats—and their governments—on the ATT, the PoA, and other arms control instruments. The series seeks to build expertise on arms control issues and to foster common understandings of relevant norms and practices. Expert presentations by the Survey and UNIDIR were followed by a plenary discussion of options for preventing diversion. The Survey is currently seeking funding to continue



the ATD series in 2018 and beyond. The second ATD meeting was held as a side event to an informal preparatory meeting for the Third Conference of State Parties to the ATT (CSP3) in May. This meeting highlighted synergies among the SDGs, the ATT, and other relevant arms control instruments. The meeting was well attended, with more than 50 government and UN officials participating, as well as members of civil society. The ATD launched a dedicated website to make relevant resources and meeting summaries available to interested stakeholders: <[www.armstransfersdialogue.org](http://www.armstransfersdialogue.org)>.

#### Box 5 The 2030 Agenda for Sustainable Development

The adoption of Agenda 2030 in 2015 represents a major advance in recognizing—and acting on—the linkage between security and development. The SDGs are universal, holistic, and inclusive: no goal can be achieved without the others, everyone has a role to play, and no one should be left behind.



The alignment of global policy agendas—such as development and the Women, Peace, and Security Agenda—with efforts to effectively control small arms affords states an important opportunity to coordinate strategies and collaborate in controlling illicit small arms. By strengthening policy development, programming, and political engagement, governments can reduce the burden of armed violence on communities, combat violent extremism, and limit or reduce urban violence.

Agenda 2030 provides an overarching framework for the achievement of sustainable development, and the effective implementation of each of the SDGs underpins the realization of all the other SDGs. While most of the Survey's work contributes to supporting SDG 16 on peaceful and inclusive societies, and in particular Target 16.4, which aims at a significant reduction of illicit arms flows, its work also connects with a range of other SDGs, such as SDG 5 on gender equality and SDG 11 on safe cities and human settlements.

In 2017 the Survey, through its PoA- and ATT-related work, contributed to ongoing international efforts to bridge the divide between the various arms control processes and the SDGs. The Global Partnership platform, for example, hosted Talking Target 16.4, a series of blog posts on the arms control–SDGs connection.

The Survey has played an important role in the development of indicators and initiatives designed to enhance the measurement and monitoring of armed violence, access to justice, and illicit arms flows. In particular, it participated in the development of a methodology for the implementation of Indicator 16.1.2 on conflict-related deaths in support of the UN High Commissioner for Human Rights. The Survey is a founding member of the SDG 16 Data Initiative, a project established by a consortium of 14 NGOs to support the sharing of data relevant to SDG 16, contributing to its 2017 Annual Report. Survey collaborations on the SDGs also include its membership of the Expert Group established by the Community of Democracies for the Development of Voluntary Supplemental Indicators for SDG 16. The Survey coordinates the SDGs Hub at the Maison de la Paix in Geneva.

