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# ANNUAL REPORT 2018



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# List of abbreviations

<b>2030 Agenda</b>	2030 Agenda for Sustainable Development
<b>ACCESS</b>	Arms Control, Capacity, and Evaluation Support System
<b>ATD</b>	Arms Transfers Dialogue
<b>ATT</b>	Arms Trade Treaty
<b>AU</b>	African Union
<b>CAR</b>	Central African Republic
<b>CSP<sub>4</sub></b>	Fourth Conference of States Parties
<b>DCAF</b>	Geneva Centre for the Democratic Control of Armed Forces
<b>ECOWAS</b>	Economic Community of West African States
<b>EU</b>	European Union
<b>GBV</b>	Gender-based violence
<b>GICHD</b>	Geneva International Centre for Humanitarian Demining
<b>GLASS</b>	Gender Lens for Arms Control Support and Sustainability
<b>GMAP</b>	Gender and Mine Action Programme
<b>HSBA</b>	Human Security Baseline Assessment
<b>IATG</b>	International Ammunition Technical Guidelines
<b>IPC</b>	International Programme Council
<b>MEL</b>	Monitoring, evaluation, and learning
<b>MoD</b>	Ministry of Defence
<b>MPOME</b>	Making Peace Operations More Effective
<b>NACD</b>	Non-proliferation, arms control, and disarmament
<b>NATCOM</b>	National Commission on Small Arms and Light Weapons (or COMNAT)
<b>NATO</b>	North Atlantic Treaty Organization
<b>NGO</b>	Non-governmental organization
<b>OHCHR</b>	Office of the United Nations High Commissioner for Human Rights
<b>OSCE</b>	Organization for Security and Co-operation in Europe
<b>PoA</b>	United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects
<b>RECSA</b>	Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States
<b>RevCon<sub>3</sub></b>	Third United Nations Small Arms Programme of Action Review Conference
<b>SADC</b>	Southern African Development Community
<b>SANA</b>	Security Assessment in North Africa
<b>SDG</b>	Sustainable Development Goal
<b>UNIDIR</b>	United Nations Institute for Disarmament Research
<b>UNMAS</b>	United Nations Mine Action Service
<b>UNODA</b>	United Nations Office for Disarmament Affairs
<b>UNODC</b>	United Nations Office on Drugs and Crime
<b>UNSCAR</b>	United Nations Trust Facility Supporting Cooperation on Arms Regulation
<b>WILPF</b>	Women's International League for Peace and Freedom
<b>WPS</b>	Women, peace, and security

# List of Small Arms Survey projects and programmes active in 2018

## **Arms Control, Capacity, and Evaluation Support System (ACCESS)**

This capacity-building initiative aims to help states overcome foundational challenges that have prevented them from successfully implementing arms control measures.

## **Bosnia and Herzegovina Marking Project**

This project provides expert support and guidance to Bosnia and Herzegovina on weapons control, marking, and record-keeping in support of a comprehensive inventory of the weapons stockpile.

## **European Union–League of Arab States Support Project**

This project offers technical support to member states of the League of Arab States to combat the illicit trade in, and proliferation of, small arms and light weapons.<sup>1</sup>

## **Gender Lens for Arms Control Support and Sustainability (GLASS)**

This project supports the creation of more inclusive and stable societies through gender-responsive approaches to developing arms control policies and programming.

## **The Geneva Dialogues on Securing Our Common Future: Taking forward the UN Secretary-General’s Agenda for Disarmament**

The Survey joined forces with a broad range of Geneva partners—including the Geneva Centre for Security Policy (GCSP), the Geneva Centre for the Democratic Control of Armed Forces (DCAF),<sup>2</sup> the Geneva Disarmament Platform, the Geneva International Centre for Humanitarian Demining (GICHD), UNIDIR, and the UN Office for Disarmament Affairs (UNODA)—to organize a series of events to unpack and illustrate the different sections of the UN Secretary-General’s Agenda for Disarmament.

## **Global Firearms Holdings**

This project estimates the total number of firearms held by civilians, the military, and law enforcement agencies globally. Global holdings data is collected and

maintained in one of the Survey’s five major databases. Initial figures were released in 2007 and last updated comprehensively in 2018.

## **Global Partnership on Small Arms**

This platform allows stakeholders engaged in reducing or preventing illicit arms trafficking to interact; exchange information, experience, and knowledge; and provide feedback to further their shared goals. The website also hosts a library of resources on illicit small arms flows and control measures.

## **Global Violent Deaths**

This project provides data and expertise that can be used to assess progress made in achieving peaceful, just, and inclusive societies through reductions in violent deaths and illicit arms flows. The Global Violent Deaths database contains data reaching back to 2004 and is updated on a yearly basis.

## **Human Security Baseline Assessment (HSBA) for Sudan and South Sudan**

This project supports conflict resolution through data collection and analysis conducted since 2006 on armed actors, flows of arms, and conflict dynamics in Sudan and South Sudan.

## **Making Peace Operations More Effective (MPOME)**

This project promotes weapons and ammunition management in peace operations by assessing current experiences and developing good practice, including through the provision of training. The Survey maintains the Peace Operations Data Set (PODS), which tracks attacks on peacekeepers and other incidents that result in the loss of arms and ammunition.

## **Regional Approach to Stockpile Reduction (RASR)**

Through this initiative, the Survey shares best practice and lessons learned to build the capacity of South-east European governments that are seeking to prevent explosions and destabilizing diversions of conventional weapons and munitions.

## **Regional Mapping of Illicit Arms Flows in West Africa and the Sahel**

This 12-month project concentrated on mapping illicit arms flows in parts of West Africa and the Sahel.

## **Security Assessment in North Africa (SANA)**

This project conducts research and analysis on small arms flows, armed groups, conflict dynamics, and related insecurity in the greater Sahel–Sahara region.

## **Strengthening Implementation and Enforcement of the Arms Embargo on North Korea (SAENK)**

This project contributes to the efforts of the UN Sanctions Committee and Panel of Experts established pursuant to UN Security Council Resolution 1718 to strengthen implementation of the North Korea arms embargo and enhance international peace and security.

## **Trade Update and Transparency Barometer**

The annual Trade Update features the latest figures on the world’s main exporters and importers of small arms and light weapons and presents the Transparency Barometer, which ranks key exporters from the most to the least transparent. The scores are accessible from the Survey website through an interactive database.

## **Unplanned Explosions at Munitions Sites (UEMS)**

This project aims to facilitate monitoring and systematic reporting of UEMS by providing governments, reporters, and others involved in investigating such incidents with tools for documenting them better. The UEMS database tracks the unplanned explosions of stockpiles of ammunition and explosives at storage sites throughout the world, dating back to 1979.

# From the director of the Small Arms Survey

For the Small Arms Survey, 2018 was an especially productive year. It saw the largest budget and the largest team that the Survey had assembled since its creation in 1999. That our work continues to be in such great demand is a testament to the importance of the Survey's mandate—to provide evidence-based and authoritative research and analysis on all aspects of small arms and armed violence. It is also due to the success the Survey's team has had, through hard work and expertise, in developing tools and services to help governments tackle illicit arms and armed violence.

It should be stated clearly at the outset that we could not undertake our work effectively without the generous support of our donors and numerous partnerships with fellow civil society organizations.

Highlights of the Survey's activities over the past 12 months include work we undertook with the United Nations Office for Disarmament Affairs and the European Union to support the Third UN Small Arms Programme of Action Review Conference (RevCon3), held in June 2018. In the lead-up to RevCon3, Survey team members participated in five regional meetings to brief UN member states on four thematic workshops that were held in 2017. We were also active in the three working groups that met in preparation for the Fourth Conference of States Parties (CSP4) to the Arms Trade Treaty, supporting transparency, reporting, treaty universalization, and effective treaty implementation. During CSP4 in Tokyo in August, we were particularly active in sharing our work on preventing and addressing diversion.

The Survey's support for measures and programmes at the regional level involved working with the African Union (AU) to advance its Silencing the Guns by 2020 initiative, in part by helping it map flows of illicit arms and develop a policy on managing recovered arms in its peace operations. At the subregional level, we worked with the Economic Communities of Central African and West African States, as well as with the Southern African Development Community to help operationalize their small arms conventions.

We also continued to support the measurement of progress towards the

Sustainable Development Goals (SDGs). We invested considerable effort in updating our database on Global Violent Deaths, and reported on progress made through the SDG 16 Data Initiative 2018 Global Report. In addition, we worked on firearm indicators throughout 2018, in partnership with the AU, the UN Office on Drugs and Crime, and selected partner states in Africa.

Research and analysis remain among the Survey's core activities. In 2018 we completed 23 new titles addressing the three central themes on which the Survey has historically focused: small arms stocks and flows; impacts of armed violence and illicit proliferation; and security promotion measures and programmes. A listing of all the new titles appears in the 'Getting the word out' section of this report (see Section VII). We translated our outputs into numerous languages in order to best reach policy-makers, practitioners, experts, and the advocacy community. I would like to flag here the latest addition to our very popular Handbook series—*An Introductory Guide to the Identification of Small Arms, Light Weapons, and Associated Ammunition*—which was a mammoth undertaking and has generated considerable interest and demand. And in June we issued three Briefing Papers to update our Global Firearms Holdings data. The headline is that civilians possess more than 80 per cent of the one billion-plus firearms in global circulation.

The Survey also helped set agendas in 2018 by organizing and participating in workshops and conferences. For example, we convened three regional workshops (in Brussels, Montevideo, and Nairobi) to promote weapons and ammunition management in peace operations, including a two-day meeting at NATO headquarters. Along the same lines, we co-hosted the Sixth Annual Meeting of the European Association of Peacekeeping Training Centres at the Maison de la Paix in Geneva. We also hosted an expert group meeting on capturing the burden of conflict-related deaths, continuing our tradition of advancing research for measuring (armed) violence, in support of SDG Target 16.1, with the goal of securing a significant reduction of all forms of violence and related death rates by 2030.

The year 2018 marked the completion of our 2014–18 strategy and the development of our 2019–23 strategy. Moving forward, the Survey will continue to undertake groundbreaking research, its predominant activity since its establishment. Over the past ten years, we have placed increasing emphasis on outreach and on the application of the knowledge we have developed, largely through the provision of capacity-building assistance, assessments, and training. This work rests on the Survey's solid research foundations and seeks to meet the different needs of the Survey's broad range of stakeholders, especially in light of the long-term move towards project funding, which now makes up 85 per cent of the Survey's support. I am extremely grateful to the Survey team for its ability to successfully manage this trend, overcoming its obstacles and challenges. The Survey is now in good and stable financial health.

After 20 years with the Survey in various capacities, I will be stepping down as director during the second half of 2019. In an agreement with the Graduate Institute of International and Development Studies, of which the Survey is an associated programme, I will transition to the post of director of strategic partnerships in support of the new director. It has been a privilege to play a role in the Survey's success and growth. I have been fortunate to work with many truly remarkable people. I have learned a great deal from them and have been inspired by their intelligence, passion, and commitment. Two people merit special mention. Keith Krause, the Survey's founder, has remained engaged and constructive. I have benefited from his friendship and his insights. And it has been a pleasure to work alongside Anna Alvazzi del Frate, the Survey's director of programmes, who will retire in August 2019. Anna's tireless energy, methodological rigour, and straight talking served the Survey very well these past ten years.

When I started my career at the United Nations in 1990, the issue of small arms was not on the international agenda. As the number of UN peace operations exploded in the wake of the cold war, Secretary-General Boutros Boutros-Ghali introduced the term 'micro-disarmament'

to highlight the need to focus on small arms proliferation. Many years later his successor, Kofi Annan, spoke of small arms as the real weapons of mass destruction. Numbers were bandied about without any foundation, which was not a basis for sound policy-making or programming. Neither the scale of the diversion of officially held weapons to the illicit sphere, nor the significant share of ammunition transfers in the global trade was well understood. Since the Survey was founded in late 1999, the international community has come a long way towards understanding and addressing these—and many related—issues, developing insight into the proliferation and misuse of small arms. The Survey has contributed meaningfully to these important gains and will continue to do so in the years ahead. There is still much work to be done.

