

June 2017



ANNUAL REPORT 2016



Feedback

‘[Dribs and Drabs: The Mechanics of Small Arms Trafficking from the United States] was an absolute pleasure to read [. . .]. I appreciate the level of detail and insight you provide in your analysis.’

—An Intelligence Research Specialist working in Washington, DC

‘I have been reading and referring to different Small Arms Survey Reports in the past. They are really useful.’

—A staff member at Swisspeace

‘Our new report *Menos armas, más seguridad* has just finished summarizing the theme associated with firearms in Uruguay and its impact on everyday life [. . .]. We have taken your project as a global reference in the subject and enthusiastically welcome the initiative.’

—Instituto de Estudios Legales y Sociales del Uruguay

‘There is literally nothing from [the Survey] I wouldn’t happily stick on my shelf and reference [. . .]. You guys do amazing work.’

—A reader of Small Arms Survey publications at the US Department of State

‘[The Survey] stands apart from other organisations doing similar work.’

—A participant at the Organisation for Economic Co-operation and Development–Open Societies Justice Initiative meeting

Credits and contributors

This Annual Report was compiled and produced by: Alessandra Allen, David Atwood, Olivia Denonville, Emilia Dungal, Russell Gasser, and Glenn McDonald, and was based on inputs provided by Small Arms Survey staff.

Copy-editor: Tania Inowlocki (tania.inowlocki@smallarmssurvey.org)

Proofreader: Stephanie Huitson (readstephanie@ymail.com)

Cartography: Jillian Luff (www.mapgrafix.com)

Design and layout: Rick Jones (rick@studioexile.com)

Front cover photo: © Gwenn Dubourthoumieu/Small Arms Survey

Contents

List of abbreviations	5
From the Director of the Small Arms Survey	6
Introduction	7
I. Consolidating and expanding the knowledge base:	
Strategic Goal 1	7
Meeting data and measurement challenges associated with Sustainable Development Goal 16	8
In-country research	8
Participation in meetings and other events	11
II. Making a difference through better information:	
Strategic Goal 2	11
Safe and secure management of ammunition	11
Life-cycle Management of Ammunition Handbook	11
Weapons Identification Handbook	12
Training materials for guided light weapons recognition	12
Trade and transparency in small arms exports and imports	12
The Association of Southeast Asian Nations and the Arms Trade Treaty	12
PSSM Priorities Matrix	12
Results-based management course for peacebuilding, security, and development	13
Mainstreaming gender in research and training	13
Training of journalists	13
Other activities in support of Strategic Goal 2	14
III. Reinforcing the framework through contributions to norm building and good practice:	
Strategic Goal 3	15
Handbooks and other publications	15
Expert contributions to international processes	15
Other activities in support of Strategic Goal 3	16
IV. Assessing effectiveness and strengthening implementation:	
Strategic Goal 4	16
Monitoring UN arms embargoes	16
Innovation in gender-based violence interventions	16
Assessment of firearms marking programmes of Organization of American States member states	16
Research-based policy briefs on security and violence in Honduras	17
Bosnia and Herzegovina case study: ammunition management	17

V. Organizational and financial foundations:	
Strategic Goal 5	17
Management and staffing	17
The Survey team	18
Oversight	19
Resourcing the work	19
VI. Getting the word out:	
Communications and publications in 2016	20
Publications	20
Co-publications	20
Other outputs	20
Translations	20
Media coverage	21
Social media and eAlerts	21
Small Arms Survey website	21
Total publication downloads in 2016	21
Top publication downloads in 2016	21
Publication downloads	21
VII. The Small Arms Survey team in 2016	22

List of abbreviations

ASEAN	Association of Southeast Asian Nations
ATT	Arms Trade Treaty
BMS	Biennial Meeting of States
CIC	Center on International Cooperation of New York University
DCAF	Geneva Centre for the Democratic Control of Armed Forces
ELRHA	Enhancing Learning and Research for Humanitarian Assistance
FOCA	Forces Combattantes Abacunguzi
GCSP	Geneva Centre for Security Policy
GICHD	Geneva International Centre for Humanitarian Demining
GRIP	Groupe de Recherche et d'Information sur la Paix et la Sécurité
HLPF	United Nations High-Level Political Forum on Sustainable Development
HSBA	Human Security Baseline Assessment
iARMS	INTERPOL Illicit Arms Records and tracing Management System
IATG	International Ammunition Technical Guidelines
IPC	International Programme Council
IPDET	International Program for Development Evaluation Training
ISSAT	International Security Sector Advisory Team
LCMA	Life-cycle management of ammunition
MANPADS	Man-portable air defence system(s)
MdP	Maison de la Paix
NSAASS	National Small Arms Assessment for South Sudan
OAS	Organization of American States
OSCE	Organization for Security and Co-operation in Europe
PM/WRA	Office of Weapons Removal and Abatement, Bureau of Political-Military Affairs, United States Department of State
PoA	United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects
PSSM	Physical security and stockpile management
SANA	Security Assessment in North Africa
SDG	Sustainable Development Goal
SEESAC	South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons
SIPRI	Stockholm International Peace Research Institute
UEMS	Unplanned explosions at munitions sites
UNDP	United Nations Development Programme
UNIDIR	United Nations Institute for Disarmament Research
UNMAS	United Nations Mine Action Service
UNRCPD	United Nations Southeast Asia Regional Centre for Peace and Disarmament in Asia and the Pacific

From the Director of the Small Arms Survey

The year 2016 was very successful, but also difficult for the Small Arms Survey. Following unexpected funding cuts from two important partners, both of which were announced in 2015 and took effect in 2016, we moved forward on our objectives and commitments with a significantly smaller staff. The Survey team nevertheless responded energetically to the additional demands placed on them and we finished 2016 both with a positive balance sheet and having met commitments made. The support and encouragement of the Graduate Institute of International and Development Studies (the Survey's parent organization) were instrumental in helping us meet our goals. New projects will allow us to hire additional staff in 2017, a step vital for our longer-term sustainability.

The Survey has an overall mandate to provide policy-relevant authoritative research and analysis to reduce the illicit proliferation of small arms and the incidence of armed violence. Our 2014–18 Strategic Plan guides our work. This Annual Report is organized along the strategic goals of the Plan and provides a representative account of our activities and our accomplishments in relationship to them.

Our achievements during 2016 were many. Among them, the Survey team:

- developed the Global Partnership on Small Arms and Light Weapons, a platform designed to help policy-makers and practitioners in the arms control sector to move forward on the 2030 Agenda for Sustainable Development by reducing illicit arms flows;
- provided important inputs for advancing the measurement and analysis of Agenda 2030 indicators on the reduction of lethal violence and illicit arms flows, at the global and national levels;
- supported, in conjunction with the UN Office for Disarmament Affairs (UNODA), Ambassador E. Courtenay Rattray of Jamaica, the chair of the Sixth Biennial Meeting of States on the UN Small Arms Programme of Action (PoA);
- published our Arms Trade Treaty (ATT) Handbook, which was distrib-

uted to participants of the ATT Second Conference of States Parties;

- created a planning matrix to assist national officials responsible for physical security and stockpile management (PSSM) in engaging with national counterparts, implementing partners, and donors to improve on present practice;
- assisted the Swiss-led safe and secure management of ammunition initiative, including a conference in November;
- undertook successful field research for a half-dozen studies on arms flows and armed groups in the conflict-affected areas of the Sahel–Sahara region and in South Sudan and Sudan—two long-standing Survey projects;
- engaged actively, especially in the wake of the 2015 terrorist attacks, in efforts to track illicit arms flows in Europe so that policy responses may benefit from improved data collection and analysis; and
- developed our databases on violent deaths, unplanned explosions at munitions sites (UEMS), and global firearms holdings; our annual Trade Transparency Barometer; and our Peace Operations Data Set (which documents the loss of peacekeepers' arms and ammunition).

In 2016 the demands on the Survey—and opportunities for the Survey—exceeded its existing resources. The shift towards project-specific, often single-year support has been a long-standing trend among donors. The Survey is hardly alone in facing this development. We have made important progress in managing our operations, including developing streamlined procedures to apply for grants, monitoring implementation of our projects, and ensuring a results-based approach to the management of our organization.

In 2017 the Survey will hire at least six new staff members, thus returning to a staffing level similar to 2015. This will go far towards reducing individual workload and allowing us to move forward on firmer ground. We are able to do this in part because the Survey secured two

large multi-year projects in 2016 that will commence in 2017. In the light of the challenges of the past 18 months, this represents a real accomplishment and attests to the hard-earned reputation and skills of the Survey team.

That said, the Survey's mid-term and long-term health is uncertain. We continue to produce research and analysis that is in considerable demand and much used—including for policy development and implementation—but face challenges in securing adequate financial support to sustain this level of output. Our focus on databases and indicators, crucial for supporting Agenda 2030 in particular, is under-resourced. The Survey's ability to support partners, such as some regional organizations that have come to rely on our expertise, is not what it once was. Productive collaboration, good will, creativity, and positive working relationships with our various partners—including donors, fellow civil society organizations, regional and international organizations, and Maison de la Paix (MdP) centres of excellence—continue to be important as we move forward.

This Annual Report demonstrates the continuing and growing relevance of our work. Indeed, the projects and processes we supported in 2016 underscore the importance of efforts to achieve the goal of a world where safety for all is protected and promoted. We remain committed to contributing to this vision in 2017 and beyond.



Eric G. Berman
Director

Introduction

The proliferation and misuse of illicit small arms and light weapons continue to be part of the harsh reality of life faced by people in many regions of the world. Throughout 2016 the Small Arms Survey continued its long-standing engagement with these challenges. This Annual Report captures the key features of this multi-faceted involvement by highlighting projects and activities undertaken during the year. The report does so specifically through the lens of the Survey's 2014–18 Strategic Plan and the framework provided by the strategic goals set out in support of this strategy (see Table 1).

