

GOALS NOT GUNS

HOW THE SUSTAINABLE DEVELOPMENT GOALS AND THE ARMS TRADE TREATY ARE INTERLINKED



CASE STUDY 4

2017

THE 2030 AGENDA AND THE SUSTAINABLE DEVELOPMENT GOALS (SDG), A COLLECTION OF 17 INTERLINKED BROAD GOALS, AIM TO DELIVER A TRANSFORMED WORLD OVER THE NEXT 13 YEARS. THE SDGS FOCUS ON ENDING POVERTY AND HUNGER, PROVIDING CLEAN WATER AND SANITATION FOR ALL, BUILDING GENDER EQUALITY, ENSURING PEACE AND SECURITY, AND OTHERS WHICH PROMOTE SUSTAINABLE ECONOMIC DEVELOPMENT. THEY ARE INTENDED TO BUILD ON THE SUCCESSES ACHIEVED IN PURSUING THE MILLENNIUM DEVELOPMENT GOALS (MDG) UP TO 2015.

However, discussion of arms control issues in the SDGs has been limited, in general, to Goal 16.4 on reducing illicit arms in circulation. There is little or no consideration in UN circles of the contribution that the Arms Trade Treaty can make to a broad range of SDGs. Robust implementation of the ATT would contribute significantly to the SDGs by underpinning the achievement of many of its 17 goals.

There is a need to broaden the discussion and increase awareness of the full range of SDGs, the delivery of which can be substantially assisted through conflict and armed violence reduction, by means of the proper control of arms and arms transfers. This case study explores some of these additional synergies, and considers how faithful implementation of the ATT will positively impact on the achievement of a number of SDGs – including but not limited to Goal 5 on Gender Equality, Goal 11 on Sustainable Cities and Communities, and Goal 17 on Partnerships. All of these will have a positive effect on the achievement of Goal 1 on Poverty and Goal 2 on Reducing Hunger.

Both the ATT and the SDGs aim to make positive contributions to global society and development. They are comprehensively connected in vision and purpose. This case study identifies three specific ways in which these two global agreements are connected: in shared principles; complementary processes; and mutually re-enforcing activities.

The ATT and the SDGs share a similarity of purpose – both have been negotiated with outcomes at the global level, and delegate implementation to be undertaken at the national

level. Meaningful implementation of the ATT requires States Parties to rely on a number of tools and strategies put forward by the SDGs – and in turn, effective implementation of the ATT should contribute significantly to the achievement of key SDGs. Whereas this case study will explore the implications of positive meaningful implementation of both the ATT and the SDGs, this symbiotic relationship also serves as a caution – inadequate implementation of either the ATT or the SDGs would risk undermining the success of both.

COMMONALITY OF PRINCIPLES

The ATT and the SDGs share common principles. This stems from past experience of implementing the Millennium Development Goals¹ which were agreed by world leaders in September 2000 to lay down a roadmap to reduce extreme poverty. But progress was challenging. In 2011, a World Bank report found that “no low-income fragile or conflict-affected country has yet achieved a single MDG.”² At the end of the MDGs process in 2015, the 55 states that were conflict affected, fragile or in crisis, achieved on average only 2 out of 15 targets towards the MDGs.³ This experience helped inform the discussion of the ‘post-MDG’ development consensus, and the subsequent Sustainable Development Goals to emerge included specific indicators around good governance and stability. Notably, these concerns were also debated during the negotiation of the ATT, and as a result, many of these themes are embedded in the vision that the ATT has been designed to tackle.

The Preamble of the ATT recalls Article 26 of the UN Charter and calls on all governments to "promote the establishment and maintenance of international peace and security with the least diversion for armaments of the world's human and economic resources".⁴ The Preambular clauses further acknowledge that "development, peace and security and human rights are interlinked and mutually reinforcing".⁵

In the operational clauses, the "Object and Purpose" (Article 1) of the ATT identifies four aspects of direct relevance to the SDGs – namely to:

- "Prevent and eradicate the illicit trade in conventional arms and prevent their diversion";
- "Contributing to international and regional peace, security and stability";
- "Reducing human suffering"; and
- "Promoting cooperation, transparency and responsible action by States Parties in the international trade in conventional arms..."⁶

These elements are a succinct reminder of the problems the ATT aims to address.

A number of commonalities can be found across the SDG framework which are resonant with these ATT goals and objectives. The most obvious link is with Goal 16 on "Peace, Justice and Strong Institutions". The targets of specific relevance associated with Goal 16 include:

- Target 1: "Significantly reduce all forms of violence and related death rates everywhere";
- Target 4: "By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime";
- Target 6: "Develop effective, accountable and transparent institutions at all levels";
- Target 7: "Ensure responsive, inclusive, participatory and representative decision-making at all levels"; and
- Target 11: "Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime".