A handwritten signature in black ink that reads "Eric Berman". The signature is written in a cursive, slightly slanted style.

—Eric G. Berman  
Director

# I. Introduction

Since its inception in 1999, the Small Arms Survey has provided governments, policy-makers, researchers, and other stakeholders with evidence-based, impartial, and policy-relevant knowledge and analysis. This Annual Report highlights the Survey's implementation of its strategic goals during 2018, underlining the practical impact of its programmes and its continued role as a global centre of excellence.

The year 2018 marked the close of the Survey's 2014–18 Strategic Plan and Goals (see Table 1). Developing strategic goals for 2019–23 was thus a major focus of 2018. Overall, the 2019–23 Strategy aims to inform and guide the work of the Survey during the coming years, setting out its intended contribution to global efforts to prevent and reduce illicit arms flows and armed violence in line with the Sustainable Development Goals (SDGs).<sup>3</sup> The Survey will put greater emphasis on two key cross-cutting issues: gender (see Section V), and monitoring, evaluation, and learning (see Box 4).

Sections II–V of this Annual Report are structured around the four central themes of the Survey's new 2019–23 Strategy, namely:

- stocks and flows of weapons and ammunition;
- the impacts of illicit arms and armed violence;
- measures and programmes that promote security; and
- gender.

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

Goal number	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.
2	The Small Arms Survey will work to catalyse change through knowledge building and expertise.
3	The Small Arms Survey will contribute to the development of international norms and best practices through its engagement with international and regional initiatives.
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.
5	The Small Arms Survey will consolidate its management and develop a careful growth strategy with adequate organizational, human, and financial resources.

Given the cross-cutting nature of the Survey's work, most projects, meetings, and other activities fall under more than one theme. For the purposes of this report, such activities are listed under the heading that best captures their core elements. For example, while the Survey's databases resist simple categorization, as they flow through and support all areas of Survey work, they are featured in the section on impacts of illicit arms and armed violence to underscore their value to scholars, governments, organizations, and practitioners worldwide.

Sections II–V illustrate the Survey's many different methods of work. These include conducting in-depth desk and field research and analysis; contributing to normative development across a

range of policy forums; delivering technical training and guiding capacity development; participating in programmatic discussions with key partners and stakeholders; chairing workshops and conferences, facilitating meetings, and making presentations; and communicating findings through traditional and new media. Each of the four sections contains a list that demonstrates the reach of Survey staff and their input on the global stage, as related to the relevant central theme.

Section VI provides current information on the Survey as an organization—its team, partners, and funding—and Section VII outlines the outreach aspects of its work, including publications and other forms of communication.

## II. Stocks and flows of weapons and ammunition

In 2018, the Survey continued to make significant contributions to the knowledge base on stocks and flows of weapons and ammunition (see Table 2). This section summarizes some of the year's highlights, including the updated Global Firearms Holdings database, the *Trade Update*, mapping exercises, the Making Peace Operations More Effective (MPOME) project, and a partnership with the HALO Trust designed to guide and facilitate a marking project in Bosnia and Herzegovina.

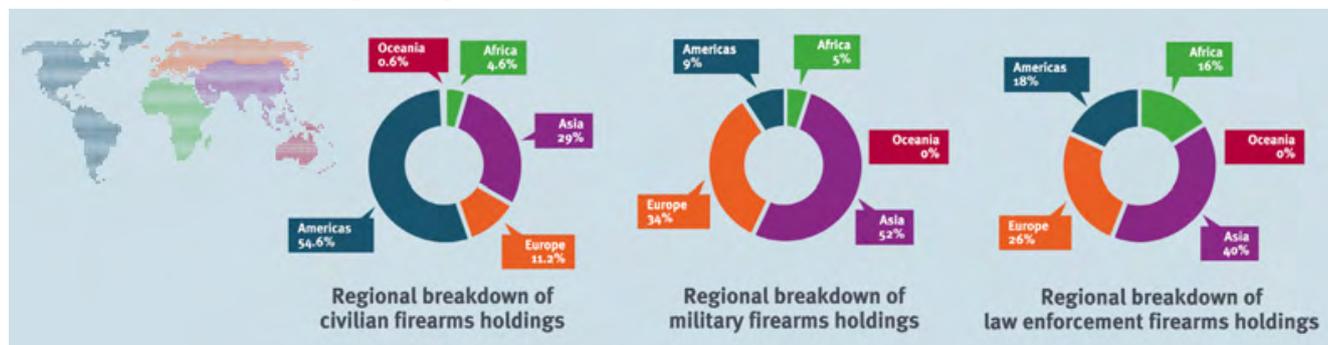
In 2007, the Survey completed an ambitious project estimating the total number of firearms in the possession of civilians, the military, and law enforcement agencies worldwide. In 2018, the Survey released an update of its Global Firearms Holdings estimates, revealing a sharp increase in the number of firearms in circulation: from 875 million in 2006 to more than one billion in 2017. The Small Arms Survey presented these findings in the form of three Briefing Papers that were released on the opening day of the

Third UN Small Arms Programme of Action Review Conference (RevCon3) in June 2018. The findings show that civilians hold 857 million (85 per cent) of the one billion firearms in global circulation, and that military arsenals and law enforcement agencies retain the remaining 133 million (13 per cent) and 23 million (2 per cent), respectively. This research suggests that global stockpiles have increased significantly over the past decade, largely due to increases in civilian holdings, which grew from 650 million in 2006 to 857 million in 2017. Although these findings invariably involve some degree of estimation, they represent the most accurate picture of global firearms distribution achieved to date (see Images 1 and 2).

For the first time in its study of weapons in circulation, the Survey placed a special focus on holdings of converted firearms in Europe. An in-depth study released in 2018 details the types of items that criminals, and sometimes terrorists, convert for use as functional, lethal fire-

arms (see Image 3). The report also looks at the history of illicit firearms conversion; the mechanics involved, including converter profiles, locations, and smuggling patterns; and European responses to date. In June 2018, the Survey briefed the European Parliament's Special Committee on Terrorism on the findings of the report. In December, the European Parliament adopted a resolution based on the findings and recommendations of the Special Committee, making specific reference to readily convertible alarm, deactivated, 'acoustic expansion', and Flobert-type firearms—all of which the Survey emphasizes in its report.<sup>4</sup> In 2018, the Survey also contributed a case study on France to a joint research project, Studying the Acquisition of Illicit Firearms by Terrorists in Europe (SAFTE). The Survey, which was one of six organizations that contributed to this EU-funded project, participated in the launch of the report and subsequent briefings. In December 2018, the Survey team published an op-ed in *Le Monde* that

**Image 1** Global firearms holdings, by region and sector



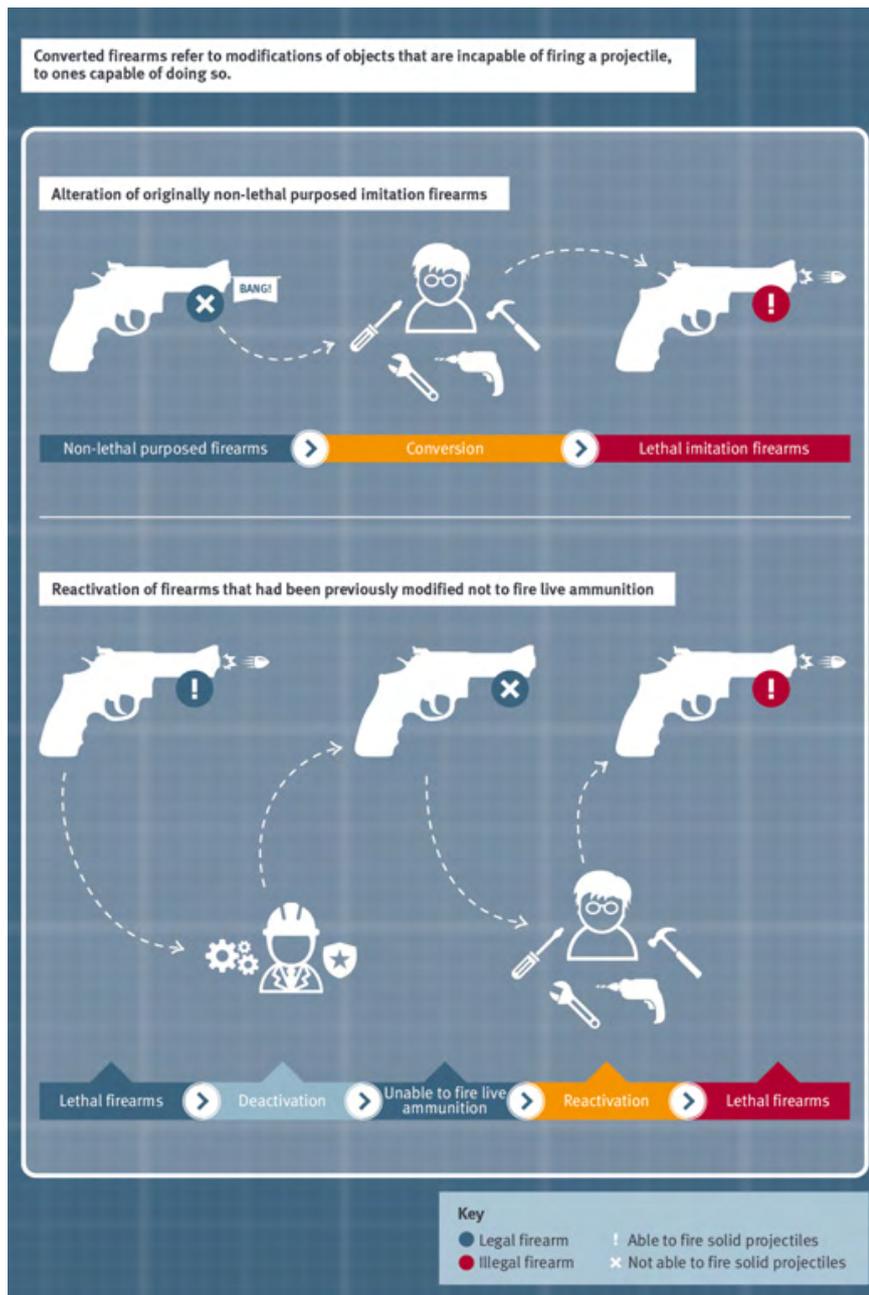
Infographic produced for the release of the updated Global Firearms Holdings database in June 2018

**Image 2** Countries with largest firearms holdings, by sector



Infographic produced for the release of the updated Global Firearms Holdings database in June 2018

**Image 3** Definitions of converted firearms



Infographic from *From Legal to Lethal: Converted Firearms in Europe*

highlighted the policy implications of the France case study findings.

In addition to tracking holdings, the Survey documents flows of arms and ammunition, both authorized and illicit. Its work on the authorized trade includes the Survey’s annual review of global small arms transfers, the *Trade Update*, which also features the Small Arms Trade Transparency Barometer.<sup>5</sup> The 2018 *Update*, which is focused on sub-Saharan Africa, relies on multiple open sources to identify the major producers, exporters, and importers of small arms in the region. It notes the significance of local craft production and the many opportunities for arms

and ammunition diversion, for example via unauthorized re-transfer.<sup>6</sup> The 2018 Barometer identifies Switzerland, the Netherlands, the United Kingdom, Italy, and Serbia as the most transparent exporters for 2015.