While the following sections present Survey projects and activities organized by strategic goal, it is important to note that the Survey's projects typically support more than one goal. Moreover, Survey projects continue to be complementary and mutually reinforcing. This cross-cutting nature of Survey engagement is exemplified by the two large, multi-year projects: the Human Security Baseline Assessment (HSBA) and the Security Assessment in North Africa (SANA), both of which contribute to Strategic Goals 1, 2, 3, and 4. In this Annual Report, the key contributions of the HSBA and SANA projects are presented in Box 1 and under the relevant strategic goals.

I. Consolidating and expanding the knowledge base: Strategic Goal 1

During 2016, the Small Arms Survey continued to demonstrate its central role in the generation of high-quality, policy-relevant information on small arms and armed violence. In doing so, the Survey not only consolidated and expanded the existing body of evidence and knowledge on these issues, but also advanced the methods and tools for research. The contributions to the achievement of this core goal are illustrated in the following highlights of 2016.

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 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.

Box 1 Cross-cutting, multi-year projects: HSBA and SANA

The **Human Security Baseline Assessment (HSBA)** is a Small Arms Survey multi-year research project with a specific focus on Sudan and South Sudan. The overarching objective of the HSBA is to shape current policy and programming in order to enhance human security in these two countries. In 2016, the Survey marked the HSBA's tenth year of operation; this long experience places the project in a strong position to support policy-makers, researchers, and practitioners in the field, by providing high-quality information on all aspects of small arms and light weapons holdings, armed violence, and victimization. The HSBA publication series is widely read, with nearly 950,000 document downloads in 2016, including just under 300,000 in Arabic. In 2016, the HSBA produced 14 policy-relevant publications, including Working Papers, Issue Briefs, and Facts and Figures research documents. The year's work was funded by the Office of the US Special Envoy for Sudan and South Sudan at the US Department of State. To note the 10th anniversary of the HSBA, an international symposium, funded by Norway, was held in March 2016 in Nairobi.



The Survey's **Security Assessment in North Africa (SANA)** is a multi-year project on security in North Africa and the Sahel–Sahara region and the Middle East. The project produces timely, evidence-based research and analysis on the availability and circulation of small arms, the dynamics of emerging armed groups, and the related lack of security. The research identifies the effects of recent uprisings and armed conflicts on community safety. Activities in 2016 included: weapons identification and reporting training for journalists, in cooperation with the Geneva Centre for the Democratic Control of Armed Forces (DCAF) and the press agency Tunis Afrique Presse (TAP); and a series of closed policy briefings at the invitation of key project stakeholders. SANA publications in 2016 covered the online trade of light weapons in Libya and the so-called 'moderate opposition' in Syria. All SANA publications are translated into Arabic to extend SANA's regional reach and exposure. Since its inception, the SANA project website has allowed for more than 65,000 document downloads. Funding for SANA in 2016 was provided by Canada, the Netherlands, and Switzerland.



Meeting data and measurement challenges associated with Sustainable Development Goal 16

A major feature of the work of the Small Arms Survey in 2016 was its contribution to efforts to meet measurement challenges and generate reliable data for the 2030 Agenda for Sustainable Development and the associated Sustainable Development Goals (SDGs), including through contributions at expert meetings (see Table 2). As many countries begin to implement the Agenda process, Survey knowledge and experience has been brought to bear on SDG16, which commits states to ‘[p]romote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels’.

The ‘Time to Deliver the 2030 Agenda’ project

In February 2016, the Small Arms Survey and New York University’s Center on International Cooperation (CIC) launched an initiative to accelerate progress in implementing the 2030 Agenda, with the title ‘Time to Deliver the 2030 Agenda’.

The Survey updated its interactive Database on Violent Deaths in line with Target 16.1 of the 2030 Agenda, which calls on states to ‘[s]ignificantly reduce all forms of violence and related death rates everywhere’. The Survey shared this database with the SDG16 Data Initiative (see below).

The Survey also released three Research Notes in its role as a key source of data on violent deaths. These Notes focus on monitoring violent deaths, firearms and violent deaths, and a gendered analysis of violent deaths, analysing patterns of lethal violence in conflict and

non-conflict settings, and enhancing our understanding of conflict and violence dynamics. The Notes build on the Survey’s substantial earlier contributions to the *Global Burden of Armed Violence* reports in 2008, 2011, and 2015, the flagship publication of the Geneva Declaration on Armed Violence and Development.

Through the ‘Time to Deliver’ project, the Survey also provides a forum on methodologies for measuring conflict-related deaths (SDG Indicator 16.1.2). The forum offers advice for the Praia Group on Governance Statistics, surveys mapping sources, and describes the state of the art in measuring the overall burden of conflict-related deaths.

In November 2016, the Survey released a background paper (publication planned for 2017) that reviews existing statistical data on the number of people dying violently in armed conflicts. This review will support the work of the UN Statistical Commission and other stakeholders in developing an internationally agreed methodology to monitor conflict-related deaths in line with SDG Indicator 16.1.2.

The ‘Time to Deliver’ project is supported financially by Switzerland and will run through December 2017.

The SDG16 Data Initiative

The Survey joined 13 other organizations in launching the Sustainable Development Goal 16 Data Initiative in New York on 14 July 2016 at the UN High-Level Political Forum on Sustainable Development (HLPF). The Data Initiative is a partnership of leading academics and civil society organizations, with expertise in the compilation and publication of statistical indicators and data provision. As official monitoring of the SDGs gets underway, the Data Initiative provides supplementary data from non-governmental sources on indicators related to SDG16, data that plays a crucial role in providing

as complete and accurate a picture as possible. The launch, a side event at the HLPF, showcased the best available data on all the SDG16 targets and prompted new global dialogue on the collective challenges and opportunities for measuring progress towards SDG16 at all levels.

The Global Partnership on Small Arms and Light Weapons

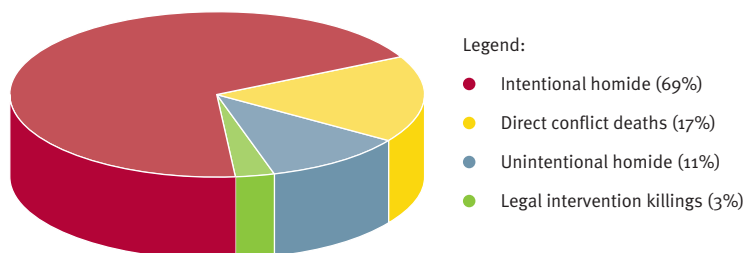
The Survey launched the Global Partnership on Small Arms and Light Weapons in July 2016. This online platform connects initiatives to counter the spread of illicit arms under SDG Target 16.4, which calls on states to ‘significantly reduce illicit financial and arms flows, strengthen recovery and return of stolen assets and combat all forms of organized crime’ by 2030. The Partnership builds on the implementation of international instruments that reinforce each other, including the UN PoA, the Arms Trade Treaty (ATT), and the UN Women, Peace, and Security agenda. The Survey prepared a series of case studies detailing the characteristics of illicit arms flows and showing how to measure progress in combatting illicit proliferation in different contexts. Two Survey Research Notes summarize the analyses on Honduras (published in May) and Somalia (October), while plans were made to release studies on Niger and Ukraine in 2017.

The Survey also released a Research Note assessing global SDG Indicator 16.4.2, which focuses on ‘the proportion of seized small arms and light weapons that are recorded and traced, in accordance with international standards and legal instruments’. In 2016, the Global Partnership initiative was supported financially by the Federal Republic of Germany.

In-country research

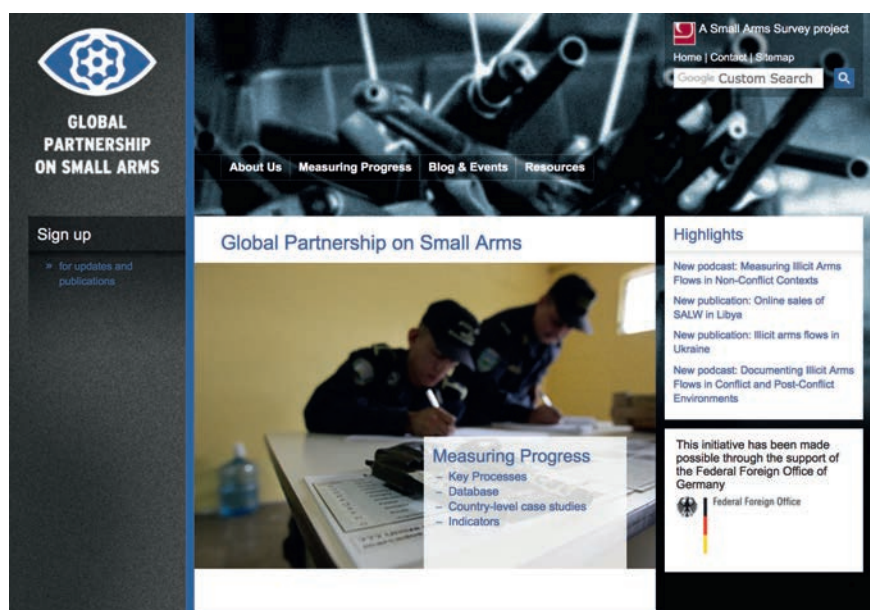
One of the central reasons for founding the Small Arms Survey was the recognition that the challenges posed by small arms and light weapons could not be met without proper evidence of the nature of their proliferation and impact of their use. Gathering evidence has required the development of robust methodologies for data gathering and measurement, in particular for settings that are affected by armed conflict and that are difficult to access. In 2016, the Survey continued to place an emphasis on this work. The following contributions stand out.