**Table 5** Activities related to support to multilateral frameworks

| Project, meeting, conference   | Location           | Date           |
|--|--------------------|----------------|
| Academic Council of the UN Systems conference; meetings with UNDOC   | Vienna             | January 2017   |
| ATD meeting on small arms diversion  | Geneva             | February 2017  |
| EU Non-Proliferation Consortium expert seminar, 'Developments in SALW Technology and Design', presenting the RevCon3 project   | Brussels           | March 2017     |
| Briefing for officials of the Canadian Department of National Defence on the MPOME project   | Ottawa             | March 2017     |
| Meeting with UN officials, including UNODA, on the MPOME project   | New York           | March 2017     |
| Third Plenary Meeting of the Montreux Document Forum   | Geneva             | April 2017     |
| First MPOME Regional Workshop  | Accra              | April 2017     |
| AU Consultative Meeting on the ATT and Its Implementation in Central Africa  | N'Djamena          | May 2017       |
| Support for the Graduate Institute of International and Development Studies 'Solutions Forum on SDG 16+: Towards Implementation'   | Geneva             | May 2017       |
| Fifth European Association of Peacekeeping Training Centres meeting  | Helsinki           | May 2017       |
| NATO Annual Discipline Conference on Gender in Military Operations   | Brussels           | May 2017       |
| Eighth AU-Regions Steering Committee on SALW and DDR   | Addis Ababa        | May 2017       |
| Second ATD meeting on synergies between SDGs and the ATT; side event to a preparatory meeting for CSP3   | Geneva             | May 2017       |
| Side event by the Survey and Center on International Cooperation (CIC): 'Agenda 2030—Fostering Peaceful, Just, and Inclusive Societies: Time to Deliver' at the 26th session of the UN Commission on Crime Prevention and Criminal Justice | Vienna             | May 2017       |
| Fifth meeting of the Working Group on Firearms (Firearms Protocol), support to the Swiss Mission   | Vienna             | May 2017       |
| Meeting with financial and administrative director and head of the political section at the Union du Maghreb Arabe   | Rabat              | June 2017      |
| Conference on 'Promoting Stakeholder and Parliamentary Dialogue on the Arms Trade Treaty' organized by the Friedrich Ebert Stiftung and the Parliamentary Forum on SALW  | Dakar              | June 2017      |
| Lecture at Canadian-funded Peace Support Operations Course and meetings with ASEAN officials   | Sentul and Jakarta | August 2017    |
| UN SaferGuard Expert Validation Process Pilot, certification of experts  | Thun               | August 2017    |
| 14th Southern African Development Community Regional Coordinating Committee Meeting on SALW  | Windhoek           | September 2017 |
| OSCE regional workshop on Quality and Information Management in Explosive Hazards Reduction and Response   | Dushanbe           | September 2017 |
| 23rd Annual Meeting of the International Association of Peacekeeping Training Centres  | Cairo              | September 2017 |
| 'The Prevention Agenda, Illicit Arms Flows and the SDGs: How Do They Connect?' Event organized by the Graduate Institute of International and Development Studies and Australia  | Geneva             | September 2017 |
| Inception meeting for project on the management of recovered arms and ammunition in AU peace operations  | Addis Ababa        | October 2017   |
| Second meeting of the Coordination Platform for the AU-Germany Project on Enhanced SALW Control and PSSM in the Greater Sahel Region   | Addis Ababa        | October 2017   |
| RevCon3 preparatory thematic symposium: 'Small Arms Control in Conflict and Post-conflict Settings'  | New York           | October 2017   |
| RevCon3 preparatory thematic symposium: 'SDGs and Gender'  | New York           | October 2017   |
| OSCE meeting to review the implementation of OSCE projects in the field of SALW and surplus conventional ammunition  | Vienna             | October 2017   |
| XXVIth Multinational Small Arms and Ammunition Group Symposium   | Brussels           | November 2017  |
| Exploratory meetings: 'NATO and Incorporating Gender in Professional Military Education Curricula'   | Oslo               | November 2017  |
| RevCon3 preparatory thematic symposium: 'New Technologies'   | Brussels           | November 2017  |
| RevCon3 preparatory thematic symposium: 'Synergies'  | Geneva             | November 2017  |
| Ninth meeting of the AU-Regions Steering Committee on SALW and DDR   | Addis Ababa        | December 2017  |



## Box 6 Third UN Small Arms Programme of Action Review Conference

Every six years the UN undertakes a major review of the multilateral control framework provided by the PoA and ITI, with the next, RevCon3, scheduled for June 2018. As part of a broader project in support of this process, the EU, through the European Council, convened four thematic symposia in October–November 2017. These symposia, piloted by the Small Arms Survey in collaboration with UNODA, brought together experts from civil society, multilateral organizations, and states to discuss ways of strengthening small arms-related work in areas that feature prominently on the RevCon3 agenda.

The symposia addressed the following areas:

- small arms control in conflict and post-conflict situations;
- small arms, the SDGs, and gender;
- recent developments in small arms manufacturing, technology, and design; and
- synergies between the PoA and other arms control instruments and processes.

Throughout the symposia Survey moderators pushed participants to do more than identify particular problems, and rather identify solutions to these problems. Symposia participants rose to the challenge, producing the action-oriented recommendations that could lay the groundwork to save lives and strengthen security in the post-RevCon period. The results of the symposia will be presented at five regional conferences in 2018 and published in three UN languages in advance of RevCon3.



Small Arms Survey social media visuals for the four RevCon3 preparatory thematic symposia

communications team comprising three series editors, two consultants, and an Arabic outreach coordinator; an administrative team, including a senior administrative assistant, two administrative assistants, and an accountant; a senior advisor; and two long-term consultants.

