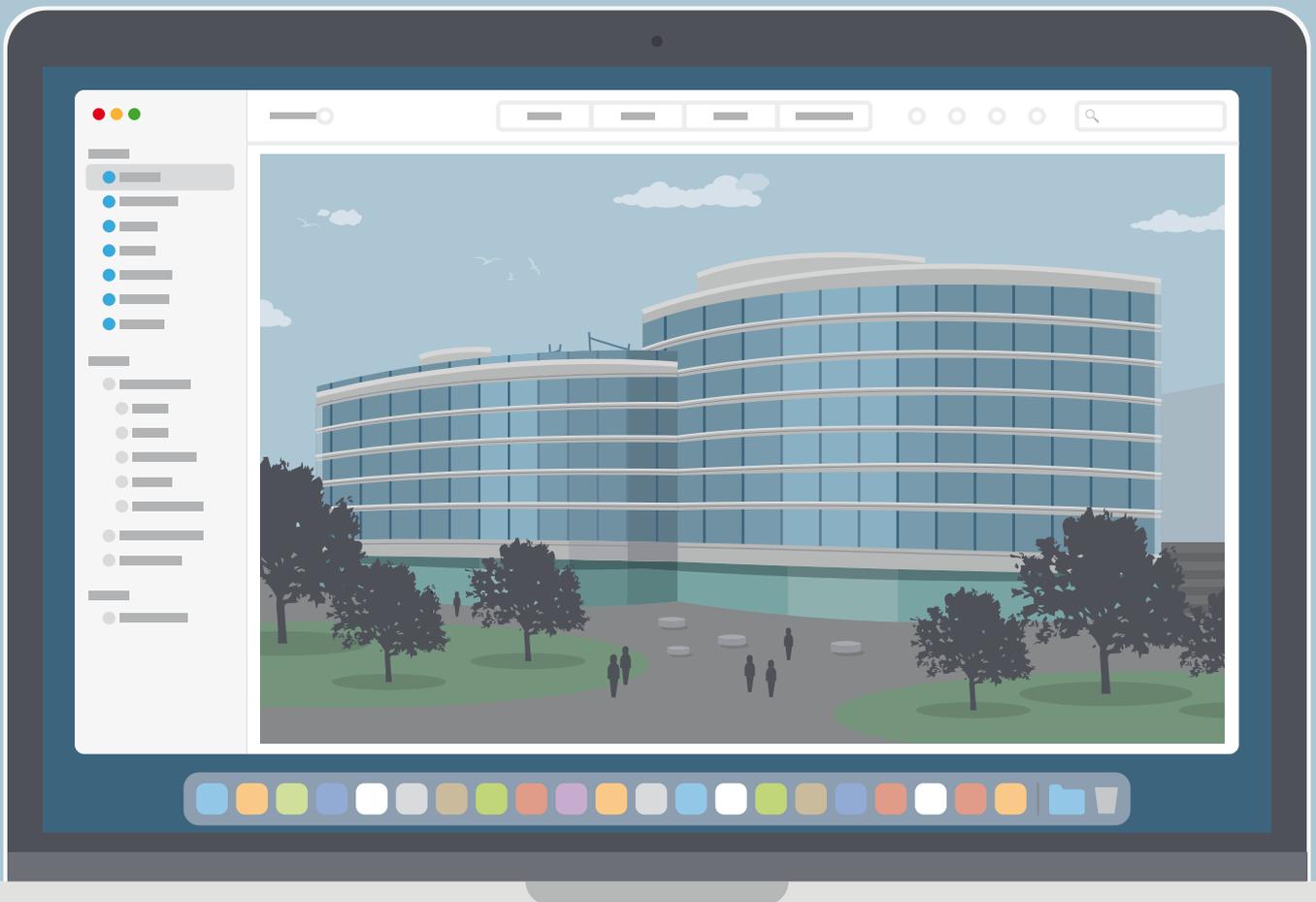


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ANNUAL REPORT 2020



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Abbreviations and acronyms

ABIS	Automatic ballistics information system
ATT	Arms Trade Treaty
AU	African Union
BMS7	Seventh Biennial Meeting of States
CCW	Convention on Certain Conventional Weapons ¹ .
CHF	Swiss franc(s)
CSP	Conference of States Parties
DPRK	Democratic People's Republic of Korea
ECOWAS	Economic Community of West African States
EU	European Union
EU ATT-OP	European Union Arms Trade Treaty Outreach Project
EUFOR	European Union Force in Bosnia and Herzegovina
GBV	Gender-based violence
GFH	Global Firearms Holdings (database)
GGE	Group of Governmental Experts
GLASS	Gender Lens for Arms Control Support and Sustainability
GVD	Global Violent Deaths (database)
HSBA	Human Security Baseline Assessment for Sudan and South Sudan
IATG	International Ammunition Technical Guidelines
IED	Improvised explosive device
INTERPOL	International Criminal Police Organization
ITI	International Tracing Instrument
LAS	League of Arab States
LCMA	Life-cycle management of ammunition
MAG	Mines Advisory Group
MPOME	Making Peace Operations More Effective
NAP	National action plan
PoA	Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects
PoE	Panel of Experts
PSSM	Physical security and stockpile management
SADC	Southern African Development Community
SAENK	Strengthening Implementation and Enforcement of the Arms Embargo on North Korea
SANA	Security Assessment in North Africa
SOP	Standard operating procedure
UAE	United Arab Emirates
UEMS	Unplanned Explosions at Munitions Sites (database)
UNDP	United Nations Development Programme
UNMAS	United Nations Mine Action Service
UNODA	United Nations Office for Disarmament Affairs
UNSC	United Nations Security Council
VTF	Voluntary Trust Fund
WAM	Weapons and ammunition management
WCO	World Customs Organization

Director's note

At the risk of stating the obvious, 2020 was a year like no other. The COVID-19 pandemic brought the world to a halt and exacted a terrible toll of lost lives and broken families. Among staggering job losses, those fortunate enough to remain employed were often confined to remote work, struggling to manage the clash of personal and professional time and space. The Small Arms Survey was not spared the effects of this disruption: our team faced unprecedented challenges in 2020 and rose to meet them with confidence and capacity. Another key factor that allowed us to continue with our work despite the pandemic restrictions was the willingness of our donors and partners to continue their support and cooperation as we scrambled to adapt our plans and schedules. For this we are truly grateful.

As the reality of the pandemic became clear late in the first quarter of 2020, the Survey faced the choice of either postponing activities—hoping for a quick return to normality—or redesigning its projects to adapt to the no-travel, no-personal-contact reality. After consultation with our partners, we took the latter route, which allowed us to achieve the great majority of the planned outcomes in our portfolio, with few activities being postponed to 2021. The Survey's team ably adopted online tools and resources and worked with its partners to minimize pandemic-induced disruption. For instance, our project in partnership with the League of Arab States (LAS), the International Criminal Police Organization (INTERPOL),

and the World Customs Organization (WCO) successfully moved its planned workshops online. A similar approach ensured that our collaborations with Chile, Serbia, and Zambia—among others—on compliance with the Arms Trade Treaty (ATT) were carried out successfully. Strengthened partnerships with locally based researchers made it possible to continue our study of improvised explosive devices (IED) in West Africa, as well as research on violent extremism in North Africa and the Sahel in partnership with the UN Development Programme (UNDP). This reliance on local knowledge and capacities was already established practice for our Security Assessment in North Africa (SANA) and Human Security Baseline Assessment for Sudan and South Sudan (HSBA) projects, which continued to produce high-quality research in spite of the constraints they faced.

As restrictions increased around the world, many of the key events in the arms control and disarmament field were postponed or moved entirely online. As part of its mission to support the international small arms control processes, the Survey organized a two-week cycle of webinars, and what would have been a limited side event during the UN Programme of Action's Seventh Biennial Meeting of States became a series of 12 events covering a diverse range of topics. Valued partners and stakeholders attended the events, which received an enthusiastic reception from the international small arms control community.