Violent deaths, by category, 2010–15



Source: Figure 2 from Research Note 59, *Monitoring Trends in Violent Deaths*

Homepage of the Global Partnership on Small Arms and Light Weapons website



Source: Homepage of the Global Partnership on Small Arms and Light Weapons website, screenshot May 2017

Peace and conflict in Sudan and South Sudan: ten years of HSBA analysis

The year 2016 marked the tenth anniversary of the Human Security Baseline Assessment project on Sudan and South Sudan. That year, the HSBA contributed to the monitoring of the 2015 Agreement on the Resolution of the Conflict in the Republic of South Sudan through armed violence monitoring and expert training on monitoring and verification for the Ceasefire and Transitional Security Arrangements Monitoring Mechanism, and the Joint Monitoring and Evaluation Commission staff.

To mark its tenth anniversary, the HSBA organized an international symposium, 'The Future of Human Security in Sudan and South Sudan: Learning from a Decade of Empirical Research'. The event was co-sponsored and funded by the Norwegian

government and took place in Nairobi, Kenya, in March. The HSBA Synthesis Report—*Small Arms and Armed Violence in Sudan and South Sudan: An Assessment of Empirical Research Undertaken since 2005*—authored by Emile LeBrun, was produced as part of this anniversary event.

The Small Arms Survey implemented the first nationally representative assessment of civilian-held arms in South Sudan, conducted on behalf of the United Nations Development Programme (UNDP) in 2016. The study is designed to guide policies and programming for arms and arms control following the political resolution of the conflict between the government and opposition forces. Operating in an extremely volatile and fluid conflict context, the Survey trained and certified enumerators and supervisors from across the country. The resulting report includes information on: civilian small arms possession and reported sources of weapons;

perceptions of safety and security, and of security providers; personal experiences of violence and victimization; and attitudes towards civilian disarmament.

Survey on small arms, security provision, and victimization in Somalia and Somaliland

The Small Arms Survey completed a household survey on small arms, security provision and victimization in Somalia and Somaliland in 2016. The results will support the development of policy and programming for civilian small arms control, rule of law and firearms legislation, and public awareness campaigns to reduce intentional and accidental deaths and injuries caused by firearms. This project was a partnership with the Observatory of Conflict and Violence Prevention based in Hargeisa. Two reports will be published: *Somaliland Assessment on Small Arms and Perceptions of Security* and *Somalia Assessment on Small Arms and Perceptions of Security*. This project is supported by a grant administered by UNDP.

The Nigerian government's national survey of small arms and light weapons

In 2015, the Small Arms Survey provided methodological support and training to the Presidential Committee on Small Arms of the Federal Government of Nigeria for their national survey of small arms. In 2016 the Survey confirmed its interest in remaining closely associated with the Nigerian Survey and continued providing support, although no face-to-face events took place during the calendar year. It is expected that the results of this survey, funded by the Nigerian government, will generate valuable information which could be analysed in connection with the new study on craft production in Nigeria.

Table 2 Expert meetings for the development of indicators for Agenda 2030

Title of expert meeting, topic	Place	Date	Survey representative(s)
UN Development Programme—Peace Research Institute Oslo Expert Meeting on Measuring SDG16 Targets on Peace, Inclusion and Freedom	Oslo	January 2016	Anna Alvazzi del Frate
UN Statistical Commission, 47th session: side event on 'Measuring Conflict Deaths', hosted by Norway	New York	March 2016	Anna Alvazzi del Frate
Second Meeting of the Praia Group on Governance Statistics: Tier III indicators for SDG16	Paris	July 2016	Anna Alvazzi del Frate
4th Interagency Expert Group on Sustainable Development Goals: Tier III indicators for Targets 16.1 and 16.4	Geneva	November 2016	Irene Pavesi

Craft production of weapons in Nigeria

Craft weapons production is an important source of weapons manufacture in Nigeria, with locally made weapons increasingly being used by militia groups. To support more effective action by the Nigerian authorities and key stakehold-

ers, the Survey is conducting a study to map craft production and to produce in-depth information in four priority areas (Adamawa, Anambra, Benue, and Plateau States). The study, begun in August 2016 as a follow-up to of the Nigerian National Survey, is to be completed by July 2017. Funding is provided by the Federal Republic of Germany.

Security and peace dynamics in the Great Lakes Region: study on the Forces Démocratiques de Libération du Rwanda

In January 2016, the Survey added to analysis of security and peace dynamics in the Great Lakes region with a Research

Table 3 Activities in support of Strategic Goal 1

Title of expert meeting, topic	Place	Date	Survey representative(s)
German–African Union G7/Non-Proliferation Directors Group Small Arms and Light Weapons Initiative—donor meeting. Theme: SDG Target 16.4 and indicators for advancing monitoring and evaluation in the small arms programmatic approach, linked to the Global Partnership on Small Arms and Light Weapons	Berlin	February 2016	Anna Alvazzi del Frate
UN Regional Centre for Peace and Disarmament in Africa—UNDP workshop on small arms in Sahel countries and neighbouring states, based on a report by the Survey and GRIP	Lomé	February 2016	Anna Alvazzi del Frate
‘Lutte contre les trafics d’armes: Quel rôle pour les acteurs privés et la société civile?’ organized by the Institut Thomas More with support from the French Defence Ministry’s Direction générale des relations internationales et de la stratégie	Paris	February 2016	Mihaela Racovita
UNDP/G5 Sahel international conference on border security, and preventing violent extremism (work linked to the SANA project)	Bamako	March 2016	Nicolas Florquin
EU-funded project FIRE (Fighting Illicit Firearms Trafficking Routes and Actors at European Level), coordinated by Transcrime with the Stockholm International Peace Research Institute (SIPRI), the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC), and other partners	Milan	April and November 2016	Sarah Parker, Jovana Carapic
Stockholm Forum on Security and Development: ‘Leave No One Behind: Building Resilience by 2030’, presentation on the Global Partnership on Small Arms and Light Weapons	Stockholm	April 2016	Luigi De Martino
Organization for Security and Co-operation in Europe (OSCE) expert group for the development of the Survey on the Well-being and Security of Women	Vienna	June 2016	Anna Alvazzi del Frate
Expert Working Group on data collection and analysis on illicit trafficking in firearms convened by the UN Office on Drugs and Crime (UNODC) (linked to measuring illicit arms flows—SDG Indicator 16.4.2)	Vienna	September 2016	Anna Alvazzi del Frate
Researching Solutions to Violent Extremism network annual forum, presentation on data sources and research methods	Washington, DC	September 2016	Nicolas Florquin
Eighth session of the Conference of the Parties to the UN Convention against Organized Crime; presentation of the report <i>Measuring Illicit Arms Flows: Somalia</i> in the framework of the Global Partnership on Small Arms and Light Weapons	Vienna	October 2016	Khristopher Carlson
Swisspeace roundtable discussion on South Sudan, with a focus on humanitarian food aid delivery and protection	Bern	October 2016	Khristopher Carlson
Regional experts meeting of Andean countries, on progress and remaining challenges on small arms control and related international instruments	Bogotá	October 2016	Matthias Nowak
23rd annual meeting of the European Network of Forensic Science Institutes, Expert Working Group on Firearms and Gunshot Residues; related to work on trafficking of converted weapons in the European Union	Rome	October 2016	Nicolas Florquin
Open Societies Justice Initiative of the Organisation for Economic Co-operation and Development (OECD); part of the ‘Understanding Effective Access to Justice’ project	Paris	November 2016	Nicolas Florquin
Expert briefing at the Stimson Center: ‘Beyond the “Merchants of Death”: The Mechanics of Arms Trafficking from the United States’	Washington, DC	November 2016	Matt Schroeder

Note on the Forces Démocratiques de Libération du Rwanda (FDLR) and its armed wing, the Forces Combattantes Abacunguzi (FOCA). This study of FOCA—an enduring armed group operating in the eastern Democratic Republic of the Congo—was based on fieldwork by Survey staff.

Study on the mechanics of arms trafficking from the United States

The 2016 study *Drips and Drabs: The Mechanics of Small Arms Trafficking from the United States*, based on research conducted in 2015, sheds new light on the modes of transport, concealment methods, and smuggling techniques used by traffickers outside conflict zones and challenges some common assumptions about global arms trafficking. By collecting and analysing hitherto unused data in court documents from prosecutions of small arms traffickers operating in the United States, the study makes an important contribution to our understanding of the limits of arms export licensing regimes in stopping the trafficking of small arms and the need for a holistic policy approach in countering arms trafficking. The study was funded by the Federal Republic of Germany.

Participation in meetings and other events

Throughout the year, staff of the Small Arms Survey participated in a wide range of external events, in support of all the strategic goals. In particular, they attended expert working groups and other expert meetings—as speakers, expert participants, or rapporteurs; participated in thematic forums and conferences, again in a variety of roles; organized and led workshops, training sessions, and forums; and met with partners, interested organizations, and funders to coordinate work and share information (see Table 3).

II. Making a difference through better information: Strategic Goal 2

The Small Arms Survey continues to ensure that the results of its research are made available to—and are useful for—policy-makers and other stakeholders working to address small arms proliferation and armed violence. The following examples highlight some of the practical applications of Survey research; Tables 4–6 list some training and other activities carried out in support of Strategic Goal 2.