## Providing institutional guidance and support

### Graduate Institute for International and Development Studies

The Small Arms Survey is a project of the Graduate Institute in Geneva. This relationship facilitates joint work with the Graduate Institute's programmes, activities, and facilities. The Graduate Institute also provides organizational and administrative support to the Survey. This was particularly important in the second half of 2017.

### International Programme Council

The International Programme Council (IPC) provides programmatic oversight to the Survey. The council is made up of representatives from donor and other governments, research institutes, and non-governmental organizations. The IPC is responsible for approving the broad strategic direction, administration, and budget of the Survey, as well as offering advice and counsel. The council met twice in 2017 (June and December, both times in Geneva).

## Working with partners

The thematic sections of this report illustrate the many dimensions of the work of the Small Arms Survey in 2017. An essential part of this is the way in which the Survey works in partnership with others. The very nature of what the Survey achieves and how results are obtained is significantly enhanced by the many ways in which the Survey pursues its work through engagement with other organizations. Our partners cover the spectrum from other research bodies and civil society organizations to regional intergovernmental bodies and international organizations; they form important parts of the Survey's programmes that

## Organization, partners, and finance

### The Survey team

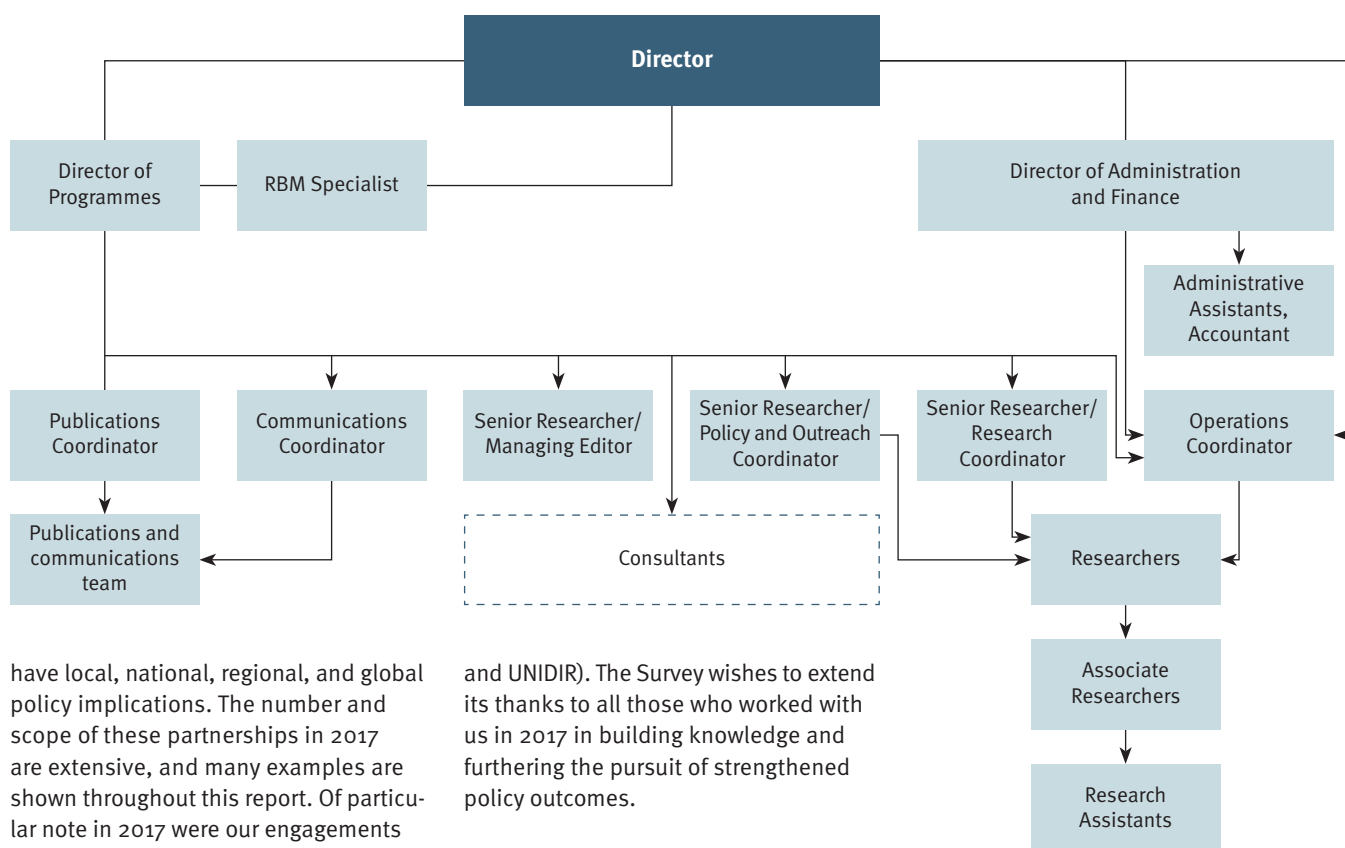
The Survey team included 43 staff members and long-term consultants in December 2017 (see organigram below). About half of the team works full time and the rest on a part-time basis, and about half the team are Geneva based at our headquarters in the Maison de la Paix (see Box 7). Others are based at various locations outside Switzerland, including in our office at the Stimson Center in Washington, DC.