Additionally, 2020 was a year of reform. The Survey revised its internal structure to allow for increased efficiency, improved project design and execution, tighter cost controls, and greater responsiveness to donor requirements. A review of expenditures and internal financial processes led to the implementation of cost-cutting measures and improved efficiencies, which ensured that the Survey started 2021 on a solid financial footing.

Externally, the Survey formalized its governance structure to improve accountability and transparency by more clearly defining its relationship to our parent institution, the Graduate Institute of International and Development Studies, and establishing an external advisory committee comprising our most important donors.

As director of the Survey, I am immensely proud of our team's performance during this most challenging year and grateful to our donors and partners for the trust and flexibility they have demonstrated. Regrettably, inequalities in vaccine distribution will prolong the duration of the pandemic, with disparate impact in the Global South. Organizations working on the international stage such as the Survey will have to continue to adapt and remain flexible in the face of uncertainty. Still, the lesson I choose to take from 2020 is that we can always rely on our ingenuity, imagination, and flexibility to confront any challenge.

—**Daniel de Torres**
Director

I. Introduction

At the time of writing, the Survey team is still at home, still interacting through squares on screens, demonstrating distanced devotion, and continuing to find a new form of normality in the most abnormal of worlds. As a group, the Small Arms Survey has fortunately been relatively unscathed by the COVID-19 pandemic, but we still want to acknowledge the efforts of a team that pushed through a difficult

year. Other than innovative project management, we also found small solutions to adjust and handle the situation at hand. Some of us scheduled regular virtual coffees, while others made sure to routinely start emails with ‘I hope this finds you and your loved ones in good health’. It was often the little things that made all the difference. But for now, we are still at home. We hope you are too—safe and sound.

Through the fog of hand sanitizer, masks, and disruptions in most areas of our professional and personal lives, we implemented 31 active Survey projects and consultancies in 2020. Their thematic focus ranged from curbing the diversion and illicit proliferation of small arms to reducing the negative impacts of the misuse of such arms, and enhancing measures and programmes to enforce international small arms control norms. The Survey tackled these issues by generating relevant data in each area of focus, and strengthening the capacities of those who shape policies based on this evidence base.

In addition to all those from whom the Survey received project-specific support (see pp. 8–9), we continue to be incredibly thankful to our core donors—the governments of Australia, Finland, Sweden, and our host country, Switzerland—for their unrestricted contributions and to our project-based donors for their targeted support. We are similarly grateful for, and proud of, our strong relationships with colleagues and departments in national authorities, regional organizations, and non-governmental entities. And to you—the small arms control aficionado dipping into our Annual Report to see what we have been up to—thank you for reading and learning with us.

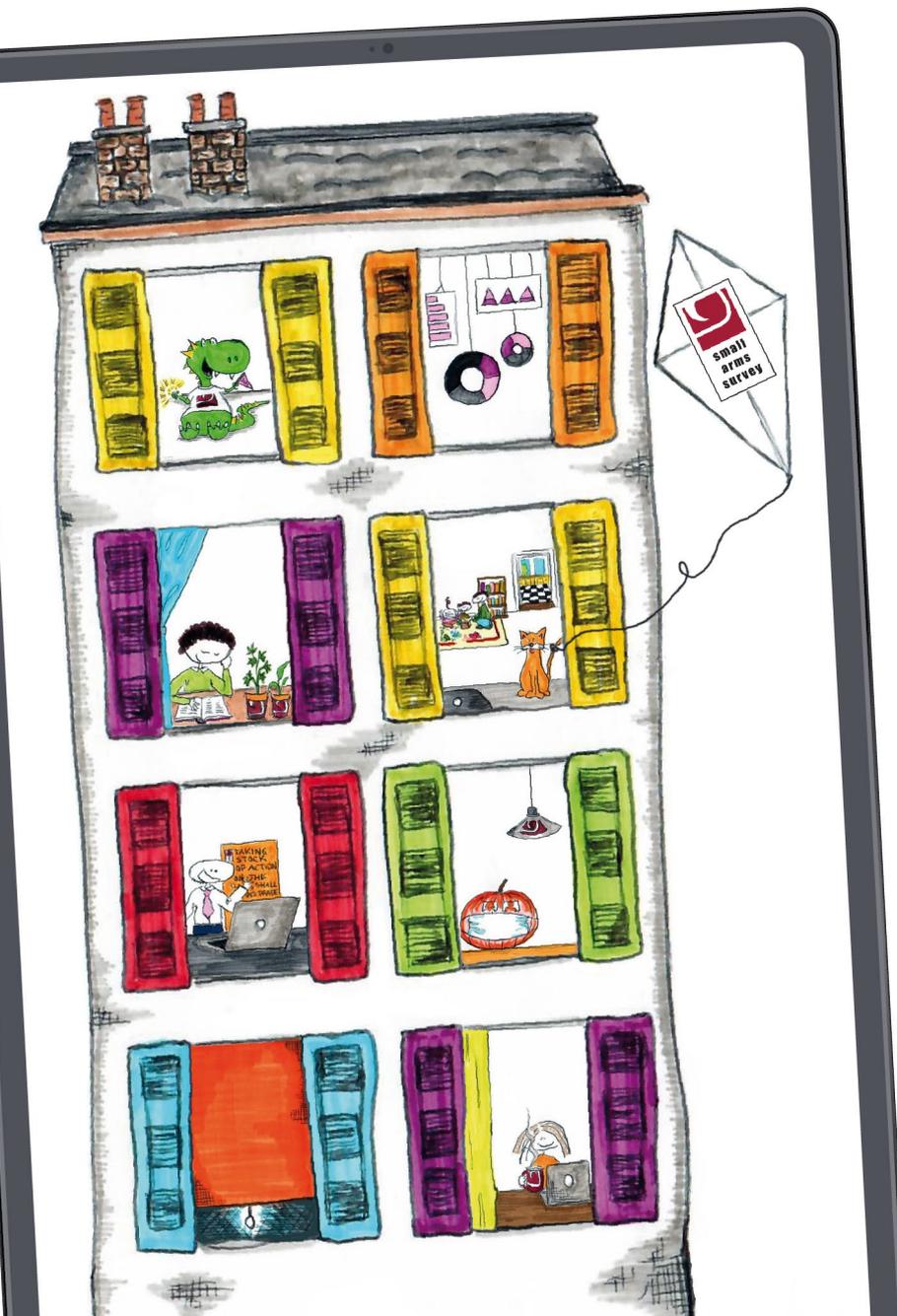


Image from our 2020 holiday card and social media puzzle campaign.

Projects and consultancies active in 2020

Type of activity

- Generating data
- Strengthening capacities
- Both

Thematic area

- Stocks and flows
- Measures and programmes
- Impacts

Security Assessment in North Africa (SANA)

Funders: The Netherlands

To produce timely, evidence-based research and analysis on issues related to small arms, armed groups, conflict dynamics, and related insecurity in North Africa and the Sahel-Saharan region in order to support and inform those engaged in building a more secure regional environment.

Ammunition Profiling with Ballistics Systems

Funders: Germany

To assess the utility of automatic ballistics information systems (ABISs) for profiling ammunition in order to increase the knowledge base on illicit ammunition flows in Europe.

Peace Mobilizers in South Sudan

Funders: UNDP

To train local young men and women to serve as 'peace Mobilizers' in Jonglei and Unity states in order to collect qualitative data and facilitate community dialogue on, among other things, drivers of armed violence and local people's perceptions of transitional justice.

Gender and Ammunition Management

Funders: UN Office for Disarmament Affairs (with support from France, Germany, Ireland, and Switzerland)

To identify entry points for gender mainstreaming of the life-cycle management of ammunition and to propose revisions to enhance the gender sensitivity of the International Ammunition Technical Guidelines (IATG).