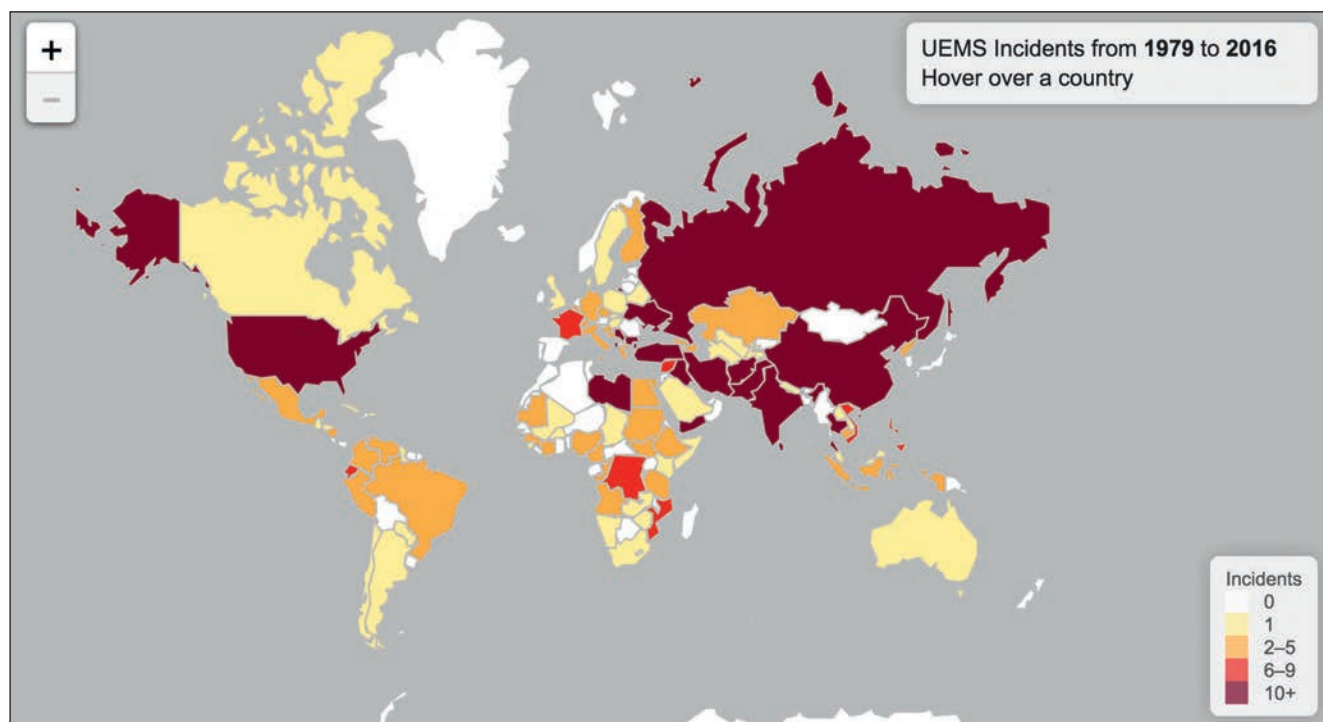
Safe and secure management of ammunition

The Small Arms Survey has two important research projects on ammunition storage issues: one on unplanned explosions at munitions sites (UEMS) and one on life-cycle management of ammunition (LCMA). In December 2016, the Survey joined the Geneva International Centre for Humanitarian Demining (GICHD) in giving critical substantive and logistical support to the Swiss-hosted workshop on safe and secure management of ammunition. Survey research, particularly that on UEMS, was prominent throughout the workshop, as it provides concrete evidence of the perils of poorly stored ammunition. The event reinforced the Survey’s reputation as a source of expertise on arms management issues and contributed to catalysing improvements in ammunition management.

Life-cycle Management of Ammunition Handbook

The LCMA project informs policy-makers about the benefits of developing comprehensive approaches to ammunition management and provides practical guidance on national implementation of the International Ammunition Technical

Online interactive map of UEMS incidents by country (1979–2016)



Source: Small Arms Survey website, screenshot May 2017

Guidelines (IATG). The Survey is developing an LCMA Handbook for setting up a comprehensive ammunition management system, and to assist stakeholders in addressing related challenges in post-conflict environments. The LCMA project received funding from the German and Swiss Ministries of Foreign Affairs and the Office of Weapons Removal and Abatement in the US Department of State's Bureau of Political-Military Affairs (PM/WRA).

Weapons Identification Handbook

To improve the measurement of trends in illicit arms flows for SDG Target 16.4, the Survey began work in 2016 on a Weapons Identification Handbook, due to be completed in 2017. Based on the Survey's expertise in weapons identification and tracking, the Handbook will help researchers and journalists to identify and document small arms, light weapons, and ammunition accurately and reliably. Chapters on research tools, the arms trade, and international instruments will provide background information about how and why weapons reach their eventual destinations, and how to monitor these flows. This project is funded by the US Department of State (PM/WRA).

Training materials for guided light weapons recognition

In 2016 the US Department of State (PM/WRA) contracted the Survey to develop training modules and recognition guides on guided light weapons and a recognition guidebook of the most common man-portable air defence systems (MANPADS) and portable anti-tank guided missile systems in use today. The training presentations can be adapted for weapons technicians or for an audience of policy-makers.

Trade and transparency in small arms exports and imports

The Survey's study *Trade Update 2016: Transfers and Transparency*, authored by Irene Pavesi, marks the first of a series of stand-alone publications covering topics previously featured in the annual *Small Arms Survey*. The Update identifies the world's major small arms exporters and

importers, reviews key changes in the global small arms trade, and presents the Small Arms Trade Transparency Barometer, an assessment of national reporting practices on exports. The Barometer can help states to identify—and address—gaps in their reporting practices. The study was launched at a side event hosted by the Permanent Mission of Switzerland during the Sixth Biennial Meeting of States for the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) in June. The Australian Department of Foreign Affairs and Trade contributed to the financing of this study.

The Association of Southeast Asian Nations region and the Arms Trade Treaty

To support member states of the Association of Southeast Asian Nations (ASEAN) that are exploring joining the Arms Trade Treaty, and those that have signed the

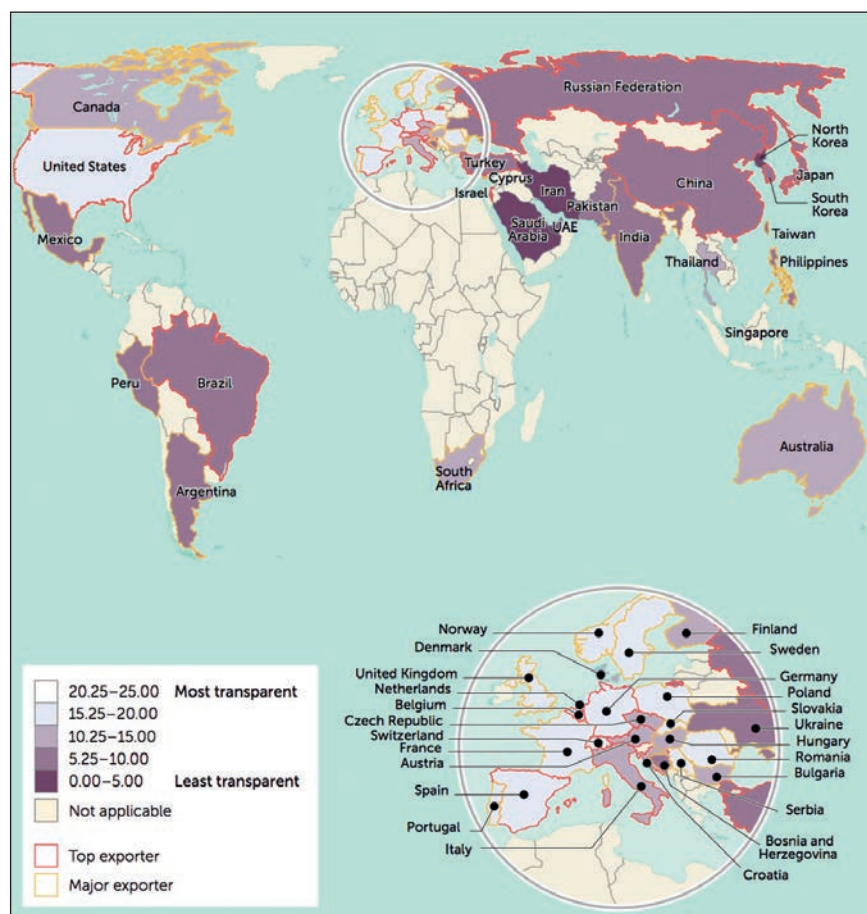
Treaty but not yet ratified, accepted or approved it (5 ASEAN members are signatories), Survey staff made presentations at two workshops hosted by the UN Regional Centre for Peace and Development in Asia and the Pacific (UNRCPD) in Bangkok. Participation in these workshops, and meetings with ASEAN officials at its headquarters in Jakarta, were made possible by funding from the Australian Department of Foreign Affairs and Trade.

PSSM Priorities Matrix

Both donors and recipients of support for physical security and stockpile management have complained of ineffective prioritization and coordination. In 2016, the Survey developed a toolkit to help states understand, prioritize, and then report their PSSM needs to the donor community.

The PSSM Priorities Matrix will improve both the effectiveness and efficiency of these assistance programmes by enabling states to identify their needs based on their own internal assessment, and then

Small Arms Trade Transparency Barometer 2016, based on 2013 trade



Source: Map 1 from *Trade Update 2016: Transfers and Transparency*

concisely articulate the assistance they require. The Survey, in cooperation with local authorities, tested the PSSM Priorities Matrix in Burkina Faso, Mali, and Niger in 2016. The Survey's *Facilitating PSSM Assistance in the Sahel and Beyond: Introducing the PSSM Priorities Matrix* was published in December 2016 in English and French. Funds for this project were supplied by the US Department of State (PM/WRA). Work will continue in 2017 in Burkina Faso in collaboration with the Mines Advisory Group.

