

# **COUNTER PROLIFERATION PROGRAMME**

**Programme Strategy**

**Financial Year 2016-17**

**Version 3.0**

# **PROGRAMME STRATEGY TEMPLATE**

## **1. EXECUTIVE SUMMARY OF STRATEGY** (*Brief summary of Strategy*)

Counter-Proliferation is one of the Government's top priorities. It features prominently in the [National Security Strategy and the Strategic Defence and Security Review](#), and is at the heart of one of the three priorities for the FCO: safeguarding the UK's national security by countering terrorism and weapons proliferation, and working to reduce conflict.

In line with this, the FCO has created a Security Programme, one strand of which covers Counter-Proliferation (CP). It plays a distinct and important role in supporting the strategic objectives set out in the [National Counter-Proliferation Strategy](#). The programme is increasingly looking to fund proposals that produce real change and impact whether that's countries signing/ratifying international treaties, development of national legislation, or capacity building of ODA countries.

This Programme does not fund large-scale material interventions, which are instead covered by the UK's contribution to the [Global Threat Reduction Programme](#).

## **2. RELEVANT STRATEGIC & GEOGRAPHICAL PRIORITIES** (*Main Foreign Policy Priorities to which programme contributes and selection of Priority Countries with justification*)

The [UK National Counter Proliferation Strategy to 2020](#) focuses on three strands:

- influencing intent: encourage all states to adhere to norms on the possession and use of particular weapons, and to demonstrate the consequences of breaching those norms;
- controlling access: control access to materials and knowledge globally to make it as hard as possible for states or terrorists to acquire or develop capabilities;
- disrupting networks: disrupt illicit attempts to circumvent controls

These therefore contribute to the [Foreign Policy Priority](#) of:

- Security - Safeguard Britain's national security by countering terrorism and weapons proliferation and working to reduce conflict.

### **2a CONTRIBUTION TO OFFICIAL DEVELOPMENT ASSISTANCE** (*Which of the countries listed above appear on the list included as Annex A to the Guidelines?*)

We are particularly keen to support projects which will qualify as Official Development Assistance (ODA). In order to be eligible to count as ODA, projects must have the development and welfare of the target country as their main objective. [More detailed on the criteria for ODA can be obtained following OECD guidelines.](#)

### 3. PROGRAMME DESIGN

**3.1 Programme Objectives and Sub-Objectives (Hierarchy of Objectives) and Programme Operating Principles** (*Programme's main objectives and sub-objectives. Indicate any sub-objectives that might be considered priority over others. Include any underlying operating principles e.g. focus on policy related interventions*)

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| <ol style="list-style-type: none"> <li>1) <b>Priority countries strengthen their capacity to secure CBRN materials and expertise from acquisition by non-state actors.</b></li> <li>2) <b>Priority countries strengthen their export control regimes.</b></li> <li>3) <b>The international regimes, treaties and initiatives that underpin global non-proliferation, security and disarmament objectives are strengthened.</b></li> <li>4) <b>The threat posed by conventional weapons to UK, regional and global stability is reduced.</b></li> </ol> |
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#### 3.1 Programme Objectives/Sub-Objectives breakdown (Annex 1)

Please refer to Annex 1
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**3.2 Programme Indicators** (*Provide indicators against which success of the programme will be measured*)

Sub-Objective	Indicators
1) <b>Priority countries strengthen their capacity to secure CBRN materials and information against acquisition by non-state actors</b>	<ul style="list-style-type: none"> <li>- <b>States:</b> increased adherence to international regimes, treaties and initiatives on CBRN Security</li> <li>- <b>Industry:</b> increased engagement with international initiatives to improve physical and information security, leading to improved practices</li> <li>- <b>Academia:</b> improved security culture, including knowledge sharing, laboratory practices, and Dual-Use Research of Concern</li> </ul>
2) <b>Priority countries strengthen their export control regimes.</b>	<ul style="list-style-type: none"> <li>- Countries integrate internationally recognised export controls into national legislation.</li> <li>- Countries openly engage with Panels of Experts to implement UNSC sanctions.</li> </ul>
3) <b>The international regimes, treaties and initiatives that underpin global non-proliferation, security and disarmament objectives are strengthened.</b>	<ul style="list-style-type: none"> <li>- Adherence &amp; implementation of articles related to UNSCR 1540, CWC, BTWC (including RevCon 2016) &amp; other relevant international conventions or treaties including industry. E.g. verification, universality &amp; transparency with remaining States acceding.</li> <li>- States and/or businesses better understand proliferation financing and</li> </ul>