Building Capacity to Fulfil Zambia's ATT Reporting Obligations

Funders: ATT VTF

To provide technical training and share lessons learned to build Zambia's capacity to fulfil its reporting commitments in order to comply with the relevant provisions under Article 13 of the ATT.

EU Arms Trade Treaty (ATT) Outreach Project

Funders: EU and Germany

To implement an online training programme on practical and operational ways to prevent, detect, and combat diversion and illicit trafficking in order to strengthen the capacity of Chilean national institutions to address these issues.

Building Serbia's National Capacity to Prevent and Address Diversion

Funders: ATT VTF

To build capacity and provide technical knowledge to further strengthen Serbia's ability to prevent and address the diversion of conventional arms in order for the country to comply with Article 11 of the ATT.

Trade Update

Funders: Germany

To analyse the global authorized small arms trade, assess the reporting practices of top and major small arms exporters, and investigate the diversion risks of ammunition transfers to Africa in order to promote more transparent arms trade reporting and investigate untapped data sources for monitoring the ammunition trade in regions affected by conflict.

Improvised Explosive Devices (IEDs) in West Africa

Funders: Germany

To document the regional dimensions of trafficking in IED components in the Sahel and West Africa in order to establish an evidence base for developing a regional response.

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

Funders: The Netherlands

To increase knowledge and identify concrete actions on the practical implementation of the UN sanctions and arms embargo on North Korea in order to strengthen national implementation and enforcement of the measures in Africa and the Middle East.

Building Capacity to Establish and Maintain Zambia's National Control List

Funders: ATT VTF

To provide technical knowledge to enable Zambia to adopt a national control list in order for the country to comply with the relevant provisions under Article 5 of the ATT.

EU Council Decision 2018/1789 in Support of Combating the Illicit Trade in and Proliferation of Small Arms and Light Weapons in the Member States of the League of Arab States (LAS)

Funders: EU

To share expertise and best practices in order to strengthen the capacity of LAS member states to combat illicit small arms and light weapons, including their acquisition by terrorists and criminals.

PSSM Matrix Application and NAP Development

Funders: United States

To develop the Small Arms Survey's PSSM Priorities Matrix as a practical tool and increase the use and uptake of this tool and other methods in Sahel countries in order to assist these countries to improve their PSSM practices and curb the diversion and misuse of weapons.

Ukraine Ammunition Trafficking

Funders: Germany

To conduct an in-depth analysis of illicit small arms and light weapons ammunition in Ukraine in order to better contribute to responses targeting radical organizations, risks to Ukrainian civilians, and threats to neighbouring countries, and to strengthen the evidence base for global discussions on ammunition—such as those held by the Group of Governmental Experts on Problems Arising from the Accumulation of Conventional Ammunition Stockpiles in Surplus.

Addressing and Preventing Violent Extremism in Africa

Funders: UN Development Programme (UNDP)

To undertake a perception survey in the borderlands of southern Libya, northern Chad, northern Niger, northern Sudan, and relevant communities in Nigeria in order to assess remote border communities' vulnerability to violent extremism and explore the relationship between the drivers of violent extremism and firearms availability and trafficking.

Global Databases

Funders: Core funding (Australia, Finland, Sweden, Switzerland) and Canada

To generate data on the critical stages of the small arms life cycle so that policymakers, practitioners, and the media are enabled to use accessible, reliable, inclusive, and multi-dimensional data and analysis and inform public opinion accordingly.

Making Peace Operations More Effective (MPOME)

Funders: United Kingdom

To increase sensitization, provide training, and support policy development in order to assist peace operations to improve their weapons and ammunition management and thus more effectively prevent diversion from their stockpiles.

Updating the Survey Publication on the Role of the EUFOR Mobile Training Team in Bosnia and Herzegovina

Funders: Switzerland

To update the 2016 Survey publication *Sustainable Stockpile Management in Bosnia and Herzegovina: The Role of EUFOR Mobile Training Team for Weapons and Ammunition Management* to incorporate recent data and policy-relevant lessons learned in order to enhance the country's capacity for sustainable arms and ammunition stockpile management.

Strengthening Journalists' and Social Leaders' Role in Security Sector Governance Oversight in Colombia

Funders: Geneva Centre for Security Sector Governance (DCAF) (with support from Germany)

To work with DCAF to develop and implement virtual training modules in Spanish for Colombian journalists in order to strengthen traditional media capacities in the country to better recognize and identify small arms and ammunition.

Provision of Gender-based Small Arms and Light Weapons Awareness Training

Funders: UN Mine Action Service (UNMAS) (with support from Italy)

To work with UNMAS in Libya to deliver gender-based approaches to small arms awareness-raising training in order to enhance capacities to recognize, assess, understand, and act upon the misuse of small arms.

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

Funders: United States

To generate empirical research on evolving political and conflict-related developments in Sudan and South Sudan in order to inform policy and humanitarian responses to ongoing crises in these countries.

Mapping Actors and Alliances in South Sudan (MAAPSS)

Funders: United States

To generate data and analysis on actors and entities in South Sudan in order to better understand power dynamics, areas of influence, and alliances/enmities among government and opposition military and political actors.

Breaking the Cycles of Violence in South Sudan

Funders: UNDP

To research self-defence and community-based armed groups in Jonglei and Unity states in order to better understand the motivating drivers of violence, define leadership structures among groups, and reveal linkages between armed groups and local and national political elites.

Gender Lens for Arms Control Support and Sustainability (GLASS)

Funders: Canada

To seek out gender-responsive and evidence-based ways for states to address the negative effects of the misuse and proliferation of small arms and enhance the universalization and implementation of arms control instruments.

Strengthening the Southern African Development Community (SADC) Firearms Protocol and its Implementation to Effectively Tackle the Illicit Small Arms Trade

Funders: UN Trust Facility Supporting Cooperation on Arms Regulation

To assist SADC and the Southern African Police Chiefs Cooperation Organization to assess national small arms control systems, develop a regional strategy and action plan, and update standard operating procedures for implementing the SADC Firearms Protocol in order to support efforts to control small arms and more effectively reduce illicit arms flows and violent deaths in the SADC region.

Exploring the Potential for a Diagnostic Tool to Enable Arms Export-Licensing Officers to Conduct Risk Assessments to Prevent Arms Transfers from Contributing to Violence Against Women and Children and Gender-based Violence (GBV), in Accordance with ATT Article 7(4)

Funders: Switzerland

To explore the feasibility of and parameters for an arms export-licensing risk assessment tool and indicators to assess whether an export of conventional arms, ammunition, or parts and components could be used to commit or facilitate serious acts of GBV or violence against women and children, in order to support the implementation of Article 7(4) of the ATT.