Results-based management course for peacebuilding, security, and development

Results-based methods focus on what is achieved by an intervention instead of how many resources were used. The sixth annual training course on 'Results-based management for peacebuilding, security, and development', jointly organised by four partners of the Maison de la Paix took place in July 2016. The International Security Sector Advisory Team (ISSAT) of the Geneva Centre for the Democratic Control of Armed Forces (DCAF), GICHD, the Geneva Centre for Security Policy (GCSP), and the Survey were again supported by the International Program for Development Evaluation Training (IPDET) in this one-week programme. Each organization presented case studies from their area of expertise. The Survey also contributed to the sessions on the SDGs and gender (see below).

Mainstreaming gender in research and training

Arms and armed violence have gender-specific dimensions, as explored in the Survey's research and analysis. In 2016 the Survey continued its efforts to collect and analyse gender-disaggregated data, and to disseminate gender-sensitive results through publications, other communications, and trainings (see Table 4). In particular, the Survey developed a series of training modules aimed at raising awareness of small arms and their impacts for a variety of audiences. The training modules are designed in such a way that they can be utilized by Survey staff across a range of Survey topic areas.

Gender-balanced approaches to small arms control and awareness to strengthen community resilience in Libya

There is an urgent need to curb the illicit use and spread of small arms and light weapons and ammunition in Libya, and to improve the resilience of local communities in security-related matters. Between December 2015 and March 2016 the UN Mine Action Service (UNMAS) and the UN Institute for Disarmament Research (UNIDIR) joined forces with the Survey in an initiative to empower a group of 11 Libyan women from various regions and cities to tackle this issue.

A comprehensive training programme, including three workshops in Tunisia in the first quarter of 2016, prepared the women to start risk awareness activities in Libya.

Training of journalists

In 2016 the Survey trained journalists on weapons and ammunition identification and tracing, the arms trade, and field data collection. The series of two-day workshops, funded by the US Department of State (PM/WRA), supported improved evidence gathering and reporting in the media. The workshops were provided to:

- 13 journalists from South-east Europe in Belgrade, Serbia, in March, in collaboration with the UNDP SEESAC (South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons);
- 24 participants in New York, US, in September including journalists regularly working in conflict zones and staff and students from the Columbia School of Journalism; and
- 28 journalists from major international media outlets working in North Africa—including major African, European, and US news organizations—in Tunis, Tunisia, with logistical support provided by DCAF.

Table 4 Gender training activities developed in 2016

Title of training	Organized by	Place	Date	Survey representative(s)
Gender-balanced approaches to small arms control and awareness to strengthen community resilience in Libya	UNMAS, the Small Arms Survey, and UNIDIR	Tunis, Geneva	January and March 2016	Ali Arbia, Jovana Carapic, Hasnaa El Jamali
ATT Network Course: 'Building Capacities for Effective Implementation of the Arms Trade Treaty'	GCSP, CCDP (GIIS/IDEID), the Small Arms Survey, and UNIDIR	Geneva	April 2016	Anna Alvazzi del Frate
International Peace Support Training Centre workshop: 'Gender as a Tool for Mediation and Management of Small Arms and Light Weapons in Eastern Africa'	IPSTC, British Peace Support Team (BPST)	Nairobi	April 2016	Khristopher Carlson
Results-based Management for Peace: training modules on gender and the SDGs	GCSP	Geneva	April 2016	Anna Alvazzi del Frate
17th edition of the New Issues in Security course: 'Gender in Peacekeeping'	GCSP	Geneva	May 2016	Anna Alvazzi del Frate
Gender training modules of the sixth annual training course on 'Results-based management for peacebuilding, security, and development'	GCSP, GICHD, ISSAT, and the Small Arms Survey	Geneva	July 2016	Anna Alvazzi del Frate

Other activities in support of Strategic Goal 2

Table 5 Expert working group meetings

Title of meeting, topic	Place	Date	Survey representative(s)
Characteristics of Explosive Weapons in Populated Areas Expert Working Group, organized by the GICHD	Geneva	January 2016	Benjamin King
NATO ad hoc Working Group on Small Arms and Light Weapons/Mine Action	Brussels	February 2016	Eric Berman
Mines Advisory Group Practical Disarmament Initiative: developing good practice for measuring PSSM success, effectiveness and impact	London	March 2016	Anna Alvazzi del Frate
NATO Seminar on Implementing UN Security Council Resolution 1325, 'SALW/Mine Action: Women, Peace and Security', and NATO gender guidelines	Brussels	April 2016	Anna Alvazzi del Frate
NATO meeting on 'Guidelines for Gender Mainstreaming in Mine Action, SALW and Arms Control'	Brussels	November 2016	Anna Alvazzi del Frate

Table 6 Workshops, training, and briefings delivered by Survey staff

Title of training, topic	Place	Date	Survey representative(s)
2016 NATO School Arms Control Implementation Orientation Course	Brussels	January 2016	Eric Berman
HSBA Symposium: 'The Future of Human Security in Sudan and South Sudan: Learning from a Decade of Empirical Work'	Nairobi	March 2016	Yodit Lemma, Emile LeBrun, Hasnaa El Jamali, David Atwood
Enumerator and supervisor training and pilot trial; project stakeholder briefing for the National Small Arms Assessment for South Sudan	Juba	April 2016	Emile LeBrun, Ferenc David Marko, Yodit Lemma, and Manasseh Wepundi
ATT Network Course 'Building Capacities for Effective Implementation of the Arms Trade Treaty'	Geneva	April 2016	Survey staff
Multinational Small Arms and Ammunition Group symposium: briefing on PSSM and LCMA activities	Neuhardenberg	April 2016	Eric Berman
Observatory for Conflict and Violence Prevention; training for the national household survey in Somaliland, Puntland, and south-central Somalia	Hargeisa	April 2016	Khristopher Carlson
US Institute of Peace meeting: 'Building Responsive DDR, SSR and Community Security Processes in the Central African Republic'	Bangui	April 2016	Eric Berman
Briefing for the US Department of State, the Organization of American States, Switzerland, and civil society organizations: 'Developments in and Challenges to the Colombian Peace Process'	Washington, DC	April 2016	Eric Berman
NATO School, one-week training: modules covered small arms and MANPADS, international and regional mechanisms of small arms and light weapons control, and mine action	Oberammergau	June 2016	Khristopher Carlson
Geneva Summer School on Understanding Islamist Movements: 'Where Do Islamists Get Their Weapons?'	Geneva	June 2016	Ali Arbia
Sixth annual training course on 'Results-based management for peace-building, security, and development', with ISSAT, GCSP, and GICHD, in collaboration with IPDET	Geneva	July 2016	Survey staff
'The New Security Environment and Small Arms Proliferation' at the Clingendael Institute	The Hague	September 2016	Nicolas Florquin
Colombian National Police, sixth international meeting of crime observatories; presentation on monitoring techniques and small arms control	Bogotá	September 2016	Matthias Nowak
Briefing for Dutch officials on Sudan and South Sudan (HSBA)	Amsterdam	September 2016	Nicolas Florquin and Emile LeBrun
Multinational Small Arms and Ammunition Group symposium; briefing on PSSM and LCMA activities	Karlskoga	October 2016	Jovana Carapic
Validation workshop for the National Small Arms Assessment for South Sudan	Juba	November 2016	Emile LeBrun, Khristopher Carlson, Ferenc David Marko
CIC seminar on 'Galvanizing Global Action' for governments, international organizations, and other actors overcoming obstacles to implementing SDG16	Geneva	November 2016	Survey staff
GCSP Leadership in International Security Course: 'Small Arms & Light Weapons: Are They the New Weapons of Mass Destruction?'	Geneva	November 2016	Ali Arbia

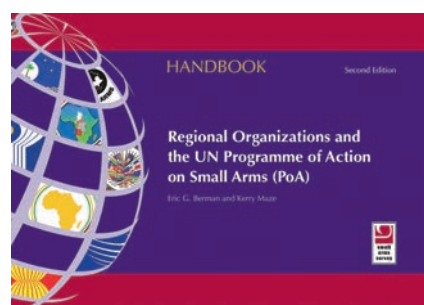
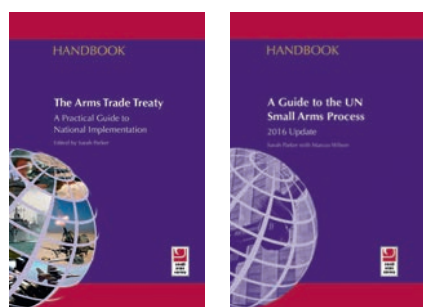
III. Reinforcing the framework through contributions to norm building and good practice: Strategic Goal 3

Since its inception, the Small Arms Survey has been called upon to contribute its wide-ranging expertise to small arms norm-building processes. The year 2016 was no exception: the Survey engaged in a number of key global, regional, and national initiatives, as outlined below.

Handbooks and other publications

In 2016 the Survey published three handbooks for policy-makers:

- **The Arms Trade Treaty: A Practical Guide to National Implementation.** This handbook—edited by Sarah Parker and prepared in partnership with the ATT Network (Small Arms Survey, GCSP, UNIDIR, and the Centre on Conflict, Development and Peacebuilding of the Graduate Institute)—is designed to help states interpret and apply the provisions of the ATT. It was prepared with the support of the Swiss Federal Department of Foreign Affairs to the ATT Network.



Front covers of the Handbooks *The Arms Trade Treaty: A Practical Guide to National Implementation*; *A Guide to the UN Small Arms Process: 2016 Update*; and *Regional Organizations and the UN Programme of Action on Small Arms (PoA)*

- **A Guide to the UN Small Arms Process: 2016 Update.** This update to the original 2012 edition assists and informs policy-makers who are new to the issue of small arms on the international agenda. Authored by Sarah Parker, with the assistance of Markus Wilson, the handbook was prepared with the support of the Federal Republic of Germany.
- **Regional Organizations and the UN Programme of Action on Small Arms (PoA), 2nd Edition.** This handbook profiles 52 regional organizations, explaining their role in implementing the PoA. It provides a wealth of information on regional activities, and draws useful connections between the anti-narcotic, anti-terrorism, and anti-transnational-crime communities.