	<p>build towards creating self funded network to share information and train staff.</p> <ul style="list-style-type: none"> <li>- NPT remains an effective instrument of global security</li> <li>- Emerging consensus on key issues across all three NPT pillars in the run up to the NPT Review Conference in 2020.</li> <li>- Strengthening implementation of IAEA Safeguards and facilitating ratification of the Additional Protocol.</li> </ul>
<p><b>4) The threat posed by conventional weapons to UK, regional and global stability is reduced.</b></p>	<ul style="list-style-type: none"> <li>- More countries accede to the Arms Trade Treaty (ATT).</li> <li>- A successful second Conference of States Parties where future priorities of the ATT moving forward are agreed including the establishment of a Voluntary Trust Fund and agreement on reporting formats.</li> </ul>

#### 4. OPERATIONAL ARRANGEMENTS

##### 4.1 Implementation Plan *(Set out main activities which will be undertaken by the programme in the coming year)*

Programme Activity	Timing	Responsible
<b>Strategic Programme Fund (SPF):</b>		
Round 1: Call for Bids	10 February 2016	Programme Team
Round 1: Concept Bid Deadline	18 March 2016	Applicants (Posts & Implementers)
Round 1: Concept Bid Results	8 April 2016	Programme Team
Round 1: Full Bid Deadline	11 May 2016	Successful Concept Bidders
Round 1: Full Bid Results	20 May 2016	Programme Team
<b>Tactical Fund:</b>		
Full bids using the appropriate form	18 April 2016	Applicants to e-mail application to the SPF inbox.
Results	Target to reply to bids within two weeks.	Programme Team

**4.2 Programme Budget** *(In the tables below, set out the programme budget for projects, devolved administration and identify any ringfenced parts of the budget)*

**4.2.1 Total Annual Budget for Projects**

The programme funded projects with budgets ranging from £20,000 - £100,000 last financial year (Apr 2015-Mar 2016), an average of around £47,000 per project.

Applicants should take this as a general guide but not feel bound by this.

**4.2.2 – 4.2.4 Budget for Projects**

The programme fund will be split three ways in FY 16/17. Please refer to section 6 for more details.

ITEM	TOTAL
4.2.2 Ongoing Projects	-
4.2.3 Projects approved but not started	-
4.2.4 Strategic Programme Fund (SPF)	-
4.2.5 Tactical Fund	-
4.2.6 Support to International Organisations	-
<b>TOTAL</b>	-

**4.3 Staffing** *(Detail overall staffing requirements for Programme Teams and provide general information on Post staffing requirements)*

The programme has one Programme Manager who allocates 100% of their time to the running of the programme. The programme also calls upon small amounts of policy officer time for the management of projects.

**4.4 Risk Analysis and Management** (*Identify main risks to programme success and how they will be managed*)

<b>Risk</b>	<b>Like- lihood</b>	<b>Impact</b>	<b>Risk Status</b>	<b>Trend</b>	<b>Owner</b>	<b>Management Strategy</b>
Key target stakeholder buy-in is not achieved or reduces on areas of focus	Low/Medium	High	Green	Level	Programme, Policy Leads, Project Managers	This will be assessed in each bid the programme receives but also raised in quarterly project reports by implementers. Action will then be taken accordingly in consultation with the project.
Project slippage results incomplete activity for financial year	Low	Medium	Green	Falling	Programme, Project Managers & Implementers	The programme manager and project managers will monitor projects closely ensuring projects keep on track and risks of slippage are appropriately mitigated.

(Programmes may substitute this table with their own Risk Analysis and Management Strategy as an Annex, if already developed, instead of completing the table)

**4.5 Monitoring & Evaluation Arrangements** (*Detail how programme progress will be monitored, by whom, which methods etc.*)

**Quarterly Programme Review**

Projects will be required to submit quarterly returns to the programme to review. These will then feed into an overall quarterly programme review conducted by the Programme Manager and fed within departmental systems.

**End of Financial Year (FY) Review**

Project completion reports will also be required for an end of FY review of outcomes, outputs and initial impacts of the programme's funding.

**5. STAKEHOLDER MANAGEMENT & COMMUNICATION** (*Identify main stakeholders, their roles and how messages will be communicated. Clearly identify the key decision makers*)

<b>Stakeholder</b>	<b>Main Interest/ Issues/ Concerns</b>	<b>Management Objectives / Communication Objectives</b>	<b>Key Messages</b>	<b>Communication Method</b>
Applicants	Bidding deadlines & requirements	The programme strategy and other information will be promoted around the network and online.	Programme requirements & deadlines	E-mail / Gov.uk website
Senior Officials	Funding and Impact	To inform them of project impacts on counter proliferation.	Success and lessons learning	Evaluation exercise