II. Generating data

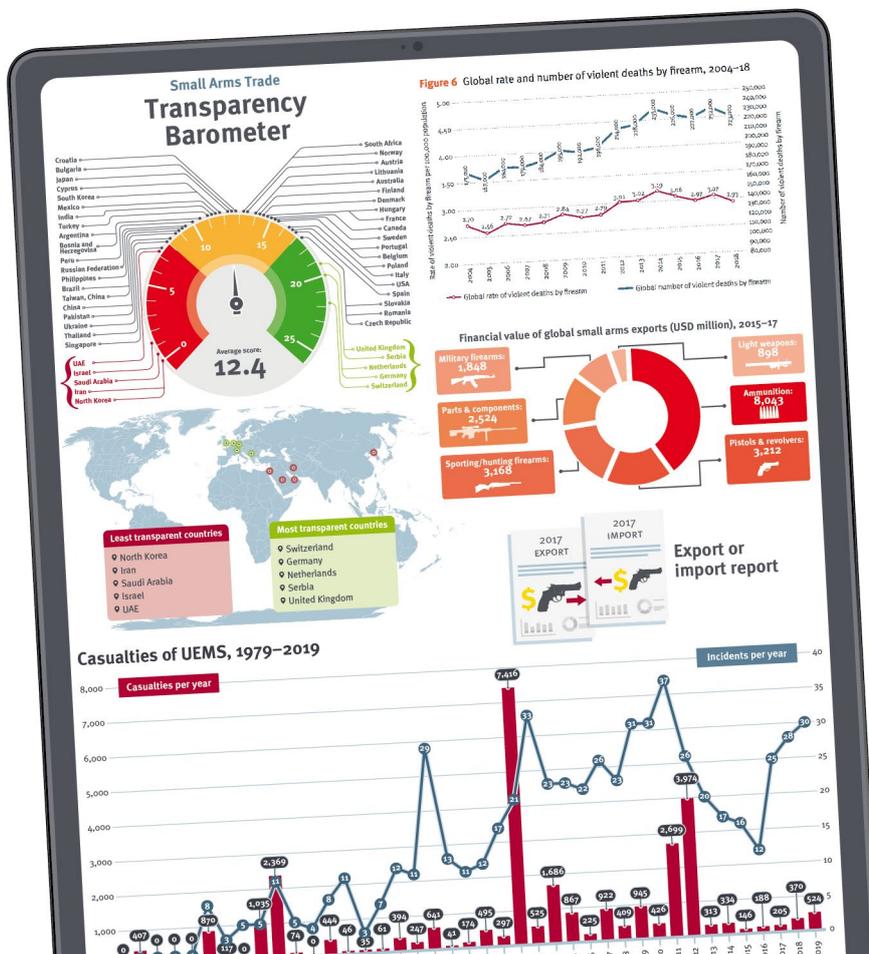
If they are to be effective and sustainable, policies need to be well informed. It can be difficult to separate fact from fiction in a cacophony of voices and opinions that at times can seem to only grow louder and more confusing. The Survey's role is to offer impartial, evidence-based analyses and policy observations that help policymakers and practitioners to keep a clear head amid that cacophony. In 2020 our Data and Analytics unit uncovered new findings on the illicit flows of small arms, light weapons, and ammunition; the consequences and contexts of these weapons flows; and the measures designed to control them.

The Survey monitors issues related to both the storage and—licit and illicit—movement of small arms. In 2020 our research on these topics included global, regional-, and national-level studies.

Global-level research included the 2020 edition of the Survey's flagship Trade Update series, which was released at the end of the year. As in every edition, the 2020 report provided an analysis of trends in the global authorized small arms trade and an assessment of the reporting practices of top and major small arms exporters. This year's thematic chapter focused on the risks of diversion in ammunition transfers to Africa, with the aim of promoting more transparent arms trade reporting and investigating untapped data sources for monitoring the ammunition trade in regions affected by conflict. The chapter finds that improved transparency among major exporters and the leveraging of multiple data sources in conflict areas have the potential to improve the monitoring of the ammunition trade and prevent future cases of diversion.

At the regional level the Survey continued to document the regional dimensions of trafficking in IED components in the Sahel and West Africa. In 2020 it engaged with partners to support the development of a regional approach to IED components in the Economic Community of West African States (ECOWAS) region. The Survey also undertook country studies in Burkina Faso, Côte d'Ivoire, Guinea, Mali, and Niger, with a stakeholder workshop held in Mali in November 2020. In addition, we presented the current findings of our IED research at NATO and UN Mine Action Service (UNMAS) events, and at the Convention on Certain Conventional Weapons (CCW) 2020 Amended Protocol II Group of Experts. Another regional-level study focused on Europe, where the Survey conducted regional research to extract data from automatic ballistics information systems (ABISs) for profiling ammunition. This work generated a dataset of more than 3,000 cartridges used in crimes since 2015, and demonstrated the feasibility of extracting head-stamp images and data from ABISs for profiling ammunition and filling the knowledge gap regarding illicitly used ammunition. The Survey also published a summary of its 2019–20 research—undertaken in cooperation with EMPACT Firearms—on the European response to trafficking in converted firearms as an EU Non-proliferation and Disarmament Consortium paper in October. The team delivered three briefings and presentations to European law enforcement officials on this subject during the year.

At the national level the Survey finalized the data collection process for its work on illicit small arms, light weapons, and their ammunition in Ukraine, analysing markings on over 1,600 items contained in a restricted-access visual database. These findings were released in the form of a report in 2021 and will inform responses targeting radical organizations, risks to Ukrainian civilians, and threats to neighbouring countries, and strengthen the evidence base for global discussions on ammunition such as those held by the Group of Governmental Experts (GGE) on conventional ammunition.



Box 1 Global databases

The Small Arms Survey's global databases monitor trends and developments affecting the various stages of the small arms life cycle. These include:

- the Global Firearms Holdings (GFH) database, which provides estimates of the number of firearms in the world, disaggregated by civilian, law enforcement, and military holdings;
- the Global Violent Deaths (GVD) database, which provides estimates on lethal violence, including sex-disaggregated data and data on lethal violence inflicted by firearms;
- the Peace Operations Data Set (PODS), which collects data on the incidence of arms and ammunition losses from peace operations (currently dormant);
- the Small Arms Trade Transparency Barometer, which analyses and ranks the transparency of global authorized small arms exporters; and
- the Unplanned Explosions at Munitions Sites (UEMS) database, which consolidates information on accidental explosions of ammunition stockpiles at storage sites.

The year 2020 saw the finalization of the Gender Lens for Arms Control Support and Sustainability (GLASS) project, which generated updates to the Survey's UEMS and GVD databases. The GLASS project also released a Briefing Paper on assessing datasets on global armed violence for their gender relevance (which is also available in French). The Survey also updated the Transparency Barometer in 2020 and published highlights in the form of infographics, publications, and dynamic maps to visualize the main trends emerging from its global databases. In addition, we provided database-informed contributions to other entities' outputs, such as the *Sustainable Goal 16 Data Initiative Global Report*, the *UN Disarmament Yearbook: 2019*, and the Global Registry of Violent Deaths. Others used information from these databases extensively, including, but not limited to:

- GFH database: Gun Free South Africa, the National Rifle Association, the University of Potsdam, the University of Lynchburg, and the Feinstein Institutes for Medical Research in New York;
- GVD database: the Global Public Policy Institute, Greenpeace and the Centre for Feminist Foreign Policy, the Office of the High Commissioner for Human Rights, and the World Bank;
- Transparency Barometer: the European Parliament's Subcommittee on Security and Defence; and
- UEMS database: the British Armed Forces, the Portuguese Armed Forces, the GGE on Problems Arising from the Accumulation of Conventional Ammunition Stockpiles in Surplus, and the UN SaferGuard Programme.

Beyond seeking to better understand the stocks and flows of small arms, the Survey also prioritizes generating knowledge on the impacts and broader contexts of those arms. Its two longest-running projects provide locally informed, regionally relevant, and internationally pertinent analyses of regional dynamics affected by small arms and armed violence. The SANA project was established in 2012 and provides research and analysis on issues related to small arms, armed groups, and related insecurity in North Africa and the Sahel–Sahara region. In 2020 SANA released four publications, unpacking issues related to trafficking and smuggling in the Burkina Faso–Côte d'Ivoire–Mali region; casualty recording in UN peace operations (jointly published with HSBA—see below); the mobility of the Darfurian diaspora (jointly published with HSBA); and monitoring arms in

Guinea. The project also conducted fieldwork and research on/in Burkina Faso, Libya, Mali, Morocco, and Sudan. In terms of training activities in this region, the Survey collaborated with UNMAS to deliver training on small arms and gender issues for Libyan actors; with the Geneva Centre for Security Sector Governance and Deutsche Welle to organize a joint training programme for Libyan journalists on small arms and light weapons identification and reporting in January 2020 in Tunis; and with the Guinean Gendarmerie to develop its capacity to profile ammunition. Finally, the SANA project hosted an event at Geneva Peace Week on recording casualties and global violent deaths.