Other publications included:

- *The Arms Trade Treaty: A Commentary*, co-authored by Sarah Parker.
- *The African Perspective: Challenges and Opportunities to Implementing the ATT*, a collaboration of the Survey with the African Union, Control Arms, and New Zealand.

The Practical Guide, the *Commentary*, and the *African Perspective* were all launched at the Second Conference of States Parties to the Arms Trade Treaty, held in Geneva in August 2016.

Expert contributions to international processes

Substantive support to the Chair of the Sixth Biennial Meeting of States (BMS6)

Glenn McDonald served as an advisor to the chair of BMS6, Ambassador Courtenay Rattray. Working with the chair and other members of his team, Glenn made an important contribution to the meeting's success, in particular through close involvement in the development of the BMS6 outcome document. Survey expertise facilitated the adoption, by consensus, of a relatively strong outcome that advances the Survey's goal of contributing to the development of international norms and best practices; the outcome will also support the illicit arms reduction aims of SDG Target 16.4. The Survey was able to

undertake this work through the support of the Federal Republic of Germany's BMS6 project.

Assistance to Nigeria for the preparation of a national report on PoA implementation

Information provided by UN member states is the primary source of information on the implementation of the UN PoA. The agreement's effectiveness directly depends on the extent to which countries report on their implementation. Prior to BMS6, which took place in June 2016, Nigeria had submitted only two reports on its implementation of the PoA, the most recent in 2008. As a result of support and training provided by the Survey, Nigeria submitted a new report during BMS6. The German Federal Department of Foreign Affairs supported this work.

Roadmaps for harmonized PoA and ATT implementation

In 2015 the Small Arms Survey, working with the Groupe de Recherche et d'Information sur la Paix et la Sécurité (GRIP), received funding from the United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) to assist selected participating countries with the harmonized implementation of the PoA and ATT. The two-year project has produced implementation roadmaps for Burkina Faso, Côte d'Ivoire, Mali, Niger, Nigeria, and South Sudan. Regional organizations including the African Union, the Community of Sahel-Saharan States, Economic Community of Central African States, and Economic Community of West African States were also involved in this work. The project will be concluded in mid-2017.

International Ammunition Technical Guidelines

To build international and regional capacities for safe ammunition management, the Survey is undertaking a mapping of career paths and training opportunities (formal and non-formal) among the countries that make up the Technical Review Board of the IATG. This ongoing work, carried out as a consultancy for the GICHD and in partnership with UNODA, is based on the widespread recognition of Survey expertise on arms and ammunition management.

Other activities in support of Strategic Goal 3

Table 7 Expert meetings, conferences, and workshops

Title of meeting, topic	Place	Date	Survey representative(s)
'Building Capacity in SALW Control through the United Nations Programme of Action and the Arms Trade Treaty' organized by the UN Southeast Asia Regional Centre for Peace and Disarmament in Asia and the Pacific (UNRCPD)	Bangkok	March 2016	Eric Berman
Regional Seminar to Support the Implementation of the ATT for OSCE countries: EU ATT Outreach project	Manila	March 2016	Mihaela Racovita
Annual meeting of the Regional Steering Group on Small Arms and Light Weapons: UNDP SEESAC, UNDP Europe and the Commonwealth of Independent States, Regional Cooperation Council	Belgrade	April 2016	Jovana Carapic
UNRCPD Workshop for government representatives on 'Building Capacity for the implementation of the Arms Trade Treaty'	Bangkok	April 2016	Sarah Parker
Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials (CIFTA) conference: presenting the findings of the assessment of six states' firearms marking projects	Washington, DC	May 2016	Benjamin King
Expert support to the Swiss delegation at the 4th session of the United Nations Convention against Transnational Organized Crime Working Group on Firearms, with a focus on record-keeping	Vienna	May 2016	Anna Alvazzi del Frate
INTERPOL Illicit Arms Records and Tracing Management System (iARMS) Working Group, with a focus on effective firearms tracing	Lyon	November 2016	Glenn McDonald
Informal Arms Trade Treaty workshop, contributions to preparations for the Third Conference of States Parties	Geneva	December 2016	Paul Holtom and Glenn McDonald

IV. Assessing effectiveness and strengthening implementation: Strategic Goal 4

The last 20 years have seen a range of actors undertake a broad array of programmes, activities, and events to address small arms proliferation and promote security. In recent years, the Survey has strengthened its involvement in the monitoring and assessment of this work, along with the associated development and promotion of best practices. In 2016, the Survey continued this work.

Monitoring UN arms embargoes

The Survey completed a major research project on the concerns and actors within the context of UN sanctions: the work of UN Panels of Experts and, in particular, the arms experts who serve on them. The major findings of this project were presented in briefing sessions held at the UK Foreign & Commonwealth Office in

London (January), at UN Headquarters in New York (January), and at the UN Office in Geneva (February). The final study, published in August 2016, highlights how actors charged with monitoring UN arms embargoes go about fulfilling their mandates, their self-identified good practice, and the challenges they encounter. The study—*Monitoring UN Arms Embargoes: Observations from Panels of Experts*—published as Occasional Paper 33, provides reflections on the findings and suggests areas for future research. This project was undertaken under the sponsorship of the UK Foreign & Commonwealth Office Counter-proliferation Programme.

Innovation in gender-based violence interventions

In September, the Survey launched *Gender-Based Violence Interventions: Opportunities for Innovation*, a study commissioned and published by the Humanitarian Innovation Fund/ELRHA (Enhancing Learning and Research for Humanitarian Assistance). Drawing from a broad spectrum of fields of expertise and

regional perspectives, the report examines gaps in gender-based violence programming in humanitarian contexts and identifies areas where innovation can help address the most pressing challenges. Specifically, the report provides the basis for ELRHA's 'request for proposals' for innovative operational projects to tackle several challenges identified in the report.

Assessment of firearms marking programmes of Organization of American States member states

In 2008, the US Department of State (PM/WRA) funded the Organization of American States (OAS) to purchase firearm-marking equipment for OAS member states. In 2015, the PM/WRA contracted the Survey to assess the progress of marking firearms made by six member states. Working in coordination with the OAS, the Survey developed a methodology and questionnaire and conducted three-day assessments in Ecuador, El Salvador, Guatemala, Honduras,

Jamaica, and Uruguay. The report of the assessment was distributed among all OAS member states. Findings were shared during the 2016 conference of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives, and Other Related Materials (CIFTA).

Research-based policy briefs on security and violence in Honduras

The 18-month-long project ‘Security and Violence in Honduras’ provided a platform for the production of high-quality evidence and specialized knowledge on armed violence realities in Honduras. The project aimed to build the capacities of local actors from civil society and academia to facilitate the production of relevant research and thereby inform the country’s violence prevention and reduction agenda and strengthen the debate around arms control and disarmament. The research component—based on key topics identified by the local partners—resulted in the production of six commissioned research-based policy briefs, under the supervision

of the Small Arms Survey and in collaboration with national experts. These policy briefs were launched in February 2016 in Tegucigalpa, Honduras; print versions were delivered to local partner organizations for their use in their work on armed violence-related topics. This project was undertaken with the support of the Swiss Agency for Development and Cooperation.

Bosnia and Herzegovina case study: ammunition management

Survey staff made site visits to two prospective ammunition storage sites (Kula, in Mrkonjic Grad, and Krupa, near Sarajevo) and the demilitarization facility in Doboï as part of the research for a case study. The study, to be completed in 2017, will contribute to a greater understanding of the complexity of setting up an LCMA system in a prolonged post-conflict environment. Work in 2016 included field visits and interviews with key stakeholders and members of the European Forces (EUFOR), NATO, the OSCE, and UNDP. The project was supported by the US Department of State (PM/WRA).