Within the broader context of the SDGs, this goal serves to reinforce the link that peace and security, supported by accountable and responsive institutions, are at the very core of sustainable development. There is ample evidence of the negative impact of armed violence and weak institutions on development processes and investments.⁷ By making this link explicit within both the ATT and the SDGs, there is a conscious recognition that strategies to address conflict and armed violence (or indeed arms transfers that fall foul of the ATT) are informed and shaped by a country's development and security needs.



There is also a link between the ATT Goals and Objectives (ATT Article 1) and SDG 5 on Gender Equality – with a specific emphasis on Target 2 which aims to “Eliminate all forms of violence against all women and girls in the public and private spheres...”.⁸ There is a clear degree of reciprocity between this SDG Target and the ATT’s objective to reduce human suffering, and to reduce the availability of illicit conventional arms which can be used to facilitate acts of gender based violence.

An additional link is found in SDG 11 (Target 7) on Sustainable Cities and Communities, which seeks to make urban spaces safe from physical and sexual violence. Reducing the availability of illicit arms – as the ATT aims to achieve – will assist achievement of this goal.

COMPLEMENTARITY OF PROCESSES

There are a number of areas where the ATT and SDGs overlap – meaningful implementation of one will contribute positively toward attaining the goals of the other.

The first of these aspects is in the implementation of assessing the risks of arms “being used to commit or facilitate serious acts of **gender based violence** or serious acts of violence

against women and children” in the ATT.⁹ There is a clear and unambiguous link between this obligation in the ATT, and Goal 5 of the SDGs on “Gender Equality”. Target 1 of Goal 5 aims to “End all forms of discrimination against all women and girls everywhere”.¹⁰ Target 2 seeks to “Eliminate all forms of violence against all women and girls in the public and private spheres...”.

A second area of complementarity is in the implementation of **imports** obligations in the ATT. Paragraph 2 of Article 8 in the ATT obligates States Parties to “take measures that will allow it to regulate, where necessary, imports under its jurisdiction of conventional arms”.¹¹ Regulation of imports is likely to require a number of elements, including for example transparency of decision-making and procurement, and budgetary oversight. In addition, officials of the importing country must also be able to explain how the full range of risks (as contained in Article 7 of the ATT) will be mitigated, from corruption and diversion to threats to peace and security and gender-based violence.

In order to undertake these steps, there is a need for the requisite legislative, administrative, and legal frameworks that, for example, provide customs officials the right training and resources to control borders effectively. They must also be regularly paid and well supervised. Other key aspects should also include:



A YOUNG SOMALI GIRL RUNS IN FRONT OF AN AFRICAN UNION MISSION IN SOMALI (AMISOM) ARMOURD PERSONNEL CARRIER, MOGADISHU, SOMALIA.

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- Regulations put in place to ensure that arms and ammunition can be registered as entering the country and transferred securely to the end user;
- Stockpiles of arms need to be safely and securely stored, with measures in place to account for arms held to prevent diversion;¹²
- Security forces need good training and regular pay to remove incentives for the diversion of arms; and
- Regular Parliamentary scrutiny over arms procurement and transfers.

Without such robust oversight and regulatory mechanisms in place, ATT States Parties will find it challenging to meaningfully live up to their ATT obligations – and consequently, their SDG obligations.

Each of these components described above are also essential to sustainable development. Conscientious implementation of ATT-related import obligations will have positive impacts on specific SDGs. For example, activities taken to secure stockpiles (to assure prospective exporters that the risk of diversion has been addressed) will strengthen government control over these items, thereby reducing diversion.¹³ This will, in turn, reduce access to arms to non-state groups, improving stability and reducing the impact of armed violence on economic growth. These elements form the core of Goal 16 of the SDGs on Peace and Security – with specific links to Target 1 (to significantly reduce all forms of violence); Target 4 (reduce illicit financial and arms flows); and Target 5 (reduce corruption).

In addition, the SDGs require measures that promote development through effective governance. Target 6 of Goal 16 (Peace, Justice and Strong Institutions) focuses on effective, accountable and transparent institutions, with a specific indicator to track budget transparency and government expenditure (both planned and ad-hoc).¹⁴ Such measures promote good governance, a key indicator for socio-economic development, and also key to the effective control of arms transfers and arms stockpiles, thus strengthening both the ATT and SDGs simultaneously.