HSBA was established in 2006 and specializes in providing timely expert knowledge on unfolding security and conflict dynamics in Sudan and South

Sudan to inform policy and humanitarian responses. In 2020 HSBA released six publications covering topics related to both Sudan and South Sudan, including: conflict dynamics in and around Sudan's Blue Nile state; the Sudan uprising; the mobility of the Darfurian diaspora (jointly published with SANA); Ethiopian–Sudanese relations; military integration in South Sudan's Western Equatoria state; and casualty recording in UN peace operations (jointly published with SANA). June 2020 saw the public launch of HSBA's Mapping Actors and Alliances Project in South Sudan. The project seeks to serve as a practical application of consolidated HSBA research to date on over 500 actors, and charts connections among political and military alliances and armed groups in South Sudan. This research and the data it has assembled are presented through an interactive platform. Accompanying the platform are intermittent updates on various actors and dynamics, with the first update focusing on the new March 2020 South Sudanese cabinet. Finally, with support from the UN Peacebuilding Fund, research on regional conflict dynamics in South Sudan will continue into 2021.

Regarding efforts focusing specifically on measures and programmes to strengthen security, UNDP asked the Survey to conduct a regional study to support its programming on the prevention of violent extremism in Africa. In 2020 the SANA team supported local research NGOs in undertaking a quantitative household survey focusing on the borderlands of southern Libya, northern Chad, northern Niger, northern Sudan, and relevant communities in Nigeria. Data collection continued throughout the year and a report showcasing the findings is planned to be released in 2021. Another UNDP-contracted project entails the recruitment and training of male and female youth in South Sudan to act as 'peace mobilizers' in volatile areas of Jonglei and Unity states and the Greater Pibor Administrative Area. Their roles include collecting qualitative data and facilitating community dialogue on, among other things, drivers of armed violence and local people's perceptions of transitional justice. The project began in late 2020 and will continue to November 2021.

III. Strengthening capacities

The effective uptake of information comes from tailored, contextualized, and locally owned solutions. A plethora of information on small arms is available, but sifting through it and making it fit for purpose can often be challenging. The Survey assists in this process by applying research-informed policy advice to identify effective practices and standards that work in specific contexts. In 2020 the Survey's Policy and Capacity Support unit developed and disseminated tools and resources to partners working on the management of weapons and ammunition, the varied impacts of small arms, and the strengthening of small arms control measures at the regional level.

Weapons and ammunition management (WAM) has long been a key topic for the Survey, and 2020 was no exception, with WAM capacity-building efforts carried

out with a gender perspective at the global level, for peace operations at the regional level, and for government actors at the national level.

The Gender and Ammunition Management project, which the Survey implements under a mandate from the UN Office for Disarmament Affairs (UNODA), focused in 2020 on identifying entry points for gender mainstreaming in the life-cycle management of ammunition (LCMA) and contributing to the enhanced gender sensitivity of the International Ammunition Technical Guidelines (IATG). The joint Small Arms Survey–UNODA report *Making Room for Improvement: Gender Dimensions of the Life-cycle Management of Ammunition* was launched at the UN General Assembly First Committee in October 2020 and is available in English, French, and Spanish. In addition, a discussion

Box 2 Staying safe

A few months into lockdown the Survey published the reflections of two of its weapons and ammunition specialists on how to effectively manage weapons and ammunition during the pandemic, noting the importance of proper management and accounting, effective safety and security measures, and hygiene factors. The reflections are available in a Survey blog post.

on gender aspects of LCMA was shared through a Survey podcast episode that was released together with the report. At the end of the year the project received approval from the IATG Technical Review Board to make gender-specific language improvements to the IATG. This activity will be conducted in 2021.

For the Survey's MPOME project, the main focus in 2020 was to increase overall awareness of small arms losses from peace operations and consequently strengthen stakeholders' abilities to prevent them. The MPOME project provided assistance on small arms control operational guidance in the form of standard operating procedures (SOPs) to the AU Commission and ECOWAS Commission—with the latter also being provided with inputs on the harmonization of its small arms and light weapons convention and ATT requirements. In addition, the MPOME project also delivered informational briefings to the Association of Latin American Peacekeeping Training Centres, which has led to a request for a training programme in Mexico in 2021. Finally, to leverage lessons learned from switching to online training during the COVID-19 travel restrictions, the MPOME project developed a prototype learning platform to be launched in 2021 focused on WAM in operational environments.

The Survey developed its Physical Security and Stockpile Management (PSSM) Priorities Matrix based on research carried out in Burkina Faso, Mali, and Niger. As mentioned in the 2019 Annual Report, the Survey operationalized the matrix for use in the Sahel region in cooperation



with the Nigerien authorities in 2019—work that continued in 2020 with the application of the matrix and the development of NAPs in Burkina Faso, Chad, and Mauritania. In Chad the Survey and Mines Advisory Group (MAG) worked on finding ways to sensitize Chadian authorities and security forces to PSSM needs at the national level, including national coordination mechanisms or national PSSM strategies and plans. The Survey and MAG will implement a community assessment of perceptions and needs related to state-level PSSM during 2021, and will use the results of this assessment to offer inputs to assist the development of a national PSSM strategy and NAP in Chad. In Burkina Faso the Survey developed a standardized methodology to evaluate the utility of the Priorities Matrix as a tool to foster ownership and build capacities with partner countries to enhance PSSM practices. The results of this evaluation will be released and reviewed in 2021. At the request of MAG, the Survey also conducted an external evaluation of the implementation of the Burkina Faso NAP on PSSM in the country (2017–21), which the Burkinabé authorities developed with MAG and Survey support in 2016–17. The aim of this evaluation was to leverage lessons learned in order to provide recommendations for the next iteration of the country’s NAP.

In its work to mitigate the negative impacts of illicit small arms, the Survey continued to develop its capacity-building portfolio on supporting gender-responsive small arms control through separate but interlinked initiatives. Leveraging research carried out for the Conventional Arms Control in the Commonwealth Initiative in 2019, the GLASS project explored how some Commonwealth countries consider the risk of gender-based violence (GBV) when reviewing firearm licence applications, publishing these findings in an April 2020 blog post.

As the GLASS project closed, the Survey launched a new project, Gender-Responsive Arms Control, which aims to increase the effectiveness of arms control measures by incorporating a gender-responsive approach. It does this through operationalizing the *Handbook on Gender-responsive Small Arms Control* released as part of the GLASS project in 2019, and strengthening the evidence base for gender-responsive arms control by examining the roles of women in arms trafficking.

Box 3 On hold: Watch this space

The Survey has successfully transformed several of its training programmes and capacity support efforts from in-person activities to online knowledge exchanges, as shown below; nevertheless, some projects were still placed on hold with activities to be implemented (it is to be hoped in person) in 2021. Readers should keep an eye out in next year’s Annual Report for Survey activities to support journalist training in Colombia, gender-based small arms awareness-raising training for Libyan community actors, and the work of the European Union Force (EUFOR) Mobile Training Team in Bosnia and Herzegovina.

In 2020 the project translated selected chapters of the Handbook into Spanish and carried out consultations on practical tools and training exercises required for its operationalization. These consultations took place in six sub-regions, namely the Caribbean, Central America, East Africa, West Africa, Southern Africa, and South America (Southern Cone). These consultations will inform the development of training materials and tools that the Survey will subsequently deliver to states that request assistance. Secondly, the project carried out research on the roles of women in arms trafficking in four geographical contexts, which will be published in a report in 2021. The Gender-Responsive Arms Control project is funded by the German Federal Foreign Office, which now uses the Survey’s *Handbook on Gender-responsive Small Arms Control* as a reference in the template that all prospective grantees will use to submit project proposals.

