

COUNTER PROLIFERATION PROGRAMME

Programme Strategy

Financial Year 2017-18

PROGRAMME STRATEGY

1. EXECUTIVE SUMMARY OF STRATEGY

The Government's approach to counter proliferation is set out in the [2015 Strategic Defence and Security Review](#) and the [National Counter Proliferation Strategy](#). This programme seeks to contribute towards delivery of the objectives they set out.

The programme seeks to support this strategy primarily by improving international controls. A significant element will be through assistance to countries – especially those eligible for Overseas Development Assistance – in signing and ratifying international treaties, developing national legislation, and developing their capacity to implement controls. The programme also seeks to support the international treaties, regimes and organisations which provide the crucial underpinning of these controls. It does not fund large-scale material interventions, which are covered in other ways, for example through the UK's contribution to the G7 [Global Partnership](#). Projects must be multi-country, regional or global in scope.

Concept bids for projects must be submitted by 24 March 2017.

2. RELEVANT STRATEGIC & GEOGRAPHICAL PRIORITIES

Counter proliferation features prominently in the [National Security Strategy and the Strategic Defence and Security Review](#). It states: *“Rules and norms to counter the proliferation of illicit arms and weapons of mass destruction play a vital role in our security. The UK has consistently been at the forefront of international efforts to tackle proliferation. We devote substantial efforts to this and will continue to do so.”*

The Foreign and Commonwealth Office has as one of its [Foreign Policy Priorities](#) to *“protect our people: safeguard our national security by countering terrorism, extremism, weapons proliferation, and other state and non-state threats in co-operation with allies and partners...”*

The cross-Government approach to counter proliferation is set out publicly in the [National Counter-Proliferation Strategy](#).

2a CONTRIBUTION TO OFFICIAL DEVELOPMENT ASSISTANCE

The programme is not confined to, but will seek to support projects which will qualify as Official Development Assistance (ODA). In order to be eligible as ODA, projects must have the development and welfare of the target country as their main objective. Any ODA proposals should ensure the activity based budgets are in line to achieve this. [More detailed on the criteria for ODA can be obtained following OECD guidelines](#).

ODA projects under this programme will be required to have 90% of their activity completed by December 2017.

3. PROGRAMME DESIGN

3.1 Programme Objectives and Sub-Objectives (Hierarchy of Objectives) and Programme Operating Principles

The overall objective of the programme is to contribute to delivery of the [UK National Counter Proliferation Strategy to 2020](#). That strategy 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

The programme expects to focus primarily on actions under the “controlling access” around improving States’ adherence to and implementation of key controls.

This Programme is designed only to fund multi country, regional or global projects. Single country proposals can only be funded by HMG representation within the target country providing they have the resources to do so.

The programme funding is allocated in three elements:

- ‘priority projects’: these are projects of over £15,000. For these there is a single bidding round each year as set out below.
- ‘tactical projects’: these are for projects of £15,000 which can be considered throughout the year but should be submitted as soon as possible.
- support to international organisations: the programme provides voluntary contributions in support of specific objectives covered by the programme. Such contributions are considered separately from the bidding process.

3.2 Programme Objectives/Sub-Objectives breakdown

The programme will focus in particular on:

1. support for the international regimes, treaties and initiatives on nuclear, chemical and biological weapons which underpin global non-proliferation and disarmament.
2. assistance to States to adhere to and more effectively implement CBRN (Chemical, Biological, Radiological & Nuclear) security regimes, treaties and initiatives.
3. assistance States to integrate internationally recognised export controls into national legislation and encourage constructive engagement with Panels of Experts and other UN investigations to implement United Nations Security Council sanctions.
4. support for progress towards universalisation and more effective implementation of global conventional arms control and counter-proliferation treaties and obligations.
5. reducing illicit proliferation and diversion risks to make it as hard as possible for criminals, terrorists and illegal armed groups to access small arms, light weapons and ammunition (SALW/A).

3.3 Programme Indicators

Objective	Indicators
<p>1) Support for the international regimes, treaties and initiatives on nuclear, chemical and biological weapons which underpin global non-proliferation and disarmament.</p>	<p>Impact will depend on what project bids are received, but might include:</p> <ul style="list-style-type: none"> - improved adherence and implementation of articles related to UNSCR 1540, CWC, and the BTWC & other relevant international conventions or treaties including industry. e.g. verification, universality & transparency with remaining States acceding. - enhanced operational capabilities in the UNSGM and OPCW TS - improvements in the CTBT's verification regime - support to a productive NPT review process - enhanced capacity of BTWC ISU
<p>2) Assistance to States to adhere to and more effectively implement CBRN (Chemical, Biological, Radiological & Nuclear) security regimes, treaties and initiatives.</p>	<p>Impact will depend on what project bids are received, but might include:</p> <ul style="list-style-type: none"> - states adhere more effectively to international regimes, treaties and initiatives on CBRN Security - increased engagement by industry with international initiatives to improve physical and information security, leading to improved practices - improved security culture in academia, including knowledge sharing, laboratory practices, and Dual-Use Research of Concern
<p>3) Assistance to States to integrate internationally recognised export controls into national legislation and encourage constructive engagement with Panels of Experts and other UN investigations to implement United Nations Security Council sanctions.</p>	<p>Impact will depend on what project bids are received, but might include:</p> <ul style="list-style-type: none"> - more states integrate internationally recognised export controls into national legislation. - states develop mechanisms to increase their capacity to implement export controls. - more states constructively engage with Panels of Experts and other UN investigations to implement UNSC sanctions. - states and/or businesses better understand proliferation financing.
<p>4) Support progress towards universalisation and more effective implementation of global conventional arms control and counter-proliferation norms, treaties and obligations.</p>	<p>Impact will depend on what project bids are received, but might include:</p> <ul style="list-style-type: none"> - more states accede to the Arms Trade Treaty - the ATT third Conference of States Parties makes meaningful progress particularly around universalisation and implementation. - states demonstrate increased capacity to meet obligations under conventional weapon treaties.