The third area of complementarity is in the implementation of **Record Keeping and Reporting** obligations.¹⁵ A key element of the ATT obligations on States Parties is to develop effective systems for data gathering, monitoring, and comprehensive records of transfers, systems, and institutional processes. These systems are critical for keeping track of transfers coming in and out of the country, as well as the preparation of the obligatory initial and annual reports. Keeping clear, consistent records for sufficient time is vital to effective treaty implementation, and also to ensure that States can demonstrate to each other that they are effectively implementing treaty obligations. Transparency of this kind makes the diversion of arms much harder, and the identification of arms in the black or grey markets much easier.

This matches Targets 18 and 19 of Goal 17 of the SDGs – which aim to strengthen statistics, data gathering and assessment capacity.¹⁶ Though the SDGs focus specifically on gathering data to assess progress on the sustainable development indicators, the national systems, legislation, and institutional capacity necessary to meet this objective can built upon meet the needs of the ATT's obligations on record-keeping.

Article 14 of the ATT on "Enforcement" also finds considerable linkages with Target 3 of Goal 16 on promoting the "rule of law at the national and international levels",¹⁷ and Target A of Goal 16 which aims to "strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime."

States need to ensure that they have sufficiently robust systems in place to deter breaches of the ATT and enforce national implementation measures. These systems must be 'fit for purpose', be aligned toward realising the goals and objectives of the ATT, and to uphold IHL obligations. For example, criminalisation of illicit transfers is essential, as are sufficient penalties, as well as resources deployed to ensure that breaches identified and prosecutions happen. Effective sanctions for corruption and for the diversion of arms are also essential. Such measures, particularly on corruption, will have an impact beyond arms control in much wider questions of governance and economic management for development. Importantly, these measures must be strongly and equitably enforced in order to fulfil obligations under the ATT.

MUTUALLY REINFORCING ACTIVITIES

The ATT and SDGs are both agreements that require implementation by States at the national level. The ATT mandates that a national control system be established to regulate transfers of arms into or out of the territory or jurisdiction of a State Party. Crucially, this control system must be capable of meeting the terms of the Treaty, including provisions on preventing corruption, diversion of arms from the intended end user, either to unauthorised State users, or for the purposes of terrorism or organised crime, or into the general black market. Where there is a risk that transfers could violate the criteria set out in the ATT, then exporting and importing countries must work together to mitigate that risk, or transfers cannot go ahead. This means that States must work to improve issues like stockpile safety and security; transparency and oversight of procurement, as well as other appropriate security sector reform measures to enable them to meet the terms of the Treaty when conducting arms transfers.

Official Development Assistance can support the institutional capacity building or training activities in countries with low capacity and resources. Countries wishing to implement ATT-related activities should work with donors to secure technical and financial resources. In 2015, the total ODA expenditure on

