



## **Comprehensive Study on the adequacy, effectiveness and sustainability of financial and technical assistance, including the transfer of technology and equipment, particularly to developing countries since 2001, for the full implementation of the Programme of Action**

### **Input by Switzerland**

Consideration of paragraph 38(n)(i) of the Report of the Fifth Biennial Meeting of States to Consider the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (A/CONF.192/BMS/2014/2) with regard to the request to the Secretariat “to carry out a comprehensive study on the adequacy, effectiveness and sustainability of financial and technical assistance, including the transfer of technology and equipment, particularly to developing countries since 2001, for the full implementation of the Programme of Action, and to submit this study for discussion at the open-ended meeting of governmental experts in 2015 and consideration at the Sixth Biennial Meeting of States (2016)”.

#### **1. General considerations**

When considering financial and technical assistance, including the transfer of technology and equipment, Switzerland is of the opinion that a certain set of criteria need to be fulfilled in order to enable more effective and efficient control of small arms and light weapons. These criteria ensure that international assistance meets the local needs and capabilities (adequacy), is target-oriented (effectiveness) and becomes an integral part of the recipient states' national procedure for life-cycle management in accordance with international standards (sustainability).

In this regard and as stated also at the MGE2, Switzerland encourages member states to exercise due diligence when providing financial or technical assistance. Assistance practices need to be inclusive in a way that national priorities of beneficiary countries are respected and national authorities are involved in the entire cycle of project planning and implementation. The assistance provided needs to be in conformity with local structures and procedures and accompanying measures such as capacity-building for the involved personnel and maintenance of the transferred technology or equipment need to be guaranteed.

Another important issue is the relationship between donor and recipient state and the terms for the provision of assistance which shall be clearly defined prior to any activities. This may include the legal bases for the provision of assistance for the assisting State as well as a legal framework regulating the relationship between donor and recipient State.

Furthermore the provision of financial and technical assistance requires a significant level of coordination. Since there are often several donor countries, international or regional organizations and non-governmental organizations providing assistance in the same country, coordination between assistance providers at the country level with the full inclusion and ownership of the host state is indispensable for sustainable results. To prevent duplication, coordination shall already begin in the early project planning phase.

In its input to this study, Switzerland wishes to reflect on what an adequate, effective and sustainable assistance might comprise, particularly in the case of transfer of technology and equipment as physical goods but also as knowledge/capability.

## 2. Definitions

In order to have a common understanding of the concepts of *adequacy*, *effectiveness* and *sustainability* as set out in paragraph 38(n)(i) of the BMS5 Outcome Document as well as in paragraph 53 of the Chair's summary of MGE2, Switzerland, for the purpose of this input, understands them as follows:

### i) Adequacy

In its efforts towards capacity-building, Switzerland endeavours to provide only the type of support which is needed by and complementary to existing capabilities of the recipient state. Adequate hence intends to capture the concept of *need* in relation to the support provided. A need can only be confirmed if a proper assessment has been performed and relevant gaps are identified. The need-based approach presupposes that a group of relevant experts perform a needs-assessment, which closely involves the recipient state. Pending such an assessment, no assistance including transfer of technology and capability can claim to be adequate.

### ii) Effectiveness

At its simplest effectiveness can be viewed as “doing the right thing”. In a more sophisticated way, effectiveness can be defined as “*the degree to which something is successful in producing a desired result*”; hence it represents the ratio between the impact of a process and the desired end state. Under the given definition, effectiveness can only be measured if an end state has been defined. Accordingly, Switzerland considers it essential that donor and recipient states agree on an end state at an early stage. It will then be possible to measure the impact of the contribution against the desired end state.

Switzerland additionally emphasizes the relevance of efficiency or of “doing the thing right”. A measure is considered efficient if the ratio between the means invested and the results (desired end state) is in balance.