V. Organizational and financial foundations: Strategic Goal 5

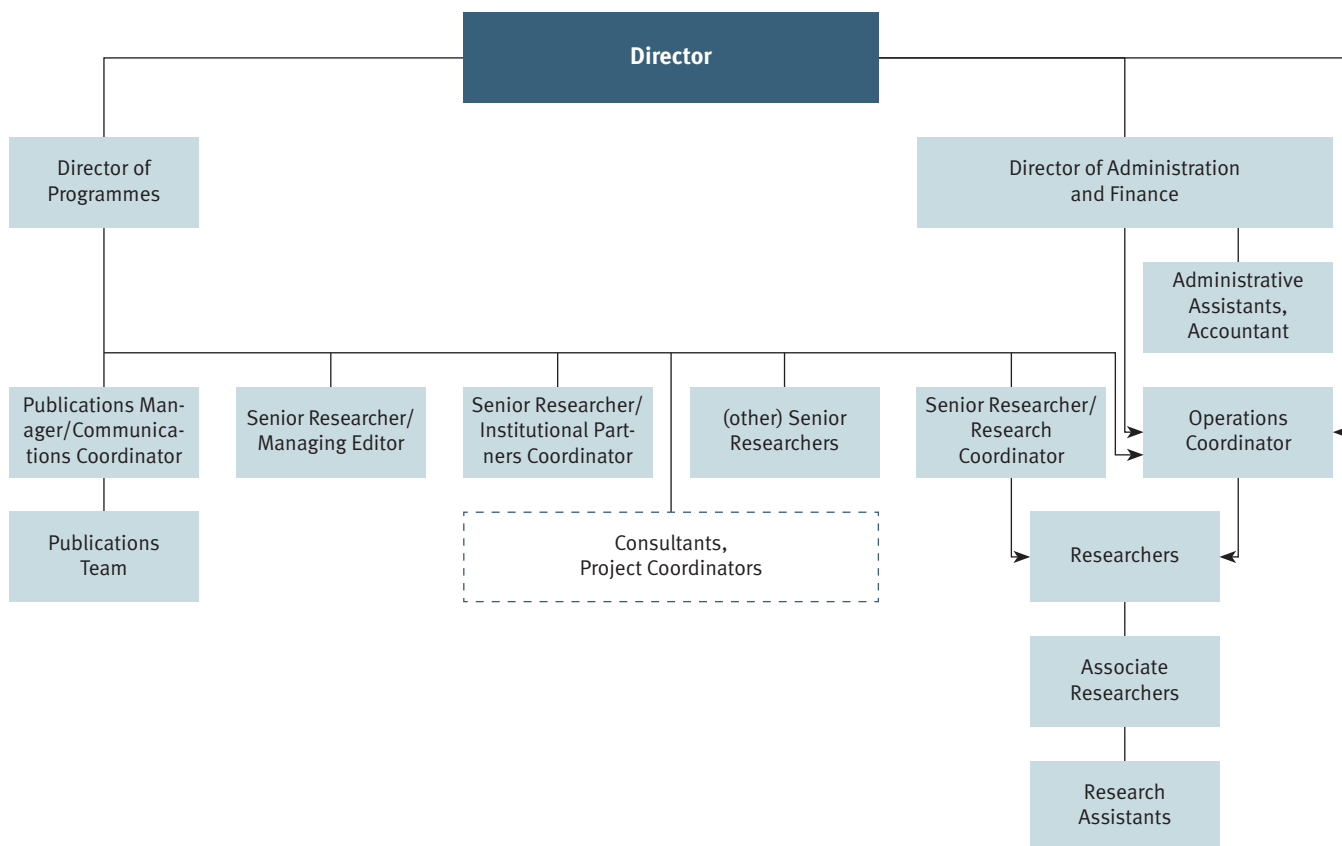
In undertaking its work, the Small Arms Survey relies on sound management, staffing, oversight, and financing. Significant advances were made in 2016.

Management and staffing

Restructuring

In 2016 the Survey went through major restructuring at the managerial level. The Management Team now includes the Director, the Director of Programmes, and the Director of Administration and Finance. To make the working environment more effective, the Survey established a middle management level, including five senior positions (Operations Coordinator, Research Coordinator, Managing Editor, Publications Manager/Communications Coordinator, and Institutional Partners Coordinator). The new organizational structure started operating on the basis of an organigram that highlights clearer responsibilities and reporting lines.

Organigram of the Small Arms Survey at the start of 2016



Geneva staff

Geneva-based staff participated in job satisfaction surveys twice in 2016, in July and December. The results were discussed at staff meetings and showed a good level of resilience despite the severe budgetary cuts of 2015 and subsequent changes.

Communication within the staff team was maintained during the year through regular staff meetings and the annual Internal Review Meeting (Geneva, 20–21 June 2016). The latter is an established good practice of the Survey, providing an informal retreat atmosphere where both

working environment and substantive issues are discussed. The Management Team also aimed to increase transparency and build trust by sharing formal notes of its meetings to update staff on issues discussed and decisions taken.

Maison de la Paix collaboration

Throughout 2016 the Survey continued to work in collaboration with other organizations in the Maison de la Paix. Working in this unique environment allowed for synergies in the MdP Peace and Security initiative and the MdP ‘hubs’, such as the Gender and Diversity Hub and the

SDG Hub. The Gender and Diversity Hub has worked since 2015 to ensure that the MdP becomes a centre of excellence for the promotion of inclusive security policy and practice, and a leading source of expertise on gender and diversity issues relating to peace and security. The hub is made up of six MdP organizations. The SDG Hub includes nine MdP organizations and was established in early 2016 to facilitate access and sharing of knowledge and resources among these centres in their work within the framework of the 2030 Development Agenda.

Bilateral cooperation with MdP-based partners was also strengthened, including through the signing of a memorandum of understanding with the GICHD in December. The sixth annual training course on ‘Results-based management for peacebuilding, security, and development’, jointly organized by four MdP partners, took place in July (see section II).

The Survey team

Personnel changes

After a year of considerable staff reduction in 2015—due to a major cut in core funding (see Box 2)—the staffing level in terms of turnover in 2016 resembled the relatively stable situation that prevailed in the 2013–14 period. A few notable staffing changes in 2016 merit highlighting. Foremost among these is the departure in November of long-term Senior Researcher—and recent Institutional Partners Coordinator—Sarah Parker. Sarah authored numerous authoritative studies, many concerning the UN Small Arms Programme of Action and the Arms Trade Treaty. Senior researcher Christopher Carlson took over from Yodit Lemma as coordinator for the Survey’s HSBA project and will also support additional projects in the region, from his home in Kenya. Estelle Jobson, the Survey’s publication coordinator, left the Survey in February 2016 as part of the required staff-size shrinkage. The Survey wishes to thank Sarah, Yodit, and Estelle for their important contributions to its work.

As of 31 December 2016 the Survey team included more than 30 staff members and long-term consultants. In addition to the three directors and the middle management coordinators, the research team comprised three senior researchers, four researchers, three



associate researchers, and two survey methodologists. The publications team consisted of two series editors, two editorial consultants, and one Arabic outreach coordinator. The administrative team included two administrative assistants and an accountant. The Survey team received additional support from a senior advisor, a technical specialist, a senior consultant, a project consultant, a project lead, and a (remunerated) intern (see Section VII).

The work of the Survey in 2016 was assisted by a number of interns who provided short-term but dedicated support to the work of the Survey. They, along with the regular staff team, individuals recruited for specific pieces of research and writing, and many others, have enhanced the quality of the life and work of the Small Arms Survey, for which the Survey is deeply grateful.

Future growth

In 2017, the Survey plans to expand the team, as the workload now far exceeds the existing capacity. In late 2016, the Survey advertised for three new positions to be filled during the course of 2017: a communications officer, a stockpile management specialist, and a researcher/project coordinator. Long-term Survey consultant Paul Holtom, a recognized expert on the PoA, the ATT, and on arms transfers and production, will join the Survey full-time in Geneva in September 2017. In addition, the Survey hopes to add a results-based management specialist, a researcher, and three research assistants in 2017.

Oversight

The International Programme Council

The International Programme Council (IPC) is the Small Arms Survey's oversight body. It includes 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 project, as well as for offering advice and counsel to the Management Team of the Survey. The IPC met twice in 2016, on 10 June in New York and on 7 December in Geneva.

Resourcing the work

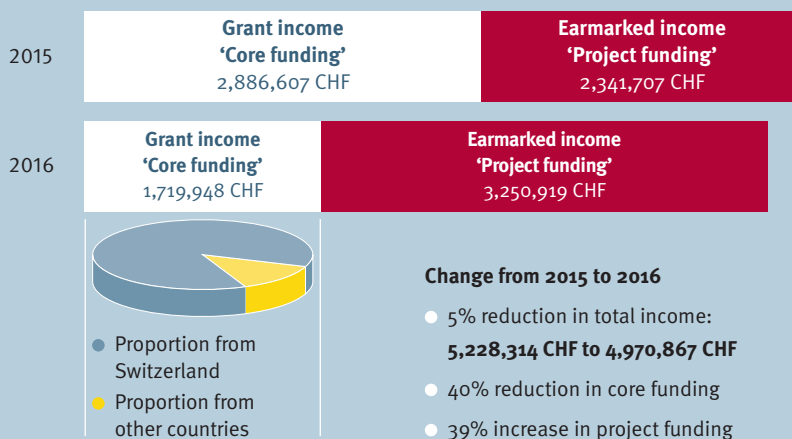
The Small Arms Survey depends on a diversified and wide range of contributing partners. Core funding makes it possible for the Survey to sustain the costs of regular staff, maintain flexibility in taking advantage of opportunities as they arise, and undertake important pieces of work for which there is no available support from a specific project grant. In 2016 the Survey received financial support from the following sources:

- Donors that provide unrestricted (core) funds
 - Australia (Department of Foreign Affairs and Trade, International Security Division)
 - Finland (Ministry of Foreign Affairs, Arms Control Unit)
 - Sweden (Ministry of Foreign Affairs, Department for Disarmament, Non-proliferation and Export Control, through the Swedish International Development Cooperation Agency, SIDA)
 - Switzerland (Federal Department of Foreign Affairs, Directorate of Political Affairs, Human Security Division)
- Donors providing earmarked (project) funds
 - Australia (Department of Foreign Affairs and Trade, International Security Division)
 - Canada (Ministry of Foreign Affairs, Trade and Development)
 - France (Permanent Mission of France in Geneva)
 - Geneva International Centre for Humanitarian Demining
 - Germany (Permanent Representation of the Federal Republic of Germany in Geneva)
 - Graduate Institute of International and Development Studies (Centre on Conflict, Development and Peacebuilding)
 - Institute for Security Studies (South Africa)
 - Netherlands (Ministry of Foreign Affairs, Stabilisation and Humanitarian Aid Department)
 - Netherlands (Embassy of the Kingdom of the Netherlands, Kigali, Rwanda)
 - Nigeria (Government of Nigeria)
 - Norway (Norwegian Ministry of Foreign Affairs)
 - Save the Children
 - Switzerland (Federal Department of Foreign Affairs, Directorate of Political Affairs, Human Security Division)
 - Switzerland (Swiss Agency for Development and Cooperation)
 - Tullow Oil (a private company based in the UK)

Box 2 Small Arms Survey funding in 2015 and 2016

In 2016, the Survey successfully recovered from a major reduction of funding in 2015, largely by reducing its expenditures and by mobilizing a significant increase in earmarked project funding.