<p>5) Reduce illicit proliferation and diversion risks to make it as hard as possible for criminals, terrorists and illegal armed groups to access small arms and light weapons and ammunition (SALW/A).</p> <p>(Projects are required to be Official Development Assistance (ODA) compliant – see section 2a)</p>	<p>Impact will depend on what project bids are received, but might include:</p> <ul style="list-style-type: none"> - SALW/A control regulatory and administrative frameworks are strengthened in ODA countries - improvements in physical security, management of state-held stockpiles and disposal of surpluses (including through destruction) result in reduced diversion of licit weapons to illicit market - strengthened law enforcement capability, including inter-agency coordination and cross-border joint operations reduce the availability and flow of illicit SALW/A and disrupt the activities of illicit actors.
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4. OPERATIONAL ARRANGEMENTS

4.1 Implementation Plan

Programme Activity	Timing	Responsible
Priority Projects (over £15,000)		
Call for bids	10 March 2017	Programme Manager
Concept bid deadline	24 March 2017	Programme Manager / Applicants
Concept bid results	04 April 2017	Programme Manager
Full bid deadline	02 May 2017	Programme Manager / Applicants
Full bid results	12 May 2017	Programme Manager
Tactical Projects (under £15,000)		
Open for bidding from	22 March 2017	Programme Manager / Applicants
Target for decisions	Two weeks from acceptance of bid	Programme Manager

4.2 Programme Budget

4.2.1 Total Annual Budget for Projects

In terms of “priority projects” under the strands covered by **Objectives 1-4** the programme funded projects with budgets ranging from £20,000 to £85,000 last financial year (Apr 2016-Mar 2017), with an average of around £50,000 per project. Under **Objective 5** projects were funded ranging £110,000 to £600,000 in financial year 2016-17, at an average of £320,000 per project. Applicants should take this as a general guide but not feel bound by this.

Project budgets must recognise any ODA spend requirements and end activity ahead of the end of the UK financial year 31 March 2018. Projects should also look to evenly profile spend to enable regular invoicing as much as possible.

4.2.2 Budget for Projects

As set out above, the programme fund will be split three ways in financial year 2017/18. The breakdown between types of projects will depend on the bids received, but the broad breakdown envisaged is set out below.

ITEM	TOTAL
4.2.2 Ongoing Projects	N/A
4.2.3 Projects approved but not started	£0
4.2.4 Priority Projects	£ TBC (est. 70% total)
4.2.5 Tactical Projects	£ TBC (est 10% total)
4.2.6 Support to International Organisations	£ TBC (est. 20% total)
TOTAL	TBC

4.3 Programme Staffing

The programme has one Programme Manager to manage the day to day operations of the programme. The programme also calls upon policy officers within Government in the assessment and oversight of projects.

The programme board is chaired by the Head of the Counter Proliferation and Arms Control Centre (CPACC) and formed of representatives from FCO, MOD and BEIS within CPACC.

4.4 Project Proposal Development.

It is highly recommended that would-be applicants discuss any ideas, whether within the design of this strategy or outside, with the relevant policy holder in the Counter Proliferation and Arms Control Centre (CPACC). If you are unaware who this is or have any general questions about the programme or the bidding process, please e-mail SPF.CP@fco.gov.uk.

4.5 Assessment.

Each proposal, particularly full bids, will be considered in line with the following criteria:

- **Design clarity, coherence and clear benefit to the host countries or region and the UK.** Projects should demonstrate measurable impact, sustainability and scalability.
- **The implementer's track-record, networks and expertise.** Where possible, projects should build on wider capacity building activities and seek co-funding but not simply duplicate efforts already being undertaken.
- **Strong host government(s) or organisational support and engagement.** Evidence of wider stakeholder support and engagement is desirable. We strongly support jointly funded projects.
- **Robust risk assessment.**
- **Clear, detailed budget aligned with activities providing clear value for money.** Strong proposals will spread the cost of the project throughout the year, and avoid, where possible, storing activity towards the end of the financial year (Jan-Mar 2018).
- **Robust and transparent monitoring and evaluation,** including clear baselines and opportunities for beneficiary input.

4.6 Risk Analysis and Management

The programme itself monitors spend throughout the year to manage the financial risks and uses progress reports from each project to monitor both the risks to projects and the overall programme.

Projects should ensure that their bids include clear risk management, in particular on three risks with the potential to affect their impact and the wider programme:

- the risk of variable or reduced engagement of key stakeholders
- the risk of the project failing to complete in the current financial year
- the risk for ODA eligible projects that less than 90% is completed by December 2017

4.7. Programme Monitoring & Evaluation Arrangements

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.

End of Financial Year Review

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

5 STAKEHOLDER MANAGEMENT & COMMUNICATION

The programme manages key relationships within the UK Government to communicate the progress of the programme and the impact delivered. The programme is also responsible for ensuring that this strategy is published in a timely fashion and the bidding process is clear to potential applicants. It is then responsible for ensuring that the reporting requirements are clear to successful bidders.

Project bids should be clear on who the principal stakeholders are for each project, how they have been engaged to date and plans to manage future engagement.

6. OTHER ISSUES/INFORMATION

Counter proliferation programme funding has changed for financial year 2017/18. This Programme is designed only to fund multi country, regional or global projects. Single country proposals can only be funded by HMG representation within the target country providing they have the resources to do so.

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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 Burkina 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 ⁽¹⁾ 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