(Programmes may substitute this table with their own Stakeholder Management & Communication Strategy as an Annex, if already developed, instead of completing the table)

**6. OTHER ISSUES/INFORMATION**

**The programme does not fund multi-year proposals because funding for the programme is set annually. The programme nonetheless looks to fund projects with sustainable impact that have the potential to carry on beyond the FCO funding they have received.**

**It is also highly recommended that would-be applicants discuss any ideas, whether within the scope of this strategy or outside, with the relevant policy holder in Counter Proliferation Department. If you are unaware who this is please e-mail [SPF.CP@fco.gov.uk](mailto:SPF.CP@fco.gov.uk).**

**As mentioned the programme fund will be broken down in three ways:**

**Strategic Programme Fund – Projects are invited under Annex 1 for projects over £15,000. We invite only bids listed as SPF within a bidding round.**

**Tactical Fund – Projects are invited from the ‘Tactical Fund’ and ‘SPF’ criterias of Annex 1. These types of projects can be no larger than £15,000 and are invited from 18 April 2016. Bids in this area are not constrained by a bidding round and are invited at**

any point until the funding runs out.

**Support to International Organisations** – Bids are not sought in this area. This will be an allocation of money which the programme management will look to allocate funding in key areas of rules-based international orders within counter proliferation work.

**Annex 1**

**Programme Objectives/Sub-Objectives by Country** *(Show which objectives/sub-objectives will be the focus of projects in each country)*

<i>Programme objective:</i>	<i>Strategic Priority</i>	<i>Further details and example areas for project work</i>
<p><b>1) Priority countries strengthen their capacity to secure CBRN materials and information against acquisition by non-state actors</b></p>	<p><b>1</b></p>	<p><b>‘CBRN security: improving capacity, reducing the threat’</b>            We are looking to fund projects which help priority countries to improve the security of CBRN materials and information, or which help encourage the political will to do so.</p> <p>Projects in priority countries might aim to:</p> <p><b><u>SPF</u></b></p> <ul style="list-style-type: none"> <li>- facilitate or provide expertise to priority countries to increase their awareness of the importance of protecting CBRN information and expertise, and their capacity to do so</li> <li>- improve the relationship between priority countries and the IAEA, and strengthen the focus on nuclear security within the IAEA</li> <li>- identify new / innovative avenues of bilateral cooperation on CBRN Security, covering security and/or prosperity objectives</li> </ul> <p><b><u>Tactical Fund</u></b></p> <ul style="list-style-type: none"> <li>- increase the focus and engagement of key decision-makers on CBRN security issues</li> <li>- shape debate on CBRN security through academic or NGO exchange.</li> <li>- promote increased understanding, awareness and implementation of CBRN Security through Governments, industry, civil society and academics.</li> </ul>
<p><b>2) Priority countries strengthen their export control regimes (ECRs)</b></p>	<p><b>2 &amp; 3</b></p>	<p><b><u>SPF</u></b></p> <p>We are looking to fund projects that will take forward implementation and enforcement by priority countries of export control legislation of sufficient standard.</p> <p>For example, projects might provide training or technical assistance, or share UK best practice, in order to strengthen export controls and ensure that staff in priority countries are trained and equipped to implement them. Projects which strengthen implementation of UNSC sanctions resolutions – particularly those on the DPRK, or which increase states’ willingness or ability to interdict material that violates sanctions, would be particularly welcome. Project may also look to maintain implementation of remaining restrictions and provide assurances around new procurement channel regarding Iran.</p>