The Survey also carried out several projects designed to trace illicit flows. Its mapping exercises have enabled stakeholders to develop a better understanding of and design more appropriate responses to threats to the proper management and use of small arms and light weapons, with the aim of promoting peace and stability. In 2018, this dynamic was best illustrated by two arms-mapping efforts the Survey completed in Africa. First, in January 2018,

the Survey undertook a 12-month project to map illicit arms flows in parts of West Africa and the Sahel. The project expanded previous mapping efforts that had mostly been limited to a single state. Despite the large scope of work and tight deadlines, the project was completed successfully in December 2018. All member states of the Economic Community of West African States (ECOWAS) validated the mapping effort, which received approval and generated interest from their respective National Commissions on Small Arms and Light Weapons (NATCOMs). The German Federal Foreign Office, which funded the initiative, was able to use the report in its policy and programming decisions.<sup>7</sup> The second arms-mapping project took shape after the African Union (AU) Commission engaged with the Survey in 2018 to further its Silencing the Guns by 2020 initiative. At the AU’s request, the Survey worked with African regional economic communities (RECs), along with relevant international and expert organizations, to implement a study mapping illicit flows across Africa. The consultation and implementation activities involved collaborative design, data collection, and validation workshops.

The Survey’s work on illicit flows includes the MPOME project, whose growing body of data shows that thousands of small arms and millions of rounds of ammunition have been diverted from peace operations globally. The project has advanced the global agenda for arms management in peace operations since 2016. In 2018, the Survey expanded MPOME’s analysis of diversion concerns, raised awareness among key peacekeeping audiences, and supported the development and operationalization of relevant policy instruments. In particular, the Survey held three regional workshops to help peacekeeping professionals to unpack the challenges of arms and ammunition management in peace operations and identify entry points for improvement. This outreach generated new insight for advancing the development of the Survey’s Peace Operations Data Set (PODS), the only repository of data on global losses of weapons and ammunition from peace operations. The regional approach—including the hosting of workshops in East Africa, the transatlantic region, and Latin America—allowed the project to reach across the peacekeeping world. Furthering this work, in 2018 the Survey co-hosted the Sixth Annual Meeting of the European

**Table 2** Activities related to work on stocks and flows of weapons and ammunition

Project, meeting, conference	Location	Date
Independent information technology experts meeting on the establishment of Economic Community of West African States (ECOWAS) Small Arms and Light Weapons Register and Database	Abuja	January 2018
Seminar on prevention and fight against conventional arms trafficking—Institute for Strategic International Relations (IRIS)—Group for Research and Information on Peace and Security (GRIP)	Paris	
Lessons-learned workshop: Cross-border Anti-trafficking Efforts and Civilian Disarmament—Bonn International Center for Conversion (BICC)—German Federal Foreign Office	Berlin	February 2018
Outreach and research visit to Senegal and Guinea-Bissau	Dakar, Bissau	
Wilton Park Conference: Implementing SDG 16.4—Increasing Detection and Reporting of Illicit Small Arms and Light Weapons: Common Challenges and Shared Solutions	Magaliesburg	
Meeting with ECOWAS officials and representatives of National Defence College of Nigeria, UN Development Programme, and the Nigerian Presidential Committee on Small Arms and Light Weapons	Abuja	March 2018
Second Making Peace Operations More Effective (MPOME) regional workshop	Nairobi	
Viking 18 main events list/main incidents list 3 workshop	Enköping	
Chatham House Africa programme lecture series on preventing the loss of arms and ammunition in African peace operations	London	
NATO School Oberammergau's annual arms control implementation course	Oberammergau	April 2018
Final conference of the project Studying the Acquisition of Illicit Firearms by Terrorists in Europe	Brussels	
African Union (AU) and Small Arms Survey experts meeting on arms and ammunition management in peace operations	Addis Ababa	
Nigeria National Small Arms and Light Weapons Survey: presentation of draft report and findings, craft weapons report launch	Abuja	
Conventional Arms Export Controls—NGO conference: Reviewing the Common Position: Steady as She Goes or Time for a Change?	Brussels	June 2018
Briefing on the converted firearms study to European Parliament's Special Committee on Terrorism	Brussels	
Pilot training exercise: <i>Effective Weapons and Ammunition Management in a Changing Disarmament, Demobilization and Reintegration Context</i>	Lomé, Ouidah	
Meeting with representatives of the forensics department at Ecole des sciences criminelles	Lausanne	
Eighth European Academy of Forensic Science conference	Lyon	August 2018
Southern Africa regional workshop on arms brokering regulation	Livingstone	September 2018
Validation workshop for AU Mapping of Illicit Arms Flows in Africa project	Addis Ababa	
European Network of Forensic Science Institutes conference	Taastrup	October 2018
Expert workshop: <i>Effective Weapons and Ammunition Management in a Changing Disarmament, Demobilization and Reintegration Context</i>	New York	
Ninth session of the Conference of the Parties to the UN Convention against Transnational Organized Crime	Vienna	
Regional validation meeting for Mapping Illicit Arms Flows in Five West African Countries project	Abidjan	
Third MPOME regional workshop	Montevideo	
Conference on deactivation of firearms—Southeast European Law Enforcement Center	Sarajevo	
MPOME meeting—Lake Chad Basin Commission, Multinational Joint Task Force against Boko Haram, UN, and other officials	N'Djamena	December 2018
Meetings—Democratic People's Republic of Korea Sanctions Panel and UN Office for Disarmament Affairs for the project on Strengthening Implementation and Enforcement of the Arms Embargo on North Korea	New York	
Fourth MPOME regional workshop	Brussels	

Association of Peacekeeping Training Centres and conducted a side event at the 24th Annual Conference of the International Association of Peacekeeping Training Centres in Auckland, New Zealand—highlighting the problem of peace operation losses in both cases. The Survey also became an official observer with the Latin American Association of Peacekeeping Training Centres (ALCOPAZ). In 2018 the MPOME project received financial support from Canada, Germany, Sweden, and the United Kingdom, as well as in-kind support from NATO, the United States, and Uruguay.

The Survey has also continued to serve the specific policy needs of its partners in the context of stockpiles and flows.

During 2018, for example, the Survey partnered with the HALO Trust to help finalize Phase I and set up Phase II of a marking project funded by the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR). The project targeted Bosnia and Herzegovina, following a number of high-profile weapons diversion and proliferation incidents over the past decade. To implement the project, the Survey team first analysed the existing normative framework for weapons control (including legislation, regulations, and standard operating procedures). Second, the team assessed the physical capacities needed to undertake marking and record-keeping activities in support of a comprehensive inventory of the

weapons stockpile; this work focused on infrastructure, equipment, and technical training for effective marking, registration, and record-keeping practices. After working with the Survey, local authorities requested additional help with the identification of good practice for weapons marking and record-keeping. Drawing upon the Survey's expertise, the Bosnian Ministry of Defence (MoD) was able to generate standard operating procedures necessary for a Phase II of the project. Phase I was successfully completed in January 2018 and Phase II is being implemented by the HALO Trust in collaboration with the Bosnian MoD and the European Union Force in Bosnia and Herzegovina (EUFOR).

### III. Impacts of illicit arms and armed violence

Throughout 2018, the Survey remained engaged in efforts to mitigate the impacts of illicit arms and armed violence (see Table 3). This section describes the ways in which the Survey advanced related work, including activities designed to help governments and other stakeholders to implement SDG Targets 16.1 and 16.4, which aim to reduce violent death rates and illicit arms flows, respectively. As discussed below, the Survey convened an expert group meeting on the measurement of conflict-related deaths. Other work involved supporting key partners—such as the AU Commission, the Office of the UN High Commissioner for Human Rights (OHCHR), and the UN Office on Drugs and Crime (UNODC)—in their SDG-related endeavours. Together with other civil society actors, the Survey participated in the SDG 16 Data Initiative. It also updated its Global Violent Deaths data-

base and continued to advance long-standing, data-generating projects, such as the Human Security Baseline Assessment (HSBA) and the Security Assessment in North Africa (SANA) projects (see Box 1). Work relating to the Survey’s five databases, perhaps its most utilized resources, is summarized in Box 2.

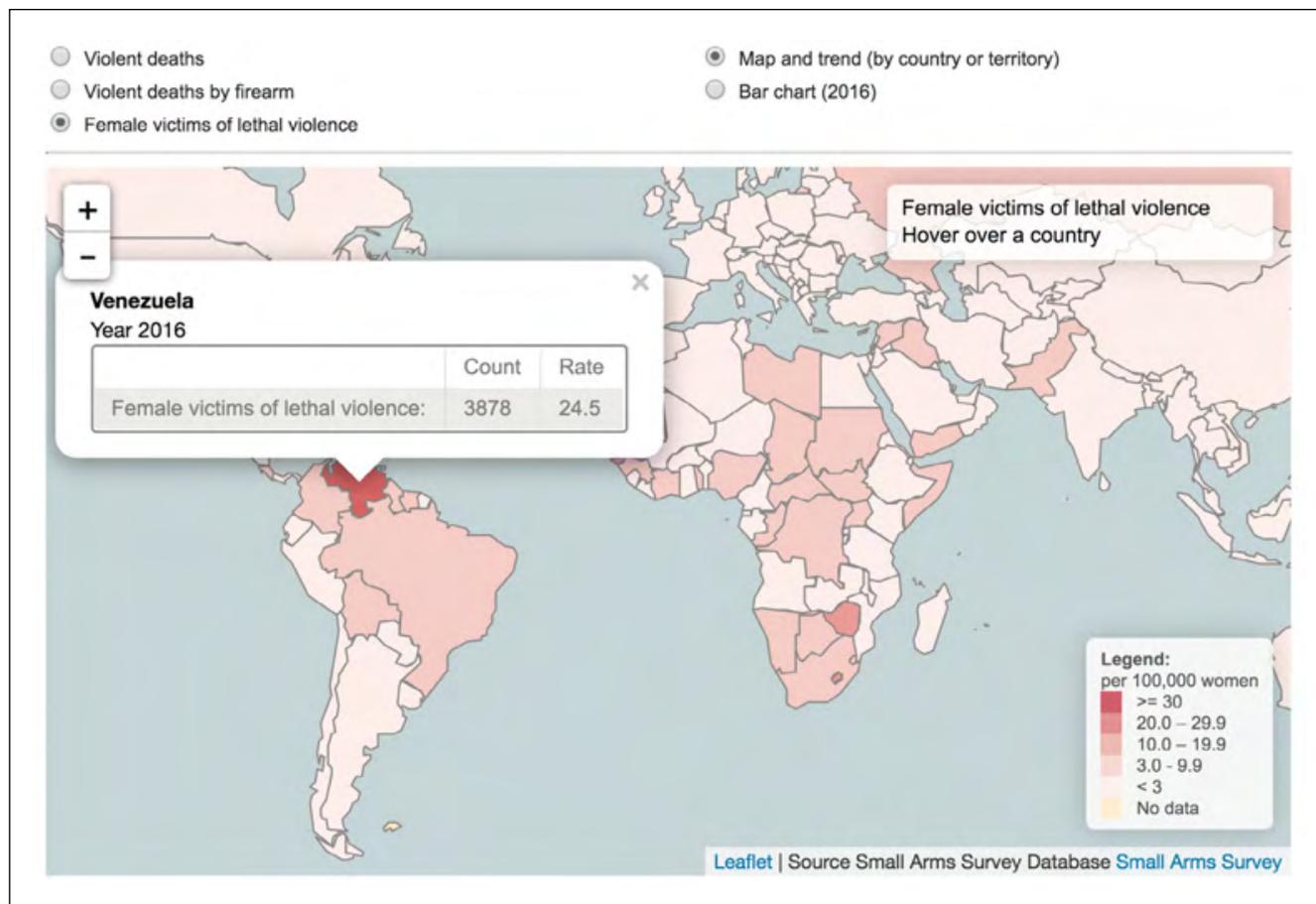
Generating and sharing knowledge of the impacts of armed violence requires the application of multidisciplinary tools. Drawing on public health, security, development, criminal justice, gender, and human rights approaches, the Survey convened an expert group meeting on conflict-related deaths as part of ongoing efforts to better estimate conflict-related deaths (SDG Indicator 16.1.2), including indirect deaths. At the meeting, the experts agreed a plan of action that envisages practical steps towards the development of better estimates of conflict-related mortality.