During 2017 we welcomed Moshe Ben Hamo Yeger, Jeff Brehm, Eric Deschambault, André Desmarais, Emilia Dungal, Russell Gasser, André Gsell, Sigrid Lipott, Thanh Mai Thi Ngoc, Claire Mc Evoy, Mathieu Morelato, and Francis Wairagu to the

team, and said good-bye to Richard Steyne. Cedric Blattner left the Survey at the end of the year. Kvitoslava Krotiuk helped us during the summer months. Also of note, Paul Holtom, a long-term consultant, moved to Geneva to join us full time. Jovana Carapic and Mihaela Racovita were promoted to researchers.

As of 31 December 2017 the Survey comprised three directors (director, director of administration and finance, and director of programmes); six middle managers, of whom five were coordinators (communications, operations, policy and outreach, publications, and research) and the sixth the managing editor; a research team of three senior researchers, eight researchers, one associate researcher, and four research assistants; five technical specialists (covering arms and ammunition, results-based management, and survey methodology); a publications and

**Image 4** Small Arms Survey organigram, December 2017



have local, national, regional, and global policy implications. The number and scope of these partnerships in 2017 are extensive, and many examples are shown throughout this report. Of particular note in 2017 were our engagements with a number of regional organizations (AU, ECOWAS, EU, NATO, OSCE) and UN bodies (UNDP; UNODA and its three Regional Centres for Peace and Disarmament, in Africa (UNREC), in Asia and the Pacific (UNRCPD), and in Latin America and the Caribbean (UNLIREC); UNODC;

and UNIDIR). The Survey wishes to extend its thanks to all those who worked with us in 2017 in building knowledge and furthering the pursuit of strengthened policy outcomes.

### Financing the work

A wide range of contributing partners make the work of the Small Arms Survey possible. In 2017, thanks to a total income of CHF 4,843,933

(USD 4,730,403), the overall funding of the organization remained at a similar level to that of 2016.

Unrestricted (core) funding enables the Survey to sustain the costs of regular staff, maintain flexibility in taking advantage of opportunities as they arise, and undertake important work for which there is no available support from a specific project grant. In 2016 the Survey had experienced a major reduction in this kind of core support as a percentage of overall Survey funding. In 2017 unrestricted funding slightly decreased compared to 2016.

The Survey wishes to acknowledge and express its sincere thanks for the financial support provided by the following donors and for the confidence they have expressed in its ongoing work:

Donors providing unrestricted (core) funding in 2017:

- Sweden (Ministry of Foreign Affairs, Department for Disarmament, Non-proliferation and Export Control, through the Swedish International Development Cooperation Agency)
- Switzerland (Federal Department of Foreign Affairs, Directorate of Political Affairs, Human Security Division)

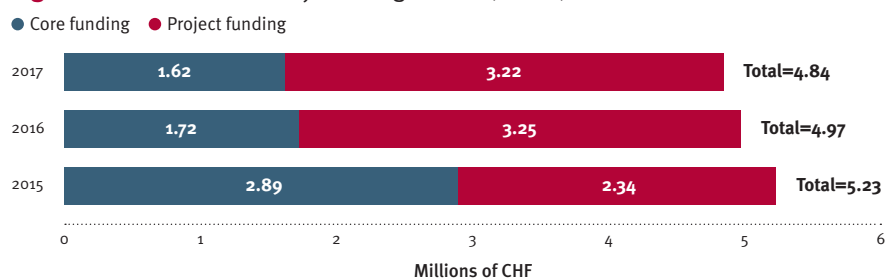
### Box 7 The Small Arms Survey and the Maison de la Paix