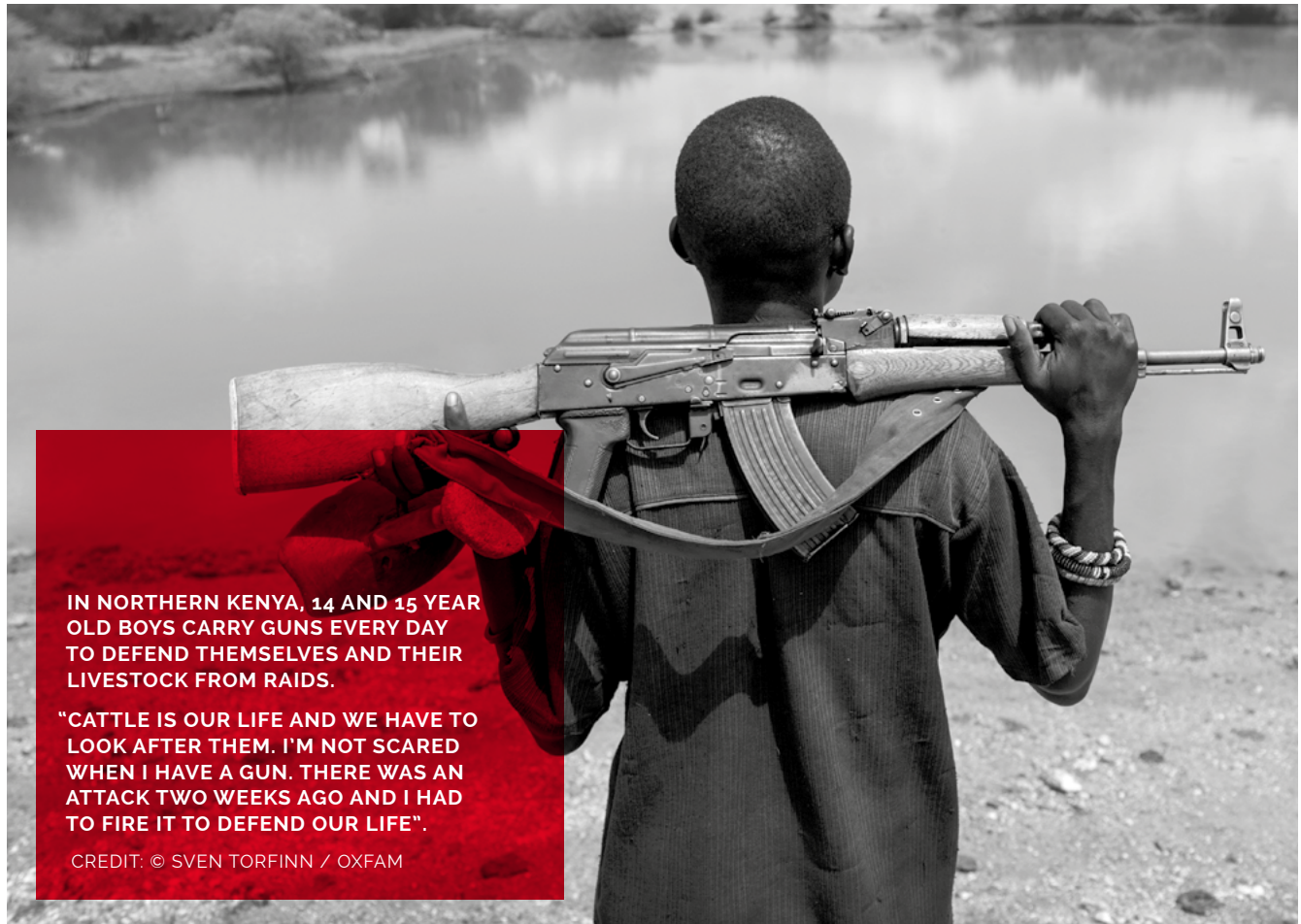
Security Sector Reform activities – which included activities of direct relevance to ATT implementation – amounted to US\$972 million.¹⁸ While not all that amount was – or should have been allocated toward ATT-relevant activities, it is an additional channel for prospective States Parties to consider. This is especially relevant if there are targeted projects that can have additional benefits in realising specific objectives of the SDGs. For example, effective customs measures to control the transfer of arms can be easily adapted for all goods controlled by customs.

Of relevance is record-keeping and reporting (Articles 12 and 13) in the ATT, with its counterpart link the SDG target to improve data gathering and statistical capacity (Goal 17.18 and Goal 17.19). The lack of these comprehensive data gathering and analysis systems in ATT States Parties has contributed toward the gap in submitted initial and annual national reports. There remain questions about the capacity of some ATT States Parties to gather the relevant data and process them meaningfully to derive the information necessary to fill in the

obligatory reports for the ATT.¹⁹ This issue is also recognised by the SDGs as a key hurdle to clear.²⁰ Only 81 of 154 countries – for which information is available – were implementing national statistical plans in 2016.²¹

To address this challenge, developing countries received \$153 million in ODA from DAC donors for statistics capacity building.²² By accessing this targeted assistance and strengthening their national systems to collect and analyse relevant data, countries can meet their obligations under both the ATT and the SDGs.

As this example has shown, there are opportunities to address complementary obligations through ODA funding. Some of the other potential areas of ATT and SDG implementation that could mutually benefit from targeted ODA assistance has been explored in the table below. For example, through the DAC-channel on "Reintegration and SALW control" projects can address concerns such as diversion (ATT Article 11), and illicit small arms proliferation (SDG 16.4).



IN NORTHERN KENYA, 14 AND 15 YEAR OLD BOYS CARRY GUNS EVERY DAY TO DEFEND THEMSELVES AND THEIR LIVESTOCK FROM RAIDS.

"CATTLE IS OUR LIFE AND WE HAVE TO LOOK AFTER THEM. I'M NOT SCARED WHEN I HAVE A GUN. THERE WAS AN ATTACK TWO WEEKS AGO AND I HAD TO FIRE IT TO DEFEND OUR LIFE".