This work complements the Survey’s engagement with OHCHR and UNODC on the development of official methodologies for data collection for SDG indicators on lethal violence.

Survey support for national implementation of SDG targets often stems from its strong partnerships. A prominent example is its work with the AU Commission: in consultation with UNODC, the Survey is helping to develop national indicators on firearms in the AU region. Five AU member states—Burkina Faso, Burundi, Ghana, Mauritania, and Niger—participated in roundtable discussions at an initial workshop in Addis Ababa that was designed to promote information exchange both between and within different national SDG teams. The workshop identified eight regional priorities, and participating states pledged to undertake concrete follow-up in 2019.

As one of the 14 founding members of the SDG 16 Data Initiative, the Survey works with partners to provide a unique platform for civil society data on all targets of SDG 16. The Initiative is developing a holistic view and approach to measuring

**Image 4** Number of female victims of lethal violence, by country



Dynamic map on armed violence indicators

progress made towards the goal across all its targets. In 2018, the Survey contributed data on homicides and the transparency of arms exports to the Data Initiative Global Report. Doing so has allowed Survey data to enjoy increased visibility in the context of monitoring the SDGs.

The Survey's databases continued to provide stakeholders around the world with reliable data on illicit arms and armed violence. The Global Violent Deaths database is a prime example. In the final quarter of 2018, this database was updated with information for 2017. In 2018, the Survey expanded and deepened its use of national-level data, thereby increasing the precision of the analysis. Overall, the update identified 7,010 new data points—each representing a country and a year—and prioritized information from national statistical sources that disaggregated the victims of lethal violence by sex and by type of lethal instrument (in particular, firearms), which is generally difficult to obtain (see Image 4).

In 2018, HSBA's Mapping Actors, Alliances, and Arms Flows in South Sudan project gathered critical data on armed actors active across the country. This information will contribute to the efforts of policy-makers, researchers, and non-governmental organizations (NGOs) to reduce and prevent armed violence in South Sudan. It will also help stakeholders to assess progress made in the

### Box 1 HSBA and SANA: two long-standing Survey projects

The Survey's Human Security Baseline Assessment (HSBA) for Sudan and South Sudan, and Security Assessment in North Africa (SANA) provide multi-year, regional analysis on which stakeholders frequently rely. Established in 2006 and 2012, respectively, the HSBA and SANA projects touched on a wide range of the Survey's core themes in 2018.

#### HSBA

The overarching objectives of the HSBA project are to shape policy and programming, and to inform peace processes and conflict resolution, in Sudan and South Sudan. The HSBA project is widely credited with providing policy-makers, researchers, and practitioners with impartial and in-depth analysis of conflict dynamics in both countries.



Publications in 2018 presented research on the identity politics of the Fertit opposition group in South Sudan; on impacts associated with the easing of the US sanction regime against Sudan in 2017; and on the Tubu and other armed groups and smugglers along Libya's southern border (in a joint publication with the Survey's SANA project). In 2018, HSBA received funding from the US Department of State Bureau of African Affairs and the US Office of the Special Envoy for Sudan and South Sudan.

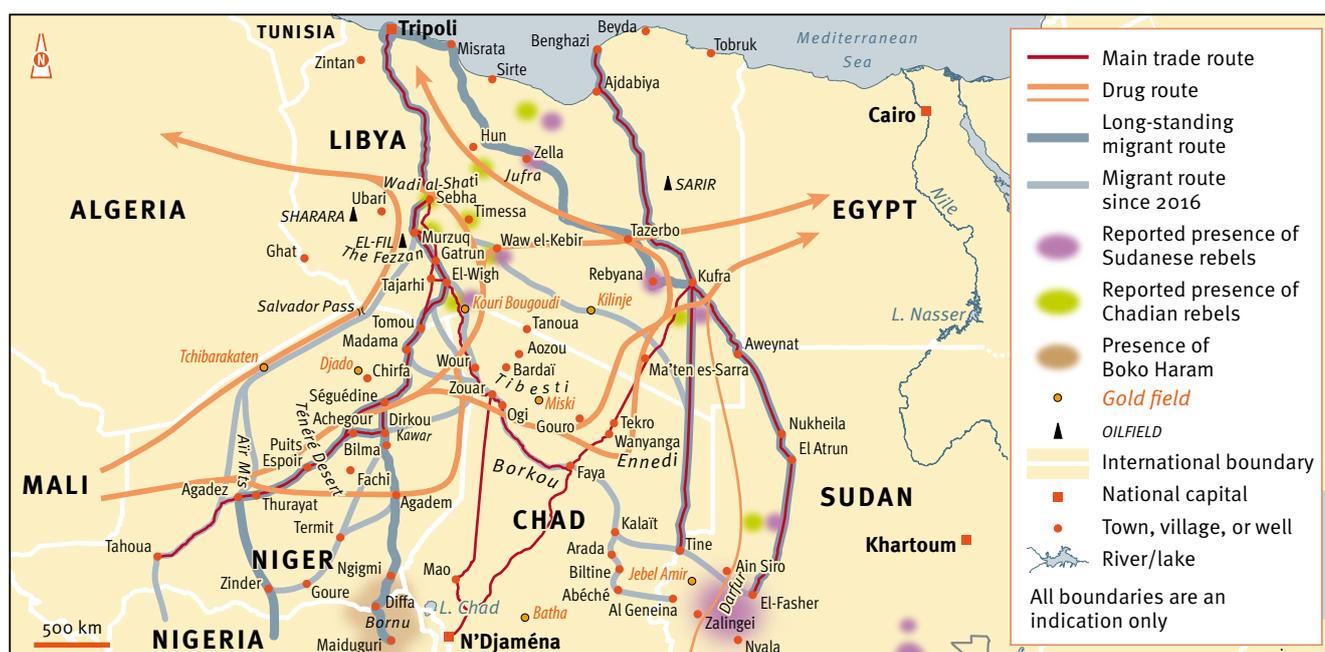
#### SANA

The SANA project 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 the project's reach and exposure in the countries in the region. Stakeholders have consistently reported that they value SANA's research because it covers topics that few others do, and because they view it as rigorous, accurate, and relevant.



In 2018, SANA's publications featured research on insecurity, terrorism, and arms trafficking in Niger; the operationalization of SDG Target 16.1.2 (conflict-related deaths) in Libya; the role of UN peacekeeping operations in monitoring illicit arms flows; the capacity of national forensics institutions to detect and monitor weapons in the Sahel; the influence of armed militias in Libya; and the impacts of the Libyan revolution on Algeria's political and security situation. Funding for SANA in 2018 was provided by Canada, the Netherlands, and Switzerland.

Image 5 Cross-border armed groups and routes across Libya's southern border



Map from *Lost in Trans-Nation: Tubu and Other Armed Groups and Smugglers along Libya's Southern Border*

## Box 2 Databases

In 2018, the Survey updated its five internationally recognized databases to allow stakeholders across the world access to up-to-date, accurate information for use in small arms-related decision-making. All are frequently referenced in academic, government, non-profit, and policy circles. The databases aim to bridge significant data gaps that exist in specific fields of small arms and violence-related research to improve the effectiveness of interventions. The Survey maintains and updates these databases, drawing upon their findings to generate both general and specific policy-oriented analysis. Furthermore, the multi-year nature of each database enables critical cross-decade comparative research that serves to provide important context for small arms programmes. To be able to provide high-quality information in its niche areas, the Survey relies on steady funding for database maintenance. The five databases are listed below.

- The **Global Firearms Holdings database**, maintained since 2007, includes data on firearms holdings among civilians, military forces, and law enforcement agencies from more than 200 countries and territories (see Section II).
- The Small Arms Survey updates its **Global Violent Deaths database** annually. The 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. It includes data that is disaggregated by sex and by instrument, which allows for the generation of a data set on killings by firearm.
- In its **Peace Operations Data Set (PODS)**, the Survey records attacks on peacekeepers that resulted in the loss of lethal materiel from AU, UN, and other authorized peacekeeping operations. The records show that since the 1990s, more than 200 incidents in more than 30 countries and territories have led to the loss of thousands of weapons and millions of rounds of ammunition from peace operations.
- 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 licences issued in 2001. Annual transparency scores are accessible from the interactive database on the Survey website.
- 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 nearly 600 incidents dating back to 1979, including their causes, circumstances, and the number of casualties, if available.

implementation of the latest peace agreement, signed in June 2018. The project underwent a pilot phase in 2018; the HSBA team created profiles for more than 250 individual actors and armed or political groups using data gathered from extensive field and desk research in 2017 and early 2018. The individual profiles contain biographical information and data on areas of activity, alliances and enmities, and involvement in armed conflict. Plans for the future include the online publication of a visualization toolkit featuring weapons flows tracking; administrative boundaries (for example, former and current states); areas of military and rebel control; armed violence and clashes; disarmament activity; and ethnic groups and languages. The online version will function as an open platform. This feature will encourage other institutions to provide information with which additional layers may be built onto the map, increasing user activity and project impact.

In 2018, the Survey's SANA project continued to support informed policy decisions, thereby contributing to efforts to improve human security in a region where security is often tenuous. A striking example of SANA's impact was the April 2018 presentation of the Working Paper *Tubu Trouble: State and Statelessness in the Chad–Sudan–Libya Triangle*.<sup>8</sup>

Alongside representatives from international organizations, NGOs, and embassies, perhaps the most notable attendees were approximately two dozen members of the Tubu community. Many had made a difficult and dangerous three-day journey from the Libya–Chad border to attend the event at their own expense. The Tubu representatives expressed appreciation for the opportunity to engage with the research and interact with international stakeholders on the important issues raised in the study. Their participation demonstrates SANA's relevance to local and international stakeholders alike. The event paved the way for subsequent bilateral meetings and sustained relationships between the Survey's SANA team and the Tubu community. In December 2018, the Survey released the report *Lost in Trans-Nation: Tubu and Other Armed Groups and Smugglers along Libya's Southern Border*,<sup>9</sup> which continues the discussions and analysis from the *Tubu Trouble* Working Paper (see Image 5).

**Table 3** Activities related to work on impacts of illicit arms and armed violence

Project, meeting, conference	Location	Date
The Transformative Power of Economic and Social Rights in Sustainable Peace event—Geneva Centre for Security Policy (GCSP)	Geneva	January 2018
Academic working group on less-lethal weapons and security devices that might cause harm	Geneva	March 2018
Commonwealth Heads of Government meeting side event: A More Secure Future	London	April 2018
Security Assessment in North Africa (SANA) experts coordination meeting and public event for <i>Tubu Trouble</i> publication and research	Tunis	
Preparatory mission: illicit small arms and radicalization in Ukraine	Kiev	September 2018
Capacity-building training for three local border communities in collaboration with Danish Demining Group in Libya	Zarzis	
UN Development Programme—UN Economic and Social Commission for Western Asia regional workshop to operationalize Pathways for Peace in Arab states	Amman	October 2018
Annual Strategic Planning meeting	Oslo	
African Union and Small Arms Survey workshop: Strengthen National Institutions in Establishing Firearms Indicators	Addis Ababa	December 2018
Research mission: illicit small arms and radicalization in Ukraine	Kiev	

## IV. Measures and programmes that promote security

Today, two decades after the adoption of the first regional and global instruments, the normative framework for conventional arms control is now substantial. Diverse multilateral instruments now embody practical measures aimed at curbing the proliferation and misuse of small arms. At the global level, these include the Arms Trade Treaty (ATT), the International Tracing Instrument, the UN Firearms Protocol, and the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA). RevCon3, held in June 2018, established a wide range of priorities for the 2018–24 period. The conference emphasized the prevention of weapons and ammunition diversion and the need for the effective implementation of existing commitments. In particular, the RevCon3 outcome calls on states to harness operational synergies between the UN small arms process and complementary processes, such as the 2030 Agenda for Sustainable Development and global counterterrorism strategies; address the challenges certain new technologies pose to implementation; and mainstream gender into small arms-related policies and programmes.