The Small Arms Survey is located at the Maison de la Paix (MdP) in Geneva. This innovative addition to 'Genève Internationale' is situated close to the UN Office at Geneva at the Palais des Nations, and to many other UN bodies and international organizations with offices in Geneva. The MdP serves as a campus for the Graduate Institute of International and Development Studies; three centres of excellence supported by the Swiss Confederation (DCAF, the GCSP, and the GICHD), and a number of other organizations active in the field of peace and development, such as Interpeace and the World Business Council for Sustainable Development.

The work of the Survey is enhanced by its collaboration with many of these bodies, as well as with research centres of the Graduate Institute, such as the Centre on Conflict, Development and Peacebuilding, and the Geneva Peacebuilding Platform. In 2017 joint activities included sharing in the organization and leadership of the annual Results-Based Management Workshop, planning for the 2018 Annual Meeting of the European Association of Peace Operations Training Centres to take place at the MdP in May 2018, developing a weapons and ammunition management course with the GCSP, and joining with the GICHD in supporting the UNODA SaferGuard Programme.

The Survey currently also engages collaboratively in a range of MdP joint initiatives, such as the G&D Hub and the SDGs Hub. The G&D Hub, made up of six MdP organizations, has worked since 2015 to ensure that the MdP becomes a centre of excellence for the promotion of inclusive security policy and practice. The SDGs Hub, established in 2016 and made up of eight MdP organizations, aims to facilitate access to and the sharing of knowledge and resources among these centres in their work in the framework of the 2030 Agenda.

**Figure 1** Small Arms Survey funding in 2015, 2016, and 2017



Funding for projects in 2017:

- Australia (Department of Foreign Affairs and Trade, International Security Division; and Permanent Mission of Australia in Geneva)
- Canada (Ministry of Foreign Affairs, Trade and Development)
- European Union (European Council)
- Flemish Peace Institute
- France (Permanent Mission of France in Geneva)
- Finland (Permanent Mission of Finland in Geneva)
- Geneva International Centre for Humanitarian Demining
- Germany (German Federal Foreign Office; and Deutsche Gesellschaft für Internationale Zusammenarbeit)
- Global Initiative against Transnational Organized Crime
- Netherlands (Ministry of Foreign Affairs, Stabilization and Humanitarian Aid Department)
- Nigeria (Office of the President)
- Sweden (Ministry of Foreign Affairs)
- Switzerland (Federal Department of Foreign Affairs, Directorate of Political Affairs, Human Security Division; and Swiss Agency for Development and Cooperation)
- United Kingdom (Foreign & Commonwealth Office, through the Mines Advisory Group)
- United Nations Development Programme
- United Nations Office for Disarmament Affairs (both directly and through UNSCAR)
- United States (Department of State: Office of Weapons Removal and Abatement, Bureau of Political Military Affairs; and Office of the US Special Envoy for Sudan and South Sudan, Bureau of African Affairs)

## Future project funding approved in 2017

A project in support of the Commonwealth Secretariat funded by the UK Foreign & Commonwealth Office and the ACCESS initiative funded by the Government of Japan were both approved in 2017 for work starting in 2018.

## Getting the word out

### Publications list, 2017

The Small Arms Survey released 22 publications and 12 translations in 2017; each contributing to one or more of the five Strategic Goals and relating to at least one of the four Annual Report themes (stocks; illicit flows; impacts; support to multilateral frameworks).

- *Global Development and Production of Self-loading Service Rifles: 1896 to the Present*, by N.R. Jenzen-Jones. Working Paper No. 25, January 2017.
- *Tracking Conflict-related Deaths: A Preliminary Overview of Monitoring Systems*, by Irene Pavesi. Briefing Paper, March 2017.
- *Policing in South Sudan: Transformation Challenges and Priorities*. HSBA Issue Brief No. 26, March 2017 (also available in Arabic).
- *Measuring Illicit Arms Flows: Niger*, by Savannah de Tessières. Briefing Paper, March 2017 (also available in Arabic and French).
- *Measuring Illicit Arms Flows: Ukraine*, by Anton Martyniuk. Briefing Paper, April 2017 (also available in Ukrainian).
- *Remote-control Breakdown: Sudanese Paramilitary Forces and Pro-government Militias*. HSBA Issue Brief No. 27, April 2017 (also available in Arabic).
- *Web Trafficking: Analysing the Online Trade of Small Arms and Light Weapons in Libya*, by N.R. Jenzen-Jones and Ian McCollum. Working Paper No. 26, April 2017 (also available in Arabic).