All the Survey’s projects and activities are underpinned by international or regional small arms control instruments, but some of its targeted efforts focus on control measures in specific contexts, often by supporting regional organizations, as seen in the Survey’s EU–LAS project and its collaboration with the Southern African Development Community (SADC). The EU–LAS project is backed by the European Union Council Decision 2018/1789 in Support of Combating the Illicit Trade in and Proliferation of Small Arms and Light Weapons in the Member States of the League of Arab States and is jointly implemented by INTERPOL, the Survey, and the WCO. In early 2020 the project convened the first sub-regional workshop in the United Arab Emirates (UAE) and subsequently delivered two in-country training programmes in the UAE and Morocco. After COVID-19 forced the postponement of its activities in early 2020, the project moved its training programmes

online. In the last half of the year the EU–LAS team delivered successful online programmes to the governments of Algeria, Iraq, Mauritania, Oman, and Tunisia. The project also made several documents and publications produced by the EU, the Survey, and the WCO available in Arabic for the first time.

In addition, the Survey continued its work with SADC. Building on previous cooperation to support the regulation of arms brokering and facilitate information exchange on small arms control issues in the region, the Survey was asked in 2020 to support the development of a regional strategy and action plan to prevent and combat the proliferation of illicit firearms, ammunition, and other related material in the region, and to update the regional organization’s SOPs for implementing the SADC Firearms Protocol. The Survey began providing technical support to the SADC-appointed task team to develop a strategy, an action plan, and updated SOPs in the last quarter of 2020, with work continuing in 2021, including a food-for-thought paper on the strategy and action plan and a methodology for updating the SOPs.

In early 2020 the Survey finalized its project to support the countries of the Intergovernmental Authority on Development region (comprising Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan, and Uganda) to undertake national assessments of their current small arms control systems, identify effective measures for preventing diversion and detecting and removing illicit small arms, and develop national strategies and action plans for putting these findings into practice. As a result of this project, the Survey was asked to contribute to efforts to finalize Ethiopia’s Firearms Proclamation and develop implementing regulations in cooperation with the Ethiopian Ministry for Peace and the Bonn International Center for Conversion.

Box 4 Supporting ATT implementation

The ATT is the only legally binding instrument regulating the international arms trade, and the Small Arms Survey has provided technical advice and support on its implementation since the treaty's inception—having literally written the Handbook on it. In 2020 the Survey supported ATT implementation through four ATT Voluntary Trust Fund (VTF) projects in two countries—Zambia and Serbia—and through a process of examining the issues of diversion and GBV through an ATT lens.

1. Projects to support Zambia's implementation of the ATT

The Survey implemented three ATT VTF projects with Zambia during 2020, cooperating with EU Arms Trade Treaty Outreach Project (EU ATT-OP) efforts in the country to ensure that such efforts are complementary.

- Firstly, as a result of a workshop held in November 2019 and remote assistance that the Survey provided in 2019–20, a draft national control list of military goods has been prepared in accordance with ATT Article 5 and is ready for adoption. This list will support the drafting and implementation of Zambia's forthcoming Conventional Arms Control Act (see below), which will in turn support ATT implementation in the country.
- Secondly, in cooperation with the country's ATT national point of contact, the Survey provided technical assistance to Zambia to fulfil its reporting obligations under Article 13 of the ATT.
 - A workshop held in October 2019 and remote consultations during 2019–20 helped to prepare a draft initial report on measures to implement the ATT, enabling Zambia to submit its initial report to the ATT Secretariat in February 2020.
 - A workshop held in February 2020 drafted a national procedures document for the preparation of Zambia's ATT annual report. Participants remarked that the drafting workshop and the final product represent a good-practice model for enabling Zambia to fulfil various reporting obligations and commitments. The document provides practical Zambia-specific guidelines for preparing and submitting the country's ATT annual report in 2021.
- Thirdly, at the end of 2020 the Survey started work to help build capacity and provide technical knowledge to enable Zambia to draft its Conventional Arms Control Act, one of whose aims will be to domesticate the ATT and ensure its effective implementation in the country. The first step is a 'hybrid' drafting workshop in January 2021.

In cooperation with Zambia, the Survey helped to prepare two written lessons-learned documents, one on Zambia's experience of establishing a national control list and another on the country's experience of preparing an initial report. Both were shared with other states parties, signatories, observers, and interested stakeholders during the first preparatory committee meeting for the Sixth Confer-

ence of States Parties to the ATT (ATT CSP6) in February 2020. A third lessons-learned document on Zambia's experience of building capacity to fulfil its ATT annual reporting obligations will be made available during the CSP7 cycle.

2. Supporting work to prevent and address diversion

The Survey is the implementing partner for a VTF project to build Serbia's capacity and provide technical knowledge to further strengthen the country's ability to prevent and address the diversion of conventional arms in accordance with ATT Article 11. The project is intended to raise awareness and share lessons learned and national experiences to inform the drafting of a national manual on processes, roles, and responsibilities to prevent and address diversion, and also provide thoughts on 'new' measures for Serbia to consider. The first workshop for this project took place in Belgrade during February 2020. It examined Serbian measures to prevent and address diversion, and considered ways to further strengthen the country's controls with regard to end-user documentation, risk indicators for diversion, internal compliance programmes, and company audits to prevent and detect diversion. The COVID-19 pandemic significantly delayed the delivery of the second workshop and the preparation of the manual, and the Survey will continue to provide support in 2021.

In early 2020 the Survey, Conflict Armament Research, the Stimson Center, and the UN Institute for Disarmament Research launched a joint research project to strengthen shared understanding on the impact of the ATT in addressing diversion risks. In addition to virtual briefings, the Survey contributed to an issue brief intended to support the efforts of ATT states parties to implement provisions to prevent, detect, address, and eradicate diversion from conventional arms transfers.

The Survey also contributed input on diversion to the Geneva Centre for Security Policy's online course on 'Building Capacities for Effective Implementation of the ATT' in May 2020. In December 2020 it contributed to a series of EU ATT-OP online sessions for Chilean national institutions on practical and operational ways to prevent, detect, and combat diversion and illicit trafficking.

3. Supporting work to unpack the implementation of ATT provisions on GBV (ATT, art. 7(4))

With support from the Swiss Federal Department of Foreign Affairs, during 2020 the Survey undertook research to address the question, 'How do states parties implement Article 7(4) of the ATT?' The research team reviewed recommended sources for identifying cases of arms exports being used in GBV and violence against women and children. Towards the same end, it also conducted interviews with export-licensing officers from major exporters of conventional arms in order to prepare a restricted-access background paper on how states parties conduct arms export risk assessments of the risk of exported arms being used to inflict GBV and violence against women and children.

IV. Applying knowledge

All Survey projects have some elements of research and capacity support, but a few work on both processes in real time. Normally, when training stakeholders on policy or sharing Survey findings, the Survey can use the feedback received to inform new research, which in turn is used to build further capacities. In cross-cutting activities that work on both data and capacity support in real time, this interactive loop functions more quickly, because these undertakings happen in tandem. In 2020 two initiatives connected the Survey's data and capacity work: one, a medium-term project now in its second phase, and the other, a joint learning experience to fill in the gaps left in the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) agenda.