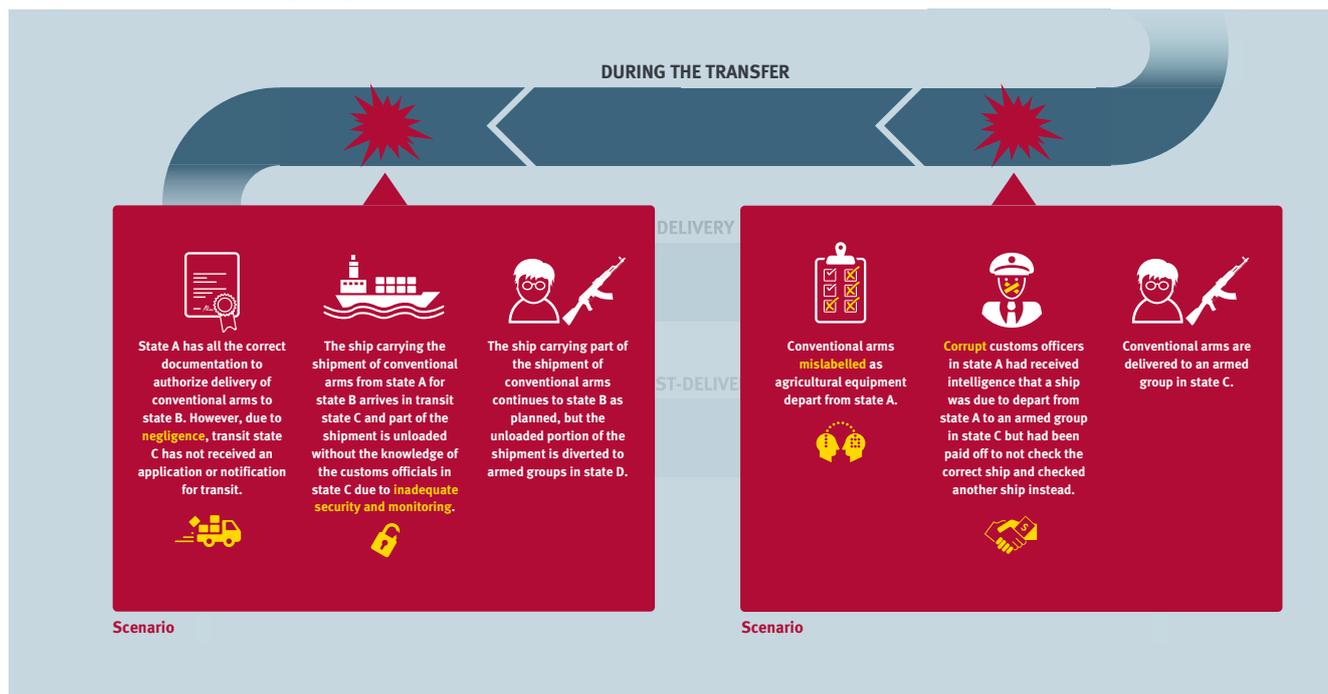
In 2018, the Survey continued to make contributions to enhanced security through measures and programmes at the international, regional, and national levels (see Table 4). This section outlines selected activities in this area, first touching on the key role played by the Survey at major international conferences in the arms control sphere, including ATT and PoA (RevCon3) meetings. Second, it notes the important country-level and regional support provided by the Survey to burgeoning NATCOMs in Madagascar and the Central African Republic (CAR), and to the Southern African Development Community (SADC) and the Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States (RECSA). The Survey also set up the foundation for a partnership with Interpol, the League of Arab States, and the World Customs Organization. Finally, it discusses the development of the Critical Path Guide to the International Ammunition Technical Guidelines (IATG).

The Survey has long helped states and international organizations implement core small arms and light weapons commitments and programmes. One example

is its work in support of the ATT, which seeks to strengthen the regulation of international arms transfers and prevent illicit trade in conventional arms. In 2018, the Survey supported working groups at ATT-related conferences and workshops in Abuja, Antananarivo, and Paris. In August 2018, the Survey was active at the Fourth Conference of States Parties (CSP4) to the ATT in Tokyo. At the request of the president of ATT CSP4, Ambassador Nobushige Takamizawa of Japan, the Survey developed an infographic on effective measures to prevent and address diversion (see Image 6). The visual was presented during the ‘Thematic Discussion on Diversion’ at CSP4 and has been used for training purposes by the Survey and other organizations. The Survey also hosted a number of key ATT CSP4 side events and attended a Gender Breakfast, during which they exchanged information on gender and arms projects and introduced the Survey’s new Gender Lens for Arms Control Support and Sustainability (GLASS) project (see Section V).<sup>10</sup>

The Survey provided expertise and support at every stage of the PoA RevCon3 process. As described in greater detail in

**Image 6** Scenarios highlighting the risks of diversion before an arms transfer



Excerpt from the infographic *Possible Measures to Prevent and Address Diversion: Supporting Effective Implementation of the Arms Trade Treaty*

Box 3, the thematic symposia and the resulting *Ways Forward* Briefing Paper helped to frame key issues and potential action points for the Conference, while the regional conferences allowed participating states to gain information on RevCon3 issues and set national and region-wide priorities. The Survey also provided expert support to France, the chair of RevCon3, and hosted side events at the RevCon3 preparatory committee meeting and at the conference itself.

In recognition of the Survey's involvement in RevCon3, Madagascar requested its assistance in the establishment of a NATCOM. Under its Arms Control, Capacity, and Evaluation Support System (ACCESS) project, the Survey undertook an exploratory visit to Madagascar in September 2018 to interview relevant stakeholders. The Survey then outlined options for the creation of a Malagasy NATCOM in a report, which was discussed at a three-day conference hosted by the Government of Madagascar in Antananarivo in November 2018. This conference concluded that a proposal for a NATCOM should be submitted to the legislature for its decision in May 2019. Funding for the ACCESS project gave the Survey flexibility to meet this request for assistance, a productive model for emulation across other programming. This project further highlights how Survey initiatives are often interconnected. Work from one team generated subsequent programming for another expert team, made possible by funding from another programmatic area.

In a similar field, the Survey worked alongside the UN Mine Action Service (UNMAS) to provide support to a newly created NATCOM on small arms in CAR. UNMAS and CAR's NATCOM had approached the Survey seeking expert advice on two projects. First, they sought support for the development of a national strategy for combating the illicit circulation of small arms. Second, they sought expert assistance to produce a five-year national action plan for the NATCOM. Drawing on information gathered through a mapping project carried out in 2017, the Survey team adopted a process-driven approach towards supporting the NATCOM. Over the course of the year, the Survey supported a process by which CAR's government drafted a national strategy and action plan that were subsequently signed by the president. This programmatic success helped the Survey to become a preferred partner of the CAR NATCOM. The

### Box 3 RevCon3

To advance the fight against the illicit small arms trade, the EU mandated the UN Office for Disarmament Affairs, in partnership with the Survey, to support the 2018 Third UN Small Arms Programme of Action Review Conference (RevCon3). The Survey drafted background papers for four thematic symposia that were held in late 2017. These discussions served to inform five regional conferences that were held between February and April 2018. They were also summarized in the *Ways Forward* Briefing Paper, which was released just before RevCon3 in June 2018. The regional conferences helped participating states prepare for RevCon3 by providing a forum in which they could identify and explore region-specific implementation issues relating to the UN Programme of Action and the International Tracing Instrument. The *Ways Forward* paper presents a series of recommendations for practical small arms-related work in the period following RevCon3.

The thematic symposia topics were:

- small arms control in conflict and post-conflict situations;
- small arms and the Sustainable Development Goals and gender-related aspects of small arms control;
- recent developments in small arms manufacturing, technology, and design; and
- synergies with other arms control instruments and processes.

Regional conferences were convened in:

- Latin America (Lima, 13–14 February 2018);
- the Caribbean (Port of Spain, 19–20 February 2018);
- Asia (Bangkok, 7–8 March 2018);
- West Africa and Central Africa (Lomé, 10–11 April 2018); and
- East Africa and Southern Africa (Lomé, 12–13 April 2018).

The Survey published two papers in connection with its RevCon3-related work:

- *Implementing the Programme of Action and International Tracing Instrument: An Assessment of National Reports, 2012–17*; and
- *Ways Forward: Conclusions of the Small Arms Symposia*.

Survey's work during the process prompted a request for additional expert support going forward.

The Survey's work with SADC provides an interesting example of support to regional processes. Unscrupulous brokers can play a key role in supplying arms to entities that are subject to arms embargoes, including terrorists and organized criminal groups. During 2018, the Survey developed a tool that enables SADC experts to assess national legislation and systems that regulate brokering against regional and international commitments. The Survey collaborated with key experts to conduct a needs assessment to determine what resources and measures are required to support countries interested in developing or strengthening national measures to regulate arms brokers and brokering. The Survey used this information to convene a regional expert meeting in Zambia at which participants shared their needs and challenges to help develop and disseminate good practice guidance to regulate and enforce brokering controls. Following this meet-

ing, the Survey continued to work with regional experts to develop a mechanism for ongoing information exchange.

Another regional body that solicited the Survey's assistance in the area of arms control implementation was RECSA. The centre sought to implement a voluntary surrender campaign in the Great Lakes Region, the Horn of Africa, and bordering states. The Survey drafted a baseline assessment of RECSA member states' implementation of voluntary surrender initiatives. Furthermore, the Survey helped implement three pilot community-based public voluntary surrender campaigns in the Mathare, Kayole, and Mukuru neighbourhoods of Nairobi.