- *Southern Libya Destabilized: The Case of Ubari*, by Rebecca Murray. SANA Briefing Paper, April 2017 (also available in Arabic).
- *Spreading Fallout: The Collapse of the ARCSS and New Conflict Along the Equatorias–DRC Border*. HSBA Issue Brief No. 28, May 2017.
- *Beyond the ‘Wild West’: The Gold Rush in Northern Niger*, by Mathieu Pellerin. SANA Briefing Paper, June 2017 (also available in Arabic and French).
- *Tubu Trouble: State and Statelessness in the Chad–Sudan–Libya Triangle*, by Jérôme Tubiana and Claudio Gramizzi. HSBA Working Paper No. 43, June 2017. A joint publication of HSBA, SANA, and Conflict Armament Research (also available in French).
- *Anti-tank Guided Weapons*. Research Note No. 16, Weapons and Markets, April 2012, updated June 2017 (also available in Bosnian-Croatian-Montenegrin-Serbian (BCMS) and Bulgarian).
- *Man-portable Air Defence Systems (MANPADS)*. Research Note No. 1, Weapons and Markets, January 2011, updated June 2017 (also available in Arabic, BCMS, and Bulgarian).
- *A Challenging State: Emerging Armed Groups in Egypt*, by Mokhtar Awad. SANA Briefing Paper, July 2017 (also available in Arabic).
- *Gaining Perspective: The UN Programme of Action’s Sixth Biennial Meeting*, by Glenn McDonald. Briefing Paper, September 2017.
- *Trade Update 2017: Out of the Shadows*, by Paul Holtom and Irene Pavesi. Trade Update, September 2017.
- *Beyond the Battlefield: Towards a Better Assessment of the Human Cost of Armed Conflict*, by Erik Alda and Claire Mc Evoy. Briefing Paper, September 2017.
- *Isolation and Endurance: Riek Machar and the SPLM-IO in 2016–17*, by John Young. HSBA Report, October 2017.
- *Making a Tough Job More Difficult: Loss of Arms and Ammunition in Peace Operations*, by Eric G. Berman, Mihaela Racovita, and Matt Schroeder. Small Arms Survey/MPOME Report, October 2017.
- *MPOME First Regional Workshop Report: Making Peace Operations More Effective*, edited by Emile LeBrun. Small Arms Survey/MPOME Report, October 2017 (also available in French).
- *Arms Control 2.0: Operationalizing SDG Target 16.4*, by Glenn McDonald, Anna Alvazzi del Frate, and Moshe Ben Hamo Yeger. Briefing Paper, October 2017.
- *Global Violent Deaths 2017: Time to Decide*, by Claire Mc Evoy and Gergely Hideg. Small Arms Survey Report, December 2017.

## MEDIA COVERAGE

# 323

Our findings were cited in 323 media articles, not including articles that were picked up by other outlets.

### POPULAR THEMES INCLUDED:

- Armed violence
- Authorized arms trade and transparency
- Civilian possession
- Femicide
- Illicit arms flows
- Libya
- Loss of arms from peace operations
- MANPADS
- Online arms trafficking
- Poaching
- South Sudan and Sudan
- Violent death rates

### PROMINENT OUTLETS INCLUDED:

- AFP
- Al Jazeera
- Al Monitor
- All Africa
- BBC
- CNN
- Estadao
- Deutsche Welle
- Foreign Policy
- La Nacion
- Le Monde
- Le Temps
- Nikkei
- Reuters
- Radio Télévision Suisse
- Sudan Tribune
- The East African
- The Guardian
- The New York Times
- The Phnom Penh Post
- The Washington Post
- Tuoi Tre
- Xinhua

## PUBLICATION DOWNLOADS BY PROJECT



1,080,089  
**DOWNLOADS**  
in 2017



717,284  
**66%**  
Small Arms Survey  
(non project specific)



\* The MPOME project launched its first publication in October 2017.