Breakdown of Survey core and project funding, 2015–16



- United Kingdom (Foreign & Commonwealth Office)
- United Nations Development Programme (for work in Bosnia and Herzegovina; Sudan and South Sudan; and Somalia)
- United Nations Mine Action Service
- United Nations Office for Disarmament Affairs (United Nations Supporting Cooperation on Arms Regulation)
- United States Department of State (Office of Weapons Removal and Abatement, Bureau of Political-Military Affairs)
- United States Department of State (Office of the US Special Envoy for Sudan and South Sudan, Bureau of African Affairs)

The Small Arms Survey wishes to express its sincere gratitude to all these donors for their belief in and support for the Survey's work.

VI. Getting the word out: Communications and publications in 2016

Throughout 2016, the Survey implemented an integrated strategy for communications and outreach. The strategy ensures that the information generated through Survey projects is communicated effectively to target audiences through a range of traditional and new/emerging communication channels. The number of people accessing and using Survey publications grew, as did both the website and social media audience.

Publications

January

- *Down, but Not Out: The FDLR in the Democratic Republic of the Congo*, Research Note 56
- *The Value of Hospital Data: Understanding and Preventing Intentional Injury in Liberia*, Working Paper 22
- *Syria's Armed Opposition: A Spotlight on the 'Moderates'*, SANA Dispatch 5

February

- *Chambering the Next Round: Emergent Small-calibre Cartridge Technologies*, Working Paper 23

- *Checks and Balances: Securing Small Arms during Peace Operations*, Issue Brief 16

March

- *Drips and Drabs: The Mechanics of Small Arms Trafficking from the United States*, Issue Brief 17

April

- *The Online Trade of Light Weapons in Libya*, SANA Dispatch 6

May

- *Measuring Illicit Arms Flows: SDG Target 16.4*, Research Note 57

June

- *A New Development Agenda: Bridging the Development–Security Divide*, Research Note 58
- *Trade Update 2016: Transfers and Transparency*
- *A Guide to the UN Small Arms Process: 2016 Update*, Handbook 2
- *Regional Organizations and the UN Programme of Action on Small Arms (PoA)*, 2nd edition, Handbook 1

August

- *The Arms Trade Treaty: A Practical Guide to Implementation*, Handbook 3

September

- *Monitoring Trends in Violent Deaths*, Research Note 59

October

- *Sustainable Stockpile Management in Bosnia and Herzegovina: The Role of EUFOR Mobile Training Team for Weapons and Ammunition Management*, Working Paper 24
- *Firearms and Violent Deaths*, Research Note 60
- *Measuring Illicit Arms Flows: Somalia*, Research Note 61

November

- *A Gendered Analysis of Violent Deaths*, Research Note 62
- *Monitoring UN Arms Embargoes: Observations from Panels of Experts*, Occasional Paper 33
- *Measuring Illicit Arms Flows: Honduras*, Research Note 63

December

- *Facilitating PSSM Assistance in the Sahel and Beyond: Introducing the PSSM Priorities Matrix*, Issue Brief 18



Co-publications

- *The Arms Trade Treaty: A Commentary*, co-authored by the Small Arms Survey, Oxford University Press
- *Gender-based Violence in Emergencies: Gaps, Challenges and Innovation*, co-published by ELRHA and the Small Arms Survey

Other outputs

- Small Arms Trade Transparency Barometer Interactive Map
- Interactive maps and charts on armed violence (2016 update)
- Interactive map of UEMS incidents by country (2016 update)
- Global Partnership on Small Arms, website and blog

Translations

- *Physical Security and Stockpile Management Best-practice Cards* (with IATG updates): Translated into Arabic, Portuguese, Russian, and Swahili. Bosnian-Croatian-Montenegrin-Serbian updated*
- *UEMS IRT Form*: Translated into Swahili*
- * Inserts for the Handbook *Unplanned Explosions at Munitions Sites (UEMS): Excess Stockpiles as Liabilities Rather than Assets*
- *Documenting Small Arms and Light Weapons: A Basic Guide*, Issue Brief 14: Translated into French
- *Curbing Small Arms and Light Weapons Trafficking, and Increasing Border Security: Regional Workshop, 20–21 March 2015, Tunis—Workshop Report*: Translated into French
- *Unplanned Explosions at Munitions Sites*, Research Note 6: Translated into Arabic and Swahili
- *The UEMS Incident Reporting Template*, Research Note 40: Translated into Swahili

Media coverage

Our findings were cited in **280** media articles

Popular themes included:

- Civilian possession
- Arms trafficking
- Violent death rates
- Femicide rates
- Gender-based violence
- Arms exports
- Poaching
- Gun homicide rates
- MANPADS
- Gangs
- Balkan weapons
- UEMS
- IEDs

Prominent outlets included:



Social media and eAlerts

f LIKES

1 January 2016 **6,752** → 31 December 2016 **8,622**

t FOLLOWERS

1 January 2016 **3,600** → 31 December 2016 **4,666**

3,886
Receive our eAlerts

Small Arms Survey website

l PAGES VIEWED

2015 **1,260,000**

2016 **1,525,000**

l VISITORS

2015 **150,000**

2016 **195,000**

Most popular pages viewed:

- **15,000** Illicit trafficking
- **11,000** 2015 Yearbook
- **10,000** 2007 Yearbook

Other statistics:

- **17,900** Podcast downloads
- **3,700** Photo essay views
- **5,250** Video views
- **5,500** Interactive map views (UEMS, Transparency Barometer, Indicators on Armed Violence)
- **1,850** Web documentary views

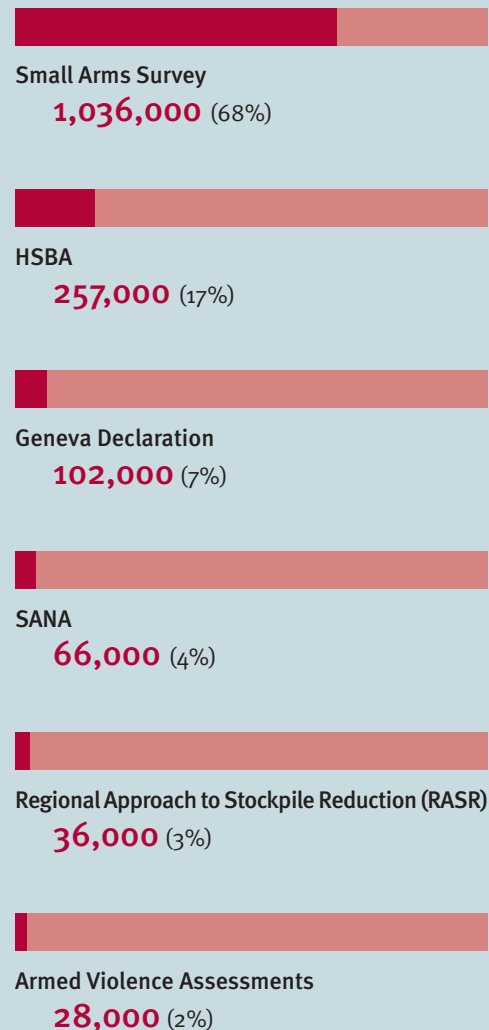
Total publication downloads in 2016

1,525,000

Top publication downloads in 2016

- **26,250** Issue Brief 10
From Replica to Real: An Introduction to Firearms Conversions
- **16,000** Issue Brief 4
Handgun Ownership and Armed Violence in the Western Balkans
- **13,200** Working Paper 14
The US Firearms Industry: Production and Supply

Publication downloads



VII. The Small Arms Survey team in 2016



Alessandra Allen
Publications Manager;
Communications Coordinator



Ali Arbia
Researcher



David Atwood
Consultant



Anna Alvazzi del Frate
Director of Programmes



Eric Berman
Director



Cédric Blattner
Administrative Assistant



Jovana Carapic
Associate Researcher



Khristopher Carlson
Senior Researcher;
Project Coordinator, HSBA



Luigi De Martino
Operations Coordinator



Olivia Denonville
Editorial Consultant



Hasnaa El Jamali
Project Associate;
Arabic Outreach Coordinator



Nicolas Florquin
Research Coordinator



Farrah Hawana
Associate Researcher



Gergely Hideg
Consultant,
Survey Methods



Paul Holtom
Senior Researcher



Tania Inowlocki
Editorial Consultant



Estelle Jobson
Publications Coordinator



Matthew Johnson
Editor, SANA



Nic Jenzen-Jones
Consultant,
Technical Specialist



Aaron Karp
Senior Consultant



Benjamin King
Researcher



Keith Krause
Senior Advisor



Elise Lebrét
Administrative Assistant



Emile LeBrun
Editor, HSBA; Project Coordinator, NSAASS and MPOME



Yodit Lemma
Project Coordinator,
HSBA



Ferenc Dávid Markó
Consultant,
Survey Advisor



Glenn McDonald
Managing Editor



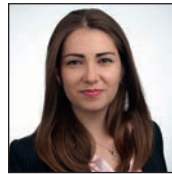
Matthias Nowak
Researcher



Sarah Parker
Senior Researcher



Irene Pavesi
Researcher



Mihaela Racovita
Associate Researcher



Henry Salvador
Accountant



Matthew Schroeder
Senior Researcher



Richard Steyne
Intern



Carole Touraine
Director of Administration
and Finance



Manasseh Wepundi
Survey Manager for
the NSAASS



Mireille Widmer
Consultant

The 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 is 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, at 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.

Contact details

Small Arms Survey
Maison de la Paix
Chemin Eugène-Rigot 2E
1202 Geneva
Switzerland

t +41 22 908 5777

f +41 22 732 2738

e info@smallarmssurvey.org



Follow the Small Arms Survey

 www.facebook.com/SmallArmsSurvey

 www.twitter.com/SmallArmsSurvey

 www.smallarmssurvey.org/multimedia