Working with the EU, the Survey also cemented a partnership with the League of Arab States. Specifically, on 19 November 2018 the EU adopted and approved Council Decision (CFSP) 2018/1789, through which the Survey is tasked with carrying out an exercise in support of combating the illicit trade in and proliferation of small arms and light weapons in the member states of the

**Table 4** Activities related to work on measures and programmes that promote security

Project, meeting, conference	Location	Date
Regional conference in preparation for RevCon3	Lima	February 2018
Regional conference in preparation for RevCon3	Port of Spain	
Presentation of thematic symposia recommendations to the Organization for Security and Co-operation in Europe (OSCE)	Vienna	
Regional conference in preparation for RevCon3	Bangkok	March 2018
Presentation of thematic symposia recommendations to the EU Council Working Party on Non-Proliferation	Brussels	April 2018
Regional conferences in preparation for Revcon3: 1) West and Central Africa; 2) East and Southern Africa	Lomé	
First consultative meeting on promoting cooperation and transparency in weapons and ammunition management in Somalia	Mogadishu	
Support to the Swiss delegation to the sixth working group on firearms (Firearms Protocol)	Vienna	May 2018
Economic Community of West African States (ECOWAS) regional strategy to implement Silencing the Guns by 2020	Dakar	
First Conference of States Parties to the Central African Convention for the Control of Small Arms and Light Weapons, Their Ammunition and All Parts and Components That Can Be Used for Their Manufacture, Repair and Assembly	Yaoundé	June 2018
World Customs Organization Knowledge Academy	Brussels	July 2018
Workshop to establish a national small arms strategy and National Commission of Small Arms and Light Weapons (NATCOM) for the Central African Republic	Bangui	
Inter-ministerial sensitization seminar on the implementation of the Arms Trade Treaty (ATT) in Nigeria	Abuja	
General assembly of the Latin American Association of Peacekeeping Training Centres (ALCOPAZ)	Lima	August 2018
Peace support operations course at the Indonesian Peace and Security Centre	Sentul	
'Disarmament That Saves Lives'—second event of the Geneva Dialogues on Securing our Common Future: Taking Forward the UN Secretary-General's Agenda for Disarmament	Geneva	
Fourth Conference of States Parties to the ATT	Tokyo	
Validation and capacity-building exercise with ammunition experts	Vienna	
Exploratory visit to Madagascar regarding NATCOM support	Antananarivo	
Workshops to validate the national small arms strategy and to produce a draft national action plan in collaboration with the UN Mine Action Service (UNMAS) and the Central African NATCOM	Bangui	
Twenty-fourth Annual Conference of the International Association of Peacekeeping Training Centres	Auckland	October 2018
Biennial meeting to assess the implementation of the OSCE Documents on Small Arms and Light Weapons and Stockpiles of Conventional Ammunition	Vienna	
African Union (AU) Silencing the Guns East Africa chapter validation	Addis Ababa	November 2018
EU ATT Outreach Project II experts meeting	Paris	
AU Policy on Management of Recovered Arms and Ammunition in Peace Support Operations validation meeting	Addis Ababa	
NATO school small arms and light weapons and mine action course	Oberammergau	
Madagascar ATT implementation workshop—ACCESS project	Antananarivo	December 2018
Geneva Disarmament Platform	Geneva	
International workshop on integrated protection of civilians in UN peacekeeping operations	New Delhi	

League of Arab States. The project will be carried out in 2019–20 in partnership with Interpol and the World Customs Organization.

The Survey has also developed, or provided guidance on the creation of, practical tools to support implementation. One example is the Critical Path Guide to the IATG, which is designed to strengthen the management of national ammunition stockpiles. The guide provides expert advice on how to interpret

and apply stockpile management measures in practice. The Critical Path Guide was implemented with the Geneva International Centre for Humanitarian Demining (GICHD) and the UN Office for Disarmament Affairs (UNODA), with funding from the German Federal Foreign Office. The project was executed in a short, nine-month window. In November 2018, the IATG technical review board met, discussed, and approved the draft guide, which is scheduled for publication in

2019. Under SaferGuard, the Survey mapped national ammunition management education and training courses and curricula. While acting as an observer for a validation and capacity-building exercise conducted with ammunition experts, the Survey also supported the development of training and validation materials and served as an assessor of soft skills. The overall project is being implemented jointly by GICHD and UNODA, with support from the Survey.

## V. Gender

Illicit arms flows, armed violence, and the policies and programmes that address them have important gender dynamics. Women, girls, men, and boys face different arms-related safety and security risks, and enjoy different levels of access to security-promotion measures and programmes. The Survey is keen to move beyond a gender binary approach, especially considering that non-binary people are relatively likely to be exposed to discrimination and elevated risks. The past decade has seen the convergence of the policy instruments governing international arms control; the women, peace, and security (WPS) agenda; and the 2030 Agenda. Policy-makers increasingly acknowledge the need to incorporate gender in the design and implementation of arms control interventions. Nevertheless, numerous obstacles impede progress in this area.

With its established interdisciplinary expertise and experience, the Survey contributes to the integration of gender perspectives into arms control. In 2018, it did so through a number of key projects and initiatives, many of which interrelate with crucial gender issues (see Table 5). This section presents some examples, such as the Survey's inclusion of a gender-specific component in MPOME, its engagement with the Women's International League for Peace and Freedom (WILPF) and the Gender and Mine Action Programme (GMAP), its new Gender Lens for Arms Control Support and Sustainability (GLASS) project, and its contribution to the evolving discourse on gender and armed violence.

In furtherance of the WPS agenda, the Survey integrated a gender-specific component into the MPOME project in 2018. Specifically, it mapped the different contributions a gender perspective can make to increasing operational effectiveness and preventing losses of lethal and non-lethal materiel. Similarly, the Survey incorporated additional sex-disaggregated data—which is not readily available for some countries—into the Global Violent Deaths database to facilitate gendered analysis of lethal violence (see Section III and Box 2). In 2018 the Survey was active in analysing the role of arms in gender-based violence and shared data for the

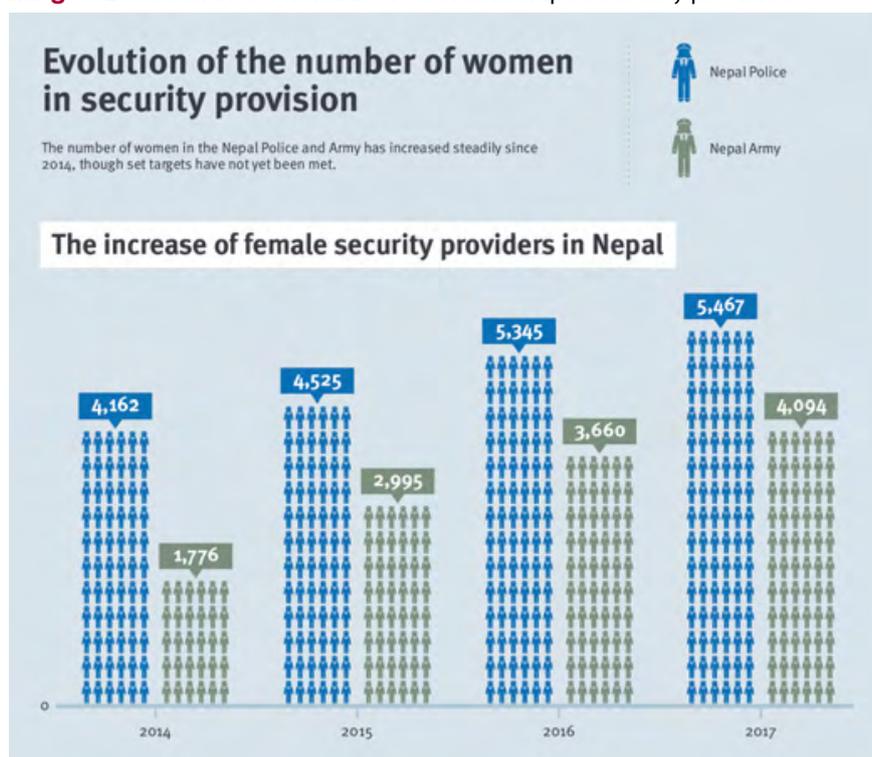
global awareness campaign 16 Days of Activism against Gender-Based Violence (see Section VII).

In March 2018, the Permanent Mission of Canada in Geneva approached the Survey about organizing, with WILPF and GMAP, the first workshop on gender and non-proliferation, arms control, and disarmament (NACD). The Survey coordinated the workshop and a training session for about 30 high-level diplomats. The workshop offered the diplomatic community capacity development in gender inclusiveness. It also provided discussion and training on the integration of gender perspectives throughout disarmament work, thereby also advancing the concrete implementation of the WPS agenda. Later in 2018, the Survey was invited to attend, as an observer, meetings of the newly established Core Group on Gender and NACD in Geneva. The Core Group brings together state representatives of Geneva-based NACD forums with the aim of establishing practical advocacy priorities for gender-responsive decision- and policy-making.

The Survey has actively developed responses to the continuous need for gender-informed, evidence-based solutions to address the proliferation of small arms and light weapons. Central to this effort is the Survey's work on the new GLASS project in 2018. GLASS supports the creation of more inclusive and stable societies through gender-responsive approaches to arms control policies and programming, including three mutually reinforcing areas of work: i) increased participation of women in multilateral policy-making forums and effective inclusion of gender analysis in small arms control; ii) strengthened international arms control frameworks and instruments through the uptake and integration of gender-informed and gender-responsive approaches to arms control practices; and iii) more effective, relevant, and efficient arms control policies and programmes through the development of tools and resources for policy practitioners.<sup>11</sup>

Finally, the Survey has become a key host and contributor to the growing agenda on gender and small arms. In addition to the above-mentioned programmes and events, in 2018 the Survey presented at global arms control conferences, gender workshops, and events in Geneva. At the international level, the

**Image 7** Evolution of the number of women in Nepali security provision



Infographic from *Women in State Security Provision in Nepal: Meaningful Participation?*

Survey helped to frame the discourse of gender-related aspects of small arms control at RevCon3 (see Box 3). At events of the Maison de la Paix Gender and Diversity hub, particularly during Geneva Peace Week, the Survey participated in or led discussions about gender and the ATT; gender equality and security institutions; increased participation of women in multilateral policy-making forums; integration of gender perspectives in UN General Assembly First Committee resolutions; and objectives of mainstreaming gender equality in language used in organizations and beyond.

The Survey also released a publication on the role of women in the security sector in Nepal (see Image 7). Originally intended to be a Yearbook chapter, the analysis was released as a Briefing Paper in March 2018, on International Women's Day.

**Table 5** Activities related to work on gender

Project, meeting, conference	Location	Date
Elsie Initiative strategic workshop	Ottawa	February 2018
Community of Interest workshop at the Nordic Centre for Gender in Military Operations	Kungsängen	March 2018
Workshop on gender and non-proliferation, arms control, and disarmament hosted by the Permanent Mission of Canada, jointly organized by the Survey with Women's International League for Peace and Freedom (WILPF) and Gender and Mine Action Programme (GMAP)	Geneva	
Group of Friends on Women, Peace, and Security (WPS) in Geneva: consultation with non-governmental and inter-governmental organizations	Geneva	April 2018
NATO annual Discipline Conference on Gender in the Military	Brussels	May 2018
Thematic symposium on the Sustainable Development Goals and gender-related aspects of small arms control at Third UN Small Arms Programme of Action Review Conference (RevCon3)	New York	June 2018
UN Regional Centre for Peace and Disarmament in Asia and the Pacific workshop for Southeast Asia on gun violence and illicit small arms trafficking from a gender perspective	Bangkok	July 2018
UN General Assembly First Committee and Gender Lens for Arms Control Support and Sustainability (GLASS) launch event	New York	October 2018
Launch of the fourth Swiss National Action Plan on WPS	Geneva	November 2018
Geneva Peace Week events: Building Urban Peace (co-organized with DCAF); Peace Operations from the Ground Up (co-organized with DCAF); Integrating Gender Equality in Peacebuilding (Gender and Diversity Hub event)	Geneva	
16 Days of Activism against Gender-Based Violence	Social media	November–December 2018