## TOP PUBLICATION DOWNLOADS IN 2017



## OTHER DATA



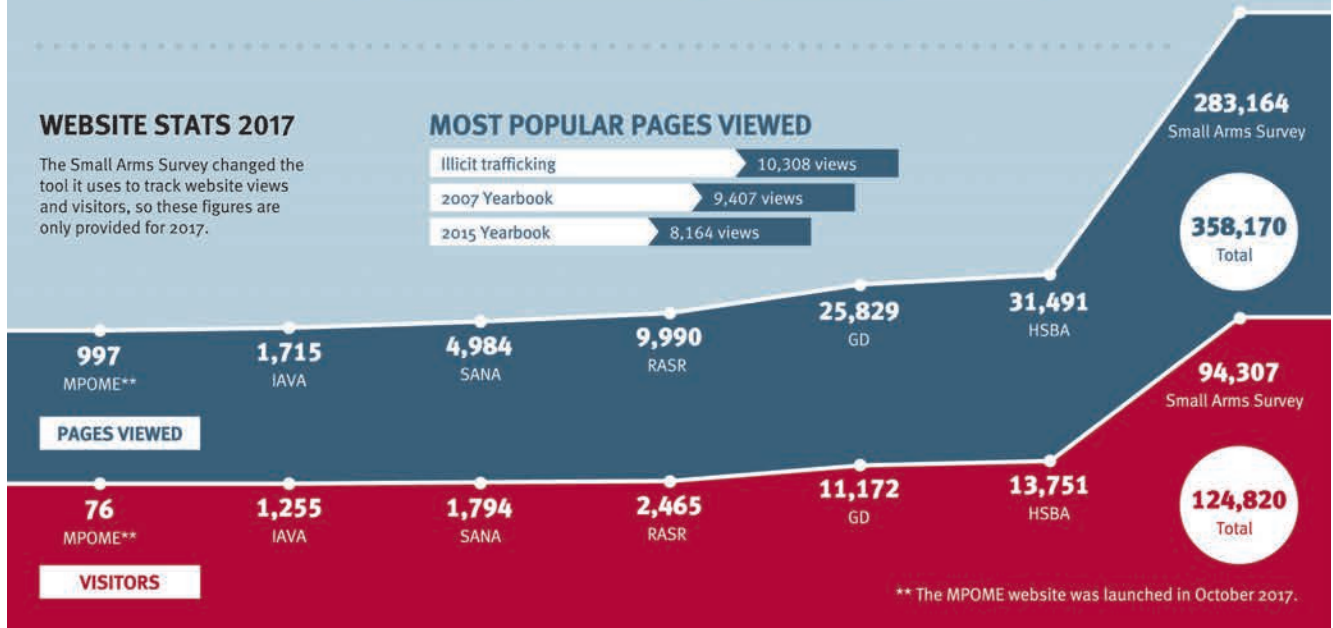
## SOCIAL MEDIA AND E-ALERTS



## WEBSITE STATS 2017

The Small Arms Survey changed the tool it uses to track website views and visitors, so these figures are only provided for 2017.

## MOST POPULAR PAGES VIEWED



\*\* The MPOME website was launched in October 2017.

Not drawn to scale, for representative purposes only

## The Small Arms Survey team in 2017



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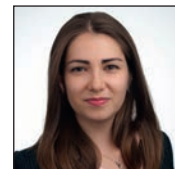
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The illicit proliferation of small arms and light weapons represents a grave threat to human security. The vision of the Small Arms Survey is a world where safety and security for all are protected and promoted.

# About the Small Arms Survey

The Small Arms Survey is a global centre of excellence whose mandate is to generate impartial, evidence-based, and policy-relevant knowledge on all aspects of small arms and armed violence. It is the principal international source of expertise, information, and analysis on small arms and armed violence issues, and acts as a resource for governments, policy-makers, researchers, and civil society. It is located in Geneva, Switzerland, and is a project of the Graduate Institute of International and Development Studies.

The Survey has an international staff with expertise in security studies, political science, law, economics, development studies, sociology, and criminology, and collaborates with a network of researchers, partner institutions, non-governmental organizations, and governments in more than 50 countries.

**For more information, please visit: [www.smallarmssurvey.org](http://www.smallarmssurvey.org).**

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