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DAC Code	Type of Activity	SDG	ATT
	Security system management and reform		
15210	Technical co-operation provided to parliament, government ministries, law enforcement agencies and the judiciary to assist review and reform of the security system to improve democratic governance and civilian control	Goal 16.3 Goal 16.6 Goal 16.A	Article 5.5 Article 14 Article 15
	technical co-operation provided to government to improve civilian oversight and democratic control of budgeting, management, accountability and auditing of security expenditure, including military budgets, as part of a public expenditure management programme;	Goal 16.6	Article 12 Article 14
	assistance to civil society to enhance its competence and capacity to scrutinise the security system so that it is managed in accordance with democratic norms and principles of accountability, transparency and good governance	Goal 16.3 Goal 16.6	Article 1 Article 5.5
	Participation in international peacekeeping operations		
15230	monitoring or retraining of civil administrators and police forces	Goal 16.3 Goal 16.6	Article 5.5 Article 13.1 Article 16.2
	security sector reform and other rule of law-related activities	Goal 5.1 Goal 11.7 Goal 16.1 Goal 16.3 Goal 16.4	Article 5.5 Article 8 Article 13.1
	training in customs and border control procedures	Goal 16.6 Goal 16.A	Article 5.5 Article 8 Article 9 Article 16.2
	repatriation and demobilisation of armed factions, and disposal of their weapons	Goal 16.4	Article 5.5 Article 11 Article 13.2
	Reintegration and SALW control		
15240	technical co-operation to control, prevent and/or reduce the proliferation of small arms and light weapons (SALW)	SDG 16.1 SDG 16.4	Article 5.5 Article 11 Article 13.2
	Statistical capacity building		
16062	National statistical offices and any other government ministries	SDG 17.18 SDG 17.19	Article 12 Article 13

CONCLUSIONS

The ATT and the SDGs are clearly linked. Whereas this case study has shown meaningful implementation of one is likely to lead to positive outcomes for the other, this symbiotic relationship also serves as a caution - inadequate implementation of either the ATT or the SDGs would risk undermining the success of both.

These links enable targeted activities to be undertaken to meet obligations set by both frameworks. There are a number of areas where there is an alignment of principles such as transparency, rule of law, and to reduce suffering.

This case study has also identified a number of specific areas where technical and financial assistance can be seen to have broader benefits beyond just the ATT or the SDGs alone. Further, using routes like ODA funding can improve the capacity of some governments to become compliant with the ATT and/or meet the targets set forth by the SDGs.

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**UN MISSION IN SOUTH
SUDAN ON PATROL IN
WEAPONS FREE ZONE.**

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ENDNOTES

- 1 United Nations (2015), "Background – Millennium Development Goals", <https://www.un.org/millenniumgoals/bkgd.shtml>
- 2 World Bank (2011), "World Development Report 2011 – Conflict, Security and Development", Washington DC, pg.5, https://siteresources.worldbank.org/INTWDRS/Resources/WDR2011_Full_Text.pdf
- 3 Centre for American Progress and Save the Children (2015), Fragile Progress. The Record of the Millennium Development Goals in States Affected by Conflict, Fragility, and Crisis by John Norris, Casey Dunning, and Annie Malknecht, available at http://www.savethechildren.org/atf/cf/%7B9def2ebe-10ae-432c-gbd0-df91d2eba74a%7D/FRAGILESTATES-REPORT_WEB.PDF
- 4 Preamble Paragraph 2, Arms Trade Treaty (2013)
- 5 Preamble Paragraph 6, Arms Trade Treaty (2013)
- 6 Article 1: "Object and Purpose", Arms Trade Treaty (2013)
- 7 See for example research by Oxam: [Africa's Missing Billions (2007); Shooting Down the MDGs (2008); The Final Countdown Compendium (2012)], World Bank [World Development Report (2011)], UNDP: [Rule of Law Global Programme Annual Report (2014)], and the Geneva Declaration on Armed Violence and Development: [The Global Burden of Armed Violence (2015)].
- 8 SDG 5 Target 2
- 9 Arms Trade Treaty, Article 7, Paragraph 4
- 10 SDG 5, Target 1
- 11 Arms Trade Treaty, Article 8, Paragraph 2.
- 12 United Nations (2015), Small arms and light weapons: Report of the Secretary-General, pg. 9-13 www.securitycouncilreport.org/atf/cf/%7B65BFCF9B-6D27-4E9C-8CD3-CF6E4FF96FF9%7D/s_2015_289.pdf
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- 15 Article 12 and 13 of the ATT
- 16 Target 18 and 19, SDG 17 "Strengthen the means of implementation and revitalize the global partnership for sustainable development"
- 17 Target 3, Goal 16
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- 19 ATT Monitor Report 2016, Chapter 3.1, pg. 76
- 20 ECOSOC (2017), "Progress towards the Sustainable Development Goals - Report of the Secretary-General", E/2017/66, 11 May 2017, http://www.un.org/ga/search/view_doc.asp?symbol=E/2017/66&Lang=E
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