# VI. Organization, operations, partners, and finance

## The Survey team

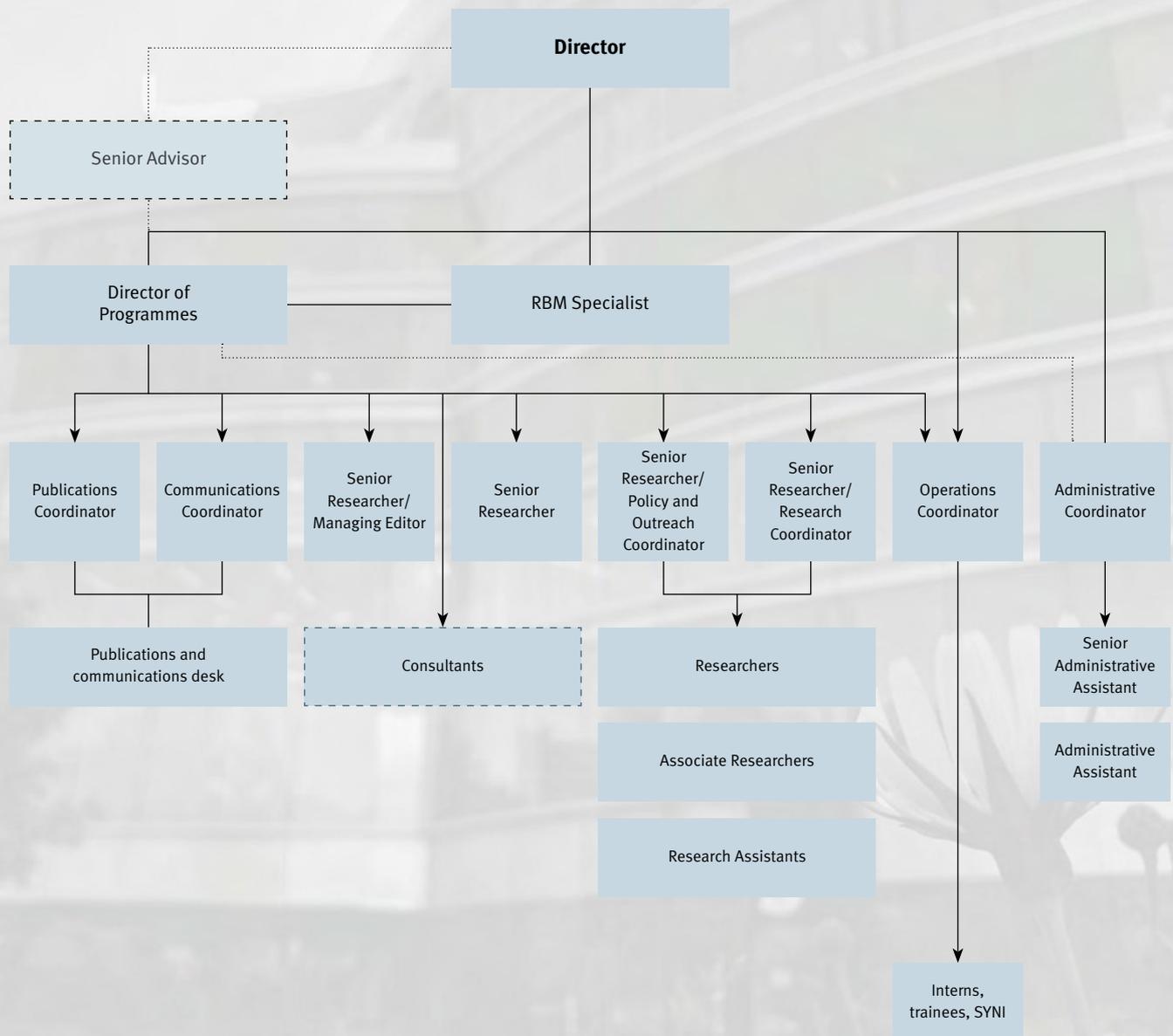
The Survey team comprised 49 staff members and long-term consultants in December 2018. About half of the team was based in Geneva at the Survey's main office at the Maison de la Paix. The rest of the team is located in Africa, Europe, and North America. The Survey

maintains an office at the Stimson Center in Washington, DC. The division of team members working full- and part-time is fairly evenly split.

The year 2018 was busy for the Survey in terms of comings and goings; it was also another year of growth. We welcomed Lubna Allam, Rebecca Bradshaw, Aurélie Cailleaud, Boris Colinas, Nathalie

Fauvarque, Remo Gassmann, Elodie Hainard, Kan Li, David Lochhead, Fiona Mangan, Bryan Mutiso, Michael Picard, and Alaa Tartir. And we said goodbye to Alessandra Allen, André Gsell, Farrah Hawana, Irene Pavesi, Mihaela Racovita, Henry Salvador, and Carole Touraine. Nathalie Fauvarque joined us as administrative coordinator to succeed Carole

**Figure 1** Small Arms Survey organigram, December 2018



Touraine, our director of administration and finance. Olivia Denonville succeeded Alessandra Allen as our publications coordinator. Ben King became a projects manager, and Sigrid Lipott became an associate researcher. We are fortunate that Moshe Ben Hamo Yeger and Kan Li have continued to support us from Oxford since completing their studies here in Geneva.

Researcher Mihaela Racovita left the Survey at year's end to join NATO. We thank her for her years of meaningful contributions to the Survey and wish her well, as we do all of our team members who have moved on to new challenges and opportunities elsewhere.

As of 31 December 2018, the Survey team comprised two directors (director, and director of programmes); six coordinators (administration, communications, operations, policy and outreach, publications, and research); one managing editor; a research team of four senior researchers, six researchers, one associate researcher, and ten research assistants; five technical specialists (covering arms and ammunition, results-based management, and survey methodology); a publications and communications team made up of three series editors, a publications and translations officer, and two consultants; an administrative team, including a senior administrative assistant and an administrative assistant; a senior advisor; a projects manager; a project assistant; and three long-term consultants (see Figure 1).

## Institutional guidance and support

The Small Arms Survey is an associated programme of the **Graduate Institute for International and Development Studies** in Geneva. This relationship facilitates joint work with the Institute's programmes, activities, and facilities. Throughout 2018, the Graduate Institute provided organizational, financial, and administrative support to the Survey.

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 NGOs. In addition to offering advice, the IPC is responsible for approving the broad strategic direction, administration, and budget of the Survey. The IPC meets twice a year (in June/July and again in

December). In 2018 the December IPC meeting was postponed until January 2019 in light of the extensive work-related travels of Survey team members during the last two months of the year.

## Work with partners

The thematic sections of this report illustrate the many dimensions of the Small Arms Survey's work in 2018. Collaboration with partners was an essential part of this work. By engaging with other organizations in a variety of ways, the Survey significantly enhanced the quality of its results and of its methods for obtaining them.

Our partners cover the spectrum from research bodies and civil society organizations to regional intergovernmental bodies and international organizations; they form important parts of the Survey's programmes that have local, national, regional, and global policy implications. Sections II–V of this report highlight some of the Survey's many partnerships. Of particular note in 2018 were our engagements with a number of regional organizations, such as the AU, the Commonwealth Secretariat, ECOWAS, the EU, NATO, the Organization for Security and Co-operation in Europe (OSCE), and SADC. Similarly, the Survey collaborated with a host of UN bodies, such as the UN Development Programme; 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 the UN Institute for Disarmament Research (UNIDIR).

## Financing

Various donors make the work of the Small Arms Survey possible. In 2018 the Survey's total income was CHF 6,918,143 (USD 6,781,120), a marked increase over the previous year's (CHF 4,696,812).

Unrestricted (core) funding enables the Survey to cover the costs of regular staff, maintain the flexibility required to take advantage of opportunities as they arise, and embark on important initiatives for which there is no available support from a specific project grant. In 2018, unrestricted funding remained at the same level as in 2017, while project funding increased considerably (by CHF 1.2 million) compared to the previous year (see Figure 2).

The Survey wishes to acknowledge the financial support of all of its donors.

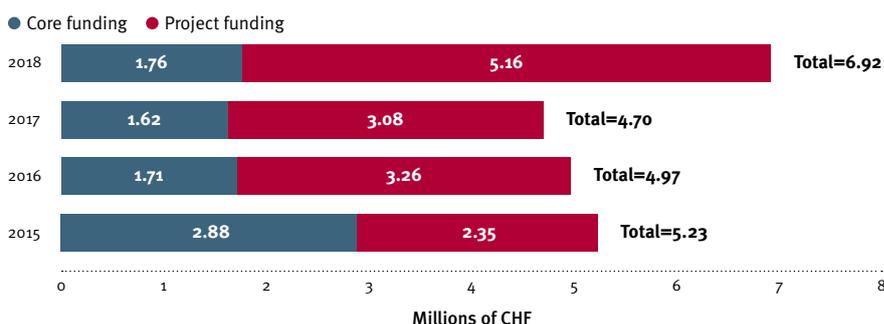
The following donors provided unrestricted (core) funding in 2018:

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

The following donors provided funding for projects in 2018:

- Australia (Department of Foreign Affairs and Trade, International Security Division; Government of Australia, through the Permanent Mission of Australia in Geneva)
- Austria (Federal Ministry of Defence)
- Canada (Global Affairs Canada, Department of Foreign Affairs, Trade and Development, Peace and Stabilization Operations Program and the Weapons Threat Reduction Division)
- European Union (European Council)
- Flemish Peace Institute
- France (Government of France, through the Permanent Mission of France in Geneva)
- Geneva International Centre for Humanitarian Demining

**Figure 2** Small Arms Survey funding, 2015–18



- Germany (German Federal Foreign Office)
- Japan (Government of Japan, through the Permanent Mission of Japan in Geneva)
- Netherlands (Ministry of Foreign Affairs, Department for Stabilisation and Humanitarian Aid)
- Nigeria (Presidential Committee on Small Arms and Light Weapons)
- Sweden (Ministry for Foreign Affairs, Department for Disarmament and Non-proliferation)
- Switzerland (Federal Department of Foreign Affairs, Directorate of Political Affairs, Human Security Division)
- United Kingdom (Foreign & Commonwealth Office, through the Commonwealth Secretariat)
- United Nations Mine Action Service
- United Nations Office for Disarmament Affairs (both directly and through UNSCAR)
- United States Agency for International Development (via AECOM International Development, Inc.)
- United States Department of State (Office of Weapons Removal and Abatement, Bureau of Political-Military Affairs; Bureau of African Affairs)

#### **Box 4** Monitoring, evaluation, and learning: next steps

The monitoring, evaluation, and learning (MEL) approach aims to answer two core questions:

- were we successful, and
- how can we do better next time?

Since societal change is complex, several years typically need to pass before success—or a demonstrable impact—can be measured. In many cases, project funding ends long before any impact manifests itself.

As the Survey—like many other organizations—has transitioned to an increasingly project-based funding model, with correspondingly shorter project implementation cycles, the challenges inherent in producing evidence-based reporting have grown. The requirement for rapid reporting within tight timeframes must increasingly be balanced against the importance and cost of sustaining MEL beyond the project implementation phase. As the Survey has sought to provide target audiences with lessons from longer-term evaluations and results that can meaningfully inform institutional processes, it has recognized a need for alternative MEL techniques that will make it possible to meet the goal of demonstrating early-stage impact (at the societal level) within shorter reporting periods.

The Survey is thus planning to make use of emerging MEL tools that can help to predict or assess a project's impact. Theories of change, for instance, allow for a formalization of why given activities and their immediate results (outputs) are expected to lead to changes in behaviour (outcomes) that may lead to future societal benefits (impacts). Over the past 15 years, Outcome Harvesting has become a widely accepted methodology for capturing the impact of work, even when that impact cannot be precisely assessed. Another valuable instrument is the Cynefin framework, which can be used as a sense-making toolkit for understanding complexity and its consequences.

In 2018, the Survey's commitment to deepening its MEL focus helped to guide the development of its Strategic Goals for 2019–23. The goals advance the belief that implementing MEL must form an integral part of all work activities—from the first stages of project planning to the last page of the final report and beyond, through lessons learned. The Survey will continue to reinforce progress towards becoming a learning-focused organization that strives for continual improvement in all aspects of its work.

## VII. Getting the word out

In 2018, the Small Arms Survey released 37 publications (23 new titles and 14 translations). It also worked to increase

its digital media presence by producing short, easily digestible outputs as a way to create interest in its work among a wider

audience. The Survey set up its blog on the blogging platform Medium and produced five new podcast episodes. It also conducted a number of campaigns to strengthen its social media presence on Twitter and Facebook, and it continued work on a forthcoming app to help journalists identify weapons. A summary of 2018 activities and data follows.