<p><b>3) The international regimes, treaties and initiatives that underpin global non-proliferation, security and disarmament objectives are strengthened.</b></p>	<p><b>1, 2 &amp; 3</b></p>	<p>We would like to support projects which:</p> <p><b><u>SPF</u></b></p> <ul style="list-style-type: none"> <li>- Assist States Parties to adopt the necessary measures to implement their obligations under the Biological and Toxin Weapons Convention (BTWC) in the run up to the 2016 RevCon and the Chemical Weapons Convention (CWC) e.g. enacting penal legislation which encompasses all activities prohibited by the Conventions.</li> <li>- Promote the BTWC intersessional process, particularly focussing on developments in Science and Technology that have implications for the Convention.</li> </ul> <p><b><u>Tactical Fund</u></b></p> <ul style="list-style-type: none"> <li>- In preparation for the 2016 Comprehensive Review of UNSCR 1540, support efforts towards universalisation of implementation of the resolution, including by increasing the role played by regional organisations.</li> <li>- Advance progress towards the entry into force of a Comprehensive Test Ban Treaty (CTBT) and completion of its verification system</li> <li>- Influence P5 and others to unblock, and ultimately facilitate, the start of negotiations in the Conference on Disarmament (CD) on a Fissile Materials Cut Off Treaty (FMCT); dissuade others from pursuing alternative channels outside of the CD.</li> <li>- Maintain support for the Chemical Weapons Convention as it shifts its focus from destruction to non-proliferation.</li> <li>- Support international efforts to build capacity and capability for the UN Secretary General’s Mechanism for Investigations of Alleged Use.</li> <li>- Promote universality of the BTWC (23 countries remain outside this convention) and CWC (four countries outside)</li> <li>- Strengthen international efforts to interrupt proliferation financing networks, including, but not only, through FATF and its regional fora.</li> <li>- Projects might also contribute to the fulfilment of the obligations under the Ottawa and Oslo conventions on anti-personnel mines and cluster munitions respectively.</li> </ul> <p><b>NPT: path to 2020’</b> Projects might aim to:</p> <ul style="list-style-type: none"> <li>- Strengthen the NPT as the cornerstone of international non-proliferation, disarmament and security regimes;</li> <li>- Encourage and enable the safe use of civil nuclear technology in priority countries</li> <li>- Improve domestic safeguards legislation in priority countries</li> </ul>
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<p><b>4) The threat posed by conventional weapons to UK, regional and global stability is reduced</b></p>	<p><b>2 &amp; 3</b></p>	<p><b><u>SPF</u></b>  <b>'ATT: from negotiation to implementation'</b></p> <p>We are keen to support projects which would advance the process towards States' accession to and implementation of the Arms Trade Treaty (ATT). Projects might focus on specific countries (particularly influential NAM countries and significant exporter / importers of arms) and seek to build political and public support for the ATT. Projects may also look to help build capacity for developing states to fully implement the ATT.</p> <p>Projects will also be considered which seek to address the threat from conventional weapons in priority countries, and attempts to procure conventional weapons (including advanced conventional weapons) by high-threat non-State groups (e.g. Da'esh), for example:</p> <ul style="list-style-type: none"> <li>- heightening awareness of the threat posed by conventional arms</li> <li>- building capacity to control the export or transfer of conventional arms</li> <li>- building capacity to secure and destroy conventional weapons.</li> </ul>
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**Annex A: DAC List of ODA Recipients**  
**Effective for reporting on 2011, 2012 and 2013 flows**

Least Developed Countries (LDCs)	Other Low-Income Countries (per capita GNI < \$1005 in 2010)	Lower Middle-Income Countries and Territories (per capita GNI \$1006-\$3975 in 2010)	Upper Middle-Income Countries and Territories (per capita GNI \$3976-\$12275 in 2010)
Afghanistan Angola Bangladesh Benin Bhutan Burkino Faso Burundi Cambodia Central African Republic Chad Comoros Congo, Dem. Rep. Djibouti Equatorial Guinea Eritrea Ethiopia Gambia Guinea Guinea-Bissau Haiti Kiribati Laos Lesotho Liberia Madagascar Malawi Mali Mauritania Mozambique Myanmar Nepal Niger Rwanda Samoa Sao Tome and Principe Senegal Sierra Leone Solomon Islands Somalia Sudan Tanzania Timor-Leste Togo Tuvalu Uganda Vanuatu Yemen Zambia	Kenya Korea, Democratic Republic Kyrgyz Rep South Sudan Tajikistan Zimbabwe	Armenia Belize Bolivia Cameroon Cape Verde Congo, Rep. Cote d'Ivoire Egypt El Salvador Fiji Georgia Ghana Guatemala Guyana Honduras India Indonesia Iraq Kosovo <sup>(1)</sup> Marshall Islands Micronesia, Federated States Moldova Mongolia Morocco Nicaragua Nigeria Pakistan Papua New Guinea Paraguay Peru Philippines Sri Lanka Swaziland Syria Thailand *Tokelau Tonga Turkmenistan Ukraine Uzbekistan Vietnam West Bank and Gaza Strip	Albania Algeria *Anguilla Antigua and Barbuda Argentina Azerbaijan Belarus Bosnia and Herzegovina Botswana Brazil Chile China Colombia Cook Islands Costa Rica Cuba Dominica Dominican Republic Ecuador Former Yugoslav Republic of Macedonia Gabon Grenada Iran Jamaica Jordan Kazakhstan Lebanon Malaysia Maldives Mauritius *Mayotte Mexico Montenegro *Montserrat Namibia Nauru Niue Palau Panama Peru Serbia Seychelles *St Helena St Kitts and Nevis St Lucia St Vincent and Grenadines Suriname Thailand Tunisia Turkey Uruguay Venezuela *Wallis and Futuna

\* Territory

(1) This is without prejudice to the status of Kosovo under international law