The Strengthening Implementation and Enforcement of the Arms Embargo on North Korea (SAENK) project contributes to the efforts of the UN Sanctions Committee pursuant to UN Security Council (UNSC) Resolution 1718 and its independent Panel of Experts (PoE) to curb the proliferation of arms and enhance international peace and security. In 2020, as part of the SAENK project, the Survey launched a set of How-to Guides on implementing and enforcing the UN sanctions regime on North Korea (which is also available in Arabic and French). The guides list ways to prevent North Korean arms embargo violations, sanctions evasion through diplomatic channels, and sanctions evasion by designated entities. They are accompanied by a brochure on

the risk typology covered in the guides—the products and services found to have been manufactured in North Korea and exported, supplied, or offered to clients by North Korean overseas brokers or through North Korean diplomatic channels. In addition, the SAENK project produced a video with takeaways from the first guide on preventing arms embargo violations. The Survey also released an analysis of 11 Security Council reports published by the UN PoE since 2010 to create an overview of evolving methods and techniques of North Korean sanctions evasion. In addition, the Survey prepared three restricted-access papers on various dimensions of the sanctions on North Korea, and held a capacity-building inter-agency workshop in Zambia in early 2020 and a preliminary exploratory workshop with Botswana towards the end of the year. Further, it began preparations for the Fourth Maritime Security Conference on Comprehensive Implementation of Maritime Provisions of UNSC Resolutions on the DPRK (Democratic People's Republic of Korea), and on the drafting of a self-assessment tool to be finalized in 2021 that will assist UN member states to examine their approaches and practices in implementing arms embargoes mandated by UNSC resolutions. The SAENK project was renewed for a second phase in 2020.

The Seventh Biennial Meeting of States (BMS7) to consider the implementation of the PoA was postponed until 2021 due to the COVID-19 pandemic. To contribute to the continuation of a robust conversation on illicit small arms in lieu of BMS7 discussions and to mark 20 years of efforts

in this field by the Survey and its partners, the Survey decided to organize an online forum on topics relevant to BMS7 and the PoA framework at large. The online forum 'Taking stock of action on the illicit small arms trade' was held between 15 and 26 June 2020, comprised 12 panels, and gathered 38 speakers and over 300 attendees. Small Arms Survey's blogs contain summaries of all the panels, which covered:

- lessons learned from 20 years of PoA implementation;
- diversion;
- combating the illicit trade in small arms in the LAS;
- craft weapons;
- national action plans (NAPs) (in English and French);
- the role of regional organizations;
- gender-responsive small arms control;
- PoA–International Tracing Instrument (ITI) implementation reporting;
- the marking and tracing of modular and polymer weapons;
- the way forward for tackling the illicit small arms trade; and
- the impact of COVID-19 on peace and security challenges in Africa.

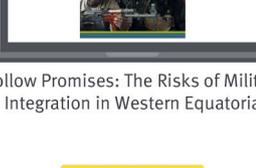
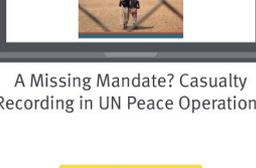
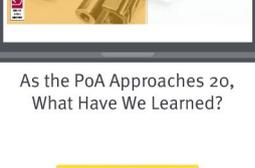
Many of these issues, which are priorities of the Survey's work, will be high on the BMS7 agenda. The Survey's aim is that the discussions held at, and the subsequent summaries from, the online forum will not only help with preparations for BMS7, but also prove fruitful for exchanges conducted in the frameworks of the UN Firearms Protocol, the ATT, and other multilateral instruments and efforts.

Box 5 The Secretary-General's report

The UN published the Secretary-General's report on *The Illicit Trade in Small Arms and Light Weapons in All Its Aspects and Assistance to States for Curbing the Illicit Traffic in Small Arms and Light Weapons and Collecting Them* halfway through 2020. It provides an overview of issues related to the diversion of small arms, lessons learned from prevention efforts, and inputs from numerous stakeholders. The report makes explicit or implicit references to the Survey's work throughout, including the joint Survey–African Union (AU) Commission report on mapping illicit arms flows in Africa, the Survey's analysis of PoA and ITI implementation, its comparative analysis on ATT and African measures to prevent diversion, its EU–LAS project, and its Making Peace Operations More Effective (MPOME) project's peace operations dataset.

V. Enhancing outreach

Publications and other outputs released in 2020

<p>SAENK Podcast Episode - February</p>  <p>#50: North Korea's Illicit Maritime Activities in Violation of UN Sanctions</p>	<p>Blog Post - February</p>  <p>A Tale of Two Lot Numbers: The Illicit Proliferation of Hand Grenades in Ukraine</p>	<p>HSBA Report - March</p>  <p>Spilling Over: Conflict Dynamics in and around Sudan's Blue Nile State, 2015-19</p>	<p>Briefing Paper - March</p>  <p>Gender Counts: Assessing Global Armed Violence Datasets for Gender Relevance</p>
<p>Briefing Paper French Translation - March</p>  <p>Gender Counts: Assessing Global Armed Violence Datasets for Gender Relevance</p>	<p>Blog Post - April</p>  <p>Gendered Firearms Regulations: Assessing the Risk of Gender-based Violence during Firearm Licence Applications</p>	<p>Report French Translation - April</p>  <p>At the Crossroads of Sahelian Conflicts: Insecurity, Terrorism, and Arms Trafficking in Niger</p>	<p>Briefing Paper French Translation - April</p>  <p>The West Africa-Sahel Connection: Mapping Cross-border Arms Trafficking</p>
<p>Briefing Paper English Translation - April</p>  <p>Arms Monitoring in Guinea: A Survey of National Forensic Services</p>	<p>HSBA Briefing Paper - May</p>  <p>Conflict and Cooperation: Transitions in Modern Ethiopian-Sudanese Relations</p>	<p>Blog Post - May</p>  <p>Staying Safe: Effective Weapons and Ammunition Management (WAM) during the COVID-19 Crisis</p>	<p>HSBA Report - June</p>  <p>Sudan Uprising: Popular Struggles, Elite Compromises, and Revolution Betrayed</p>
<p>HSBA Report - June</p>  <p>Diaspora in Despair: Darfuran Mobility at a Time of International Disengagement</p>	<p>HSBA Briefing Paper - June</p>  <p>Hollow Promises: The Risks of Military Integration in Western Equatoria</p>	<p>SANA/HSBA Briefing Paper - June</p>  <p>A Missing Mandate? Casualty Recording in UN Peace Operations</p>	<p>Blog Post - June</p>  <p>As the PoA Approaches 20, What Have We Learned?</p>
<p>Blog Post - June</p>  <p>Measures to Address the Diversion of Small Arms</p>	<p>Blog Post - June</p>  <p>Combating the Illicit Trade in and Proliferation of Small Arms and Light Weapons in the Member States of the League of Arab States</p>	<p>Blog Post - June</p>  <p>Craft Weapons</p>	<p>Blog Post - June</p>  <p>National Action Plans as a Strategic Tool for Weapons and Ammunition Management/Small Arms Control (English language)</p>

Key: Publication Translated Publication Blog Post Podcast Episode Video

Blog Post - June



The Role of Regional Organizations

Blog Post - June



Gender-responsive Small Arms Control

Blog Post - June



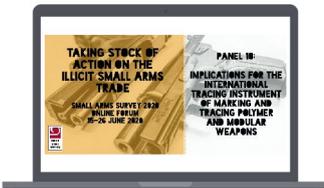
Les plans d'action nationaux comme outil stratégique pour la gestion et le contrôle des armes légères et de petit calibre

Blog Post - July



UNODA Training Session on Reporting on Implementation of the PoA and ITI

Blog Post - July



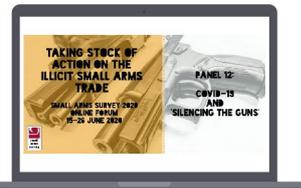
Implications for the International Tracing Instrument of Marking and Tracing Polymer and Modular Weapons

Blog Post - July



The Way Forward for Tackling the Illicit Small Arms Trade

Blog Post - July



Covid-19 and 'Silencing the Guns'