### Releases in 2018

#### Key

● Publication ● Translated publication ● Blog post ● Podcast episode ● Stand-alone infographic



January

At the Crossroads of Sahelian Conflicts: Insecurity, Terrorism, and Arms Trafficking in Niger

SANA Report



January

A Challenging State: Emerging Armed Groups in Egypt

SANA Briefing Paper Arabic translation



January

Urban Violence or Urban Peace: Why Are Some Cities Safer than Others?

GVD blog post



January

#42: Loss of Arms and Ammunition in Peace Operations

MPOME podcast episode



February

Counting Casualties: Operationalizing SDG Indicator 16.1.2 in Libya

SANA Briefing Paper



February

Tubu Trouble: State and Statelessness in the Chad-Sudan-Libya Triangle

HSBA Working Paper French translation



February

Tubu Trouble: State and Statelessness in the Chad-Sudan-Libya Triangle

HSBA Working Paper Arabic translation



February

Beyond the Dark Web: Arms Trafficking in the Digital Age

Blog post



March

Women in State Security Provision in Nepal: Meaningful Participation?

Briefing Paper



March

Modifiers: A Snapshot of Convertible Firearms in Europe

Blog post



March

#43: L'exposition « Ligne de mire »

Podcast episode



April

From Legal to Lethal: Converted Firearms in Europe

Report



April

Life-cycle Management of Ammunition (LCMA): Lessons from Bosnia and Herzegovina

Briefing Paper



April

A Practical Guide to Life-cycle Management of Ammunition

Handbook



April

#44: Arms Control 2.0: Operationalizing SDG Target 16.4

Podcast episode



May

Counting Casualties: Operationalizing SDG Indicator 16.1.2 in Libya

SANA Briefing Paper Arabic translation



May

Lifting US Sanctions on Sudan: Rationale and Reality

HSBA Report



June

Monitoring Illicit Arms Flows: The Role of UN Peacekeeping Operations

SANA Briefing Paper



June

Ways Forward: Conclusions of the Small Arms Symposia

Briefing Paper



June

Ways Forward: Conclusions of the Small Arms Symposia

Briefing Paper Spanish translation



June

Ways Forward: Conclusions of the Small Arms Symposia

Briefing Paper French translation



June

Le monitoring des armes au Sahel: les institutions forensiques nationales

SANA Briefing Paper



June

Handmade and Deadly: Craft Production of Small Arms in Nigeria

Briefing Paper



June

Estimating Global Civilian-held Firearms Numbers

Briefing Paper



June

Estimating Global Military-owned Firearms Numbers

Briefing Paper

## Releases in 2018 (continued)

### Key

● Publication ● Translated publication ● Blog post ● Podcast episode ● Stand-alone infographic



June

Estimating Global Law Enforcement Firearms Numbers

Briefing Paper



June

Capital of Militias: Tripoli's Armed Groups Capture the Libyan State

SANA Briefing Paper



June

Implementing the Programme of Action and International Tracing Instrument: An Assessment of National Reports, 2012-17

Report



June

#45: Counting Casualties: Operationalizing SDG 16.1.2 in Libya

SANA podcast episode



July

Too Close for Comfort: How Algeria Faces the Libyan Conflict

SANA Briefing Paper



July

Wired Weapons: Online Arms Trafficking in Russia and Ukraine

Blog post



August

MPOME Second Regional Workshop Report: Making Peace Operations More Effective

MPOME Report



August

The 2018 Small Arms Trade Transparency Barometer

Briefing Paper



August

Monitoring Illicit Arms Flows: The Role of UN Peacekeeping Operations

SANA Briefing Paper  
Arabic translation



August

Implementing SDG Target 16.4: Illicit Arms Flows, Diversion, and Corruption in Rio de Janeiro

GVD blog post



August

Possible Measures to Prevent and Address Diversion: Supporting Effective Implementation of the Arms Trade Treaty

Stand-alone infographic



September

Selected notable incidents of weapons and ammunition losses in peace operations (1995-2017)

MPOME stand-alone infographic



October

Capital of Militias: Tripoli's Armed Groups Capture the Libyan State

SANA Briefing Paper  
Arabic translation



October

Lifting US Sanctions on Sudan: Rationale and Reality

HSBA Report  
Arabic translation



November

Beyond State Control: Improvised and Craft-produced Small Arms and Light Weapons

Report



November

An Introductory Guide to the Identification of Small Arms, Light Weapons, and Associated Ammunition

Handbook



November

Implementing the Programme of Action and International Tracing Instrument: An Assessment of National Reports, 2012-17

Report Spanish translation



November

Implementing the Programme of Action and International Tracing Instrument: An Assessment of National Reports, 2012-17

Report French translation



December

Too Close for Comfort: How Algeria Faces the Libyan Conflict

SANA Briefing Paper  
Arabic translation



December

From Legal to Lethal: Converted Firearms in Europe

Report French translation



December

Lost in Trans-Nation: Tubu and Other Armed Groups and Smugglers along Libya's Southern Border

Joint HSBA/SANA/Conflict Armament Research Report



December

Trade Update 2018: Sub-Saharan Africa in Focus

Trade Update



December

Identity and Self-Determination: The Fertit Opposition in South Sudan

HSBA Briefing Paper



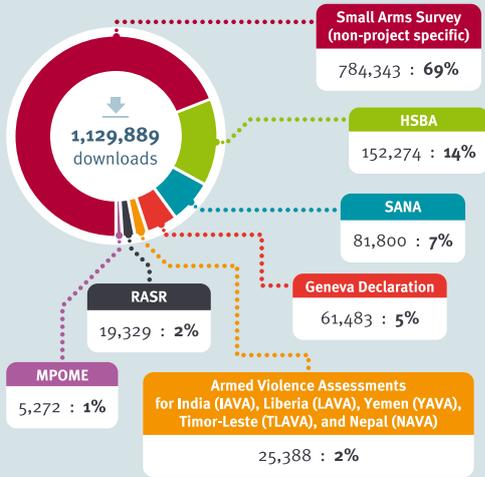
December

#46: Conflict and Peacebuilding in Libya: The Role of Women

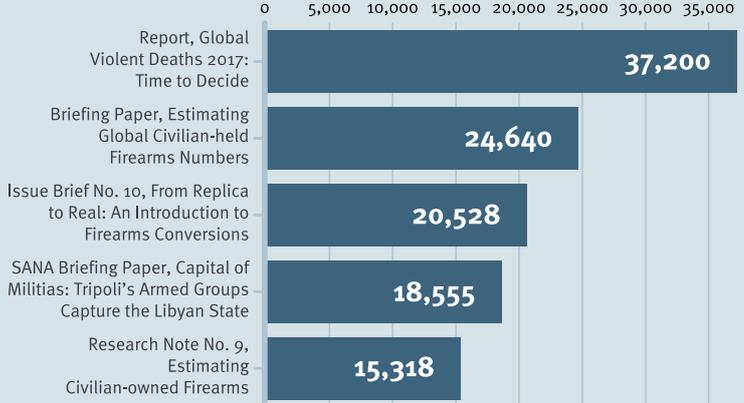
SANA podcast episode

# 2018 publications and communications data

## Publication downloads



## Top 5 publication downloads in 2018



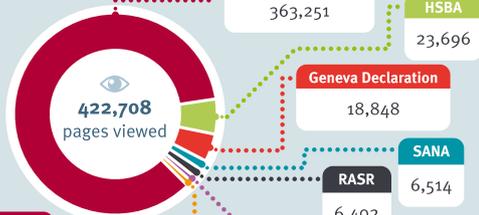
## Website views and visitors



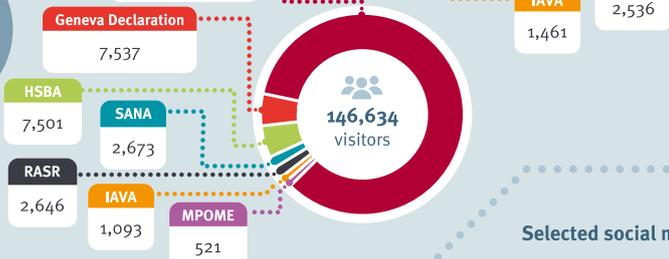
### Top 3 thematic pages viewed



## Pages viewed



## Visitors



## Other data

- Podcast downloads: 13,561
- Photo essay views: 4,035
- Video views: 5,251
- Web documentary views: 1,130
- Interactive map views (UEMS, Transparency Barometer, Global Violent Deaths, Global Firearms Holdings): 31,138

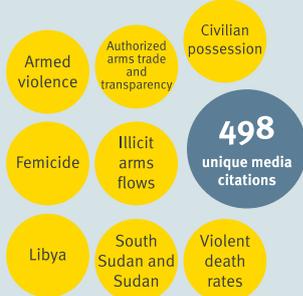
## Social media and e-Alerts



\* The Small Arms Survey merged its mailing list in 2018, removing the project-specific newsletters and opting instead for two main lists: English and Arabic-language send-outs. This number reflects the subscribers to the English-language eAlerts.

## Media coverage

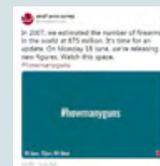
### Most-covered themes



### Prominent outlets



## Selected social media campaigns



### Global Firearms Holdings

The Survey promoted its updated Global Firearms Holdings estimates using the hashtag #howmanyguns.



### 16 Days against Gender-Based Violence

From 25 November to 10 December 2018, the Survey posted one fact per day in a thread using the orange theme of the global awareness campaign 16 Days of Activism against Gender-Based Violence.



### Handbook on weapons identification

To promote the release of its weapons identification Handbook, the Survey used the hashtag #WeaponsID, the tagline 'Identify the weapon. Know the story.', and newspaper visuals to foster engagement with the Handbook's main target audience: journalists.

## The Small Arms Survey team in 2018

In alphabetical order



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Publications Coordinator



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**Francis Wairagu**  
Senior Researcher

# Endnotes

- 1 The contract was concluded in 2018, which is why this project is included here, but the work will start in early 2019.
- 2 In 2019, DCAF was rebranded ‘Geneva Centre for Security Sector Governance’.
- 3 The 2019–23 Small Arms Survey Strategic Goals were published online in early 2019 and are available at <http://www.smallarmsurvey.org/fileadmin/docs/M-files/SAS-2019-23-Strategy.pdf>.
- 4 Flobert firearms were developed in the 19th century for indoor shooting. Like alarm weapons, they imitate real firearms but are made with weaker metals, which are not intended to survive the pressure that a real firearm can withstand upon firing.
- 5 Unless stated otherwise, the Survey uses the term ‘small arms’ to refer to small arms and light weapons, their parts, accessories, and ammunition.
- 6 Although sub-Saharan Africa accounts for less than 5 per cent of the estimated value of the authorized global small arms trade, it suffers disproportionately from the negative impacts of small arms.
- 7 A condensed version of this data will be released as a Briefing Paper in 2019.
- 8 The paper was produced in cooperation with HSBA and Conflict Armament Research.
- 9 The paper was a joint publication of SANA, HSBA, and Conflict Armament Research.
- 10 The Survey’s side events at CSP4 covered topics such as international assistance and the effective implementation of the ATT; using the ATT to prevent diversion; and the complementarity of the ATT and the ECOWAS Convention. In addition, the conference provided an opportunity for the Survey to present findings of its Transparency Barometer. The presentation was made at a side event on transparency and reporting held with the Stimson Center and the UN Institute for Disarmament Research (UNIDIR). The Gender Breakfast was organized by the Women’s International League for Peace and Freedom (WILPF) for civil society and research organizations, as well as interested states.
- 11 In 2019, the Survey will begin work on a Handbook on Gender and Small Arms Control, designed to develop the capacity of policy-makers to adopt gender-responsive approaches to issues involving gender and arms control.

# 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 an associated programme 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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