GLASS Handbook French Translation - July



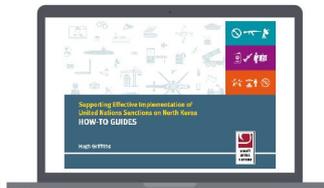
Gender-responsive Small Arms Control: A Practical Guide

GLASS Handbook Spanish Translation - July



Gender-responsive Small Arms Control: A Practical Guide

SAENK How-to Guide - July



Supporting Effective Implementation of UN Sanctions on North Korea

SAENK How-to Guide Arabic Translation - July



Supporting Effective Implementation of UN Sanctions on North Korea

SAENK How-to Guide French Translation - July



Supporting Effective Implementation of UN Sanctions on North Korea

Handbook French Translation - July



The Arms Trade Treaty: A Practical Guide to National Implementation

Blog Post - August



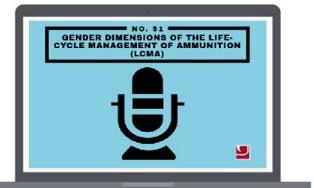
Seeking Supplies: Developments of Small Arms Production and Industry in Myanmar

SAENK Briefing Paper - September



Covert Carriers: Evolving Methods and Techniques of North Korean Sanctions Evasion

Podcast Episode - October



#51: Gender Dimensions of the Life-cycle Management of Ammunition (LCMA)

SANA Briefing Paper - October



Tri-border Transit: Trafficking and Smuggling in the Burkina Faso-Côte d'Ivoire-Mali Region

SAENK Video - December



SAENK How-to Guides: How to Prevent North Korean Arms Embargo Violations

Report - December



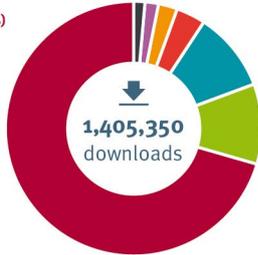
Trade Update 2020: An Eye on Ammunition Transfers to Africa

Publications and communications data for 2020

Publication downloads

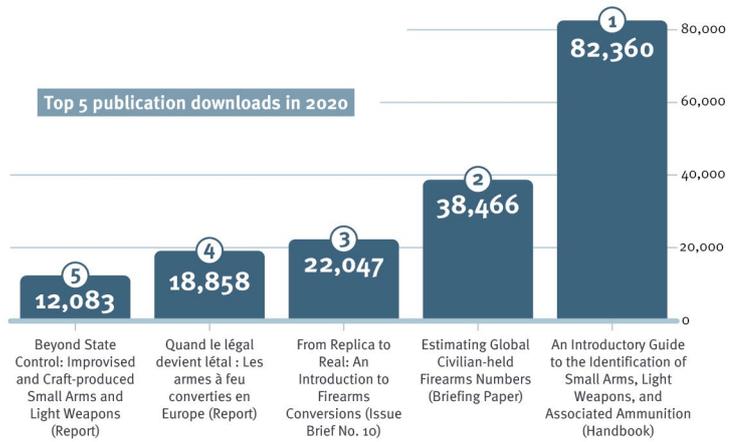
Publication downloads by project

- Small Arms Survey*** (70.5%)
990,147
- HSBA** (10.2%)
142,989
- SANA** (10.1%)
141,968
- Geneva Declaration** (3.7%)
51,779
- Armed Violence Assessments**** (2.4%)
34,487
- MPOME** (1.7%)
23,354
- RASR** (1.4%)
20,626

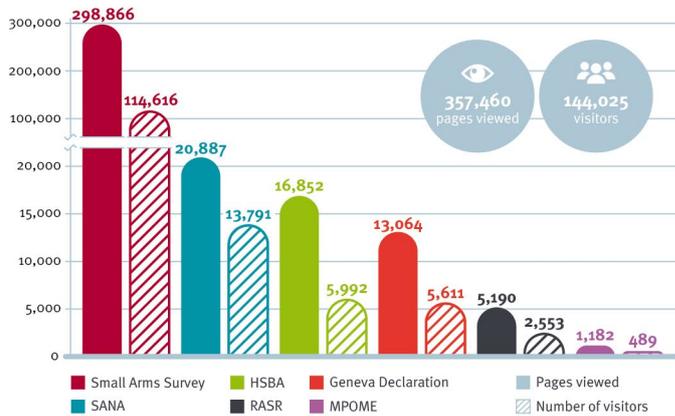


* Non-project specific.
** For India (IAVA), Liberia (LAVA), Yemen (YAVA), Timor-Leste (TLAVA), and Nepal (NAVA).

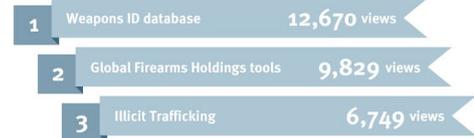
Top 5 publication downloads in 2020



Website views and visitors



The top 3 thematic pages viewed



Other data



*** Unplanned Explosions at Munitions Sites, Transparency Barometer, Global Violent Deaths, Global Firearms Holdings, Peace Operations Data Set.

Social media and eAlerts



- Armed violence
- Authorized arms trade and transparency
- Civilian firearms possession
- Femicide
- Illicit arms flows
- Libya
- North Korea
- Sudan
- Unplanned explosions at munitions sites (UEMS)/Beirut explosion

Media coverage



- AFP
- Al Jazeera
- Associated Press
- BBC
- Channel News Asia
- CNN
- Deutsche Welle
- El Pafis
- Euronews
- Forbes
- France 24
- Le Monde
- Newsweek
- O Globo
- Radio France International
- Reuters
- RT
- Televisa
- The Financial Times
- The Guardian
- The New York Times
- The Straits Times
- Xinhua

VI. Reinforcing operations

Institutional development

The year 2020 was one of reform for the Small Arms Survey. With new management in place, the Survey revised its internal structure to achieve increased efficiency, improved project design and execution, tighter cost controls, and greater responsiveness to donor requirements. Two thematic units—Policy and Capacity Support, and Data and Analytics—were established to increase coherence among the organization’s various work streams. Additionally, a new Grant Management and Fundraising unit enhanced the Survey’s capacity to comply with grant conditions and increase the efficient allocation of project resources.

Externally, the Survey formalized its governance structure to improve accountability and transparency by more clearly

defining its relationship to our parent institution, the Graduate Institute of International and Development Studies, and establishing an external advisory committee comprising our most important donors. The Strategic Council, which was created in late 2019, met for the first time in February 2020 and for a second time in September, with nine members:

- the Graduate Institute;
- Australia;
- Canada;
- the EU;
- Germany;
- the Netherlands;
- Sweden;
- Switzerland; and
- the United States.

Financial developments

In 2020 the Survey embarked on an in-depth review of internal financial processes aimed at ensuring its long-term sustainability, particularly in what could be an uncertain funding environment after the economic crisis caused by the COVID-19 pandemic. Management is confident that the combination of cost-cutting measures and increased efficiencies placed the Survey on a solid financial footing for 2021.

The Survey’s 2020 income was CHF 5,129,715. The Survey depends entirely on external funding, and it is thanks to its donors’ support that it can carry out its operations. In 2020 the Survey was grateful for the unrestricted support granted by Australia, Finland, Sweden, and Switzerland. Unrestricted funding allows the Survey to maintain its institutional knowledge, react promptly to new developments, and explore innovative ideas in underserved areas. Additionally, in 2020 the Survey received project-specific support from Canada, the EU, Germany, the Netherlands, Sweden, Switzerland, the United Kingdom, the United States, the ATT VTF, UNDP, and the UN Trust Facility Supporting Cooperation on Arms Regulation, as well as service contracts from several UN agencies and other partners.



Box 6 Thank you!

Thank you to our friends, colleagues, and partners for their continued understanding and flexibility as we continue to rearrange projects to accommodate restrictions imposed to control the spread of COVID-19.

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, policymakers, 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.

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