### iii) Sustainability

In the context of capacity-building, Switzerland understands sustainability as the capacity of a state to take up new technologies/capabilities provided in the framework of international assistance and to maintain their performance at the desired level without external support. Since the performance at the desired level implies a multitude of factors such as personnel, training, maintenance, management etc., sustainability is only warranted if the technology/capability is comprehensively built into the recipient's system.

## 3. Conditions for adequacy, effectiveness and sustainability of financial and technical assistance

In order to achieve the objective set out in paragraph 38(a) of the Report of BMS5 with due consideration of the requirement of adequacy, effectiveness and sustainability, Switzerland believes that cooperation and assistance, particularly technical and financial assistance, and the transfer of technology and equipment, should be based on a number of criteria set out below. These must be assessed in relation to the kind of assistance provided. Successful capacity-building therefore requires the existence or establishment of these criteria in the framework of the provision of assistance.

### i) Normative framework

In order to perpetuate its implementation, a technology/capability provided in the framework of assistance activities needs to be anchored in a relevant normative framework of the recipient state. This framework may include legal provisions, directives, instructions and/or standard operating procedures. These written provisions provide for the repeatability of activities performed with the transferred technology/capability hence ensuring security in the implementation of the activity.

Adapting the normative framework to the transferred technologies/capabilities also ensures that there is no discrepancy between legal requirements for the application or use of the

transferred technology/capability and available technology/capability itself thus providing operators with the necessary security to operate with the transferred technology/capability.

ii) Structures and procedures

Besides the existence of a defined normative framework, the uptake of a new technology/capability provided in the framework of assistance activities implies that dedicated structures and procedures within the respective services can support or be enabled to support the transferred technology/capability. These services should be characterized by adequate and robust organizational structures with defined tasks, competencies and responsibilities related to the transferred technology/capability as well as the ability to design, implement and, if necessary, adapt relevant standardized procedures. Additionally, there is a need to involve various entities on various levels, namely in the decision-making and management processes (e.g. entity deciding on further acquisition, allocation etc.), in the core process (e.g. entity implementing or using the assistance) and in the support processes (e.g. entities responsible for human resources, finances, maintenance, logistics etc.).

The lack of dedicated structure in any of the three levels (management, core and support processes) will invariably lead to the discontinuation of the use of the technology/capability transferred in the framework of the assistance activities.

iii) Training

The uptake of a technology/capability transferred in the framework of assistance activities presupposes the availability of personnel adequately trained in its use and implementation. Training alone however is barely sufficient to ensure sustainability. Sustainability requires that the knowledge is systemically integrated in the recipient state's relevant services. Practically, this may be ensured by integrating assisting trainers/experts as well as local trained experts in a dedicated training institution and by establishing a training curriculum. In order to be able to evolve from pure knowledge to know-how, the knowledge should be managed and developed. Sustainability therefore also implies that the training institution establishes a related structure (e.g. doctrine, knowledge development).

iv) Equipment including maintenance

When considering to provide assistance (especially in the form of technical assistance and transfer of technology/capability), it is of utmost importance to ensure that the related equipment is adequate for the specific conditions prevailing in the recipient state. This may include such factors as the availability of spare parts, the existence of sufficient operation and maintenance capabilities and the availability of personnel and resources.

v) Personnel management

When transferring a technology/capability in the framework of assistance activities personnel management is key to ensure its sustainable application and use. On the one hand, a sufficient amount of adequately trained personnel should be allocated to implement the transferred technology/capability. The personnel allocation issue is related to the structural criteria mentioned above which points at the need to establish dedicated structures. On the other hand, sustainability requires that the risk of knowledge loss due to the changes of personnel (e.g. rotation, natural wastage, retirement etc.) is compensated by proper personnel management. Farsighted personnel planning and allocation will ensure long-term exploitation of the provided technology/capability.

vi) Finances

The uptake of a new technology/capability provided in the framework of assistance activities may either raise or reduce the costs of an operation. Independently of the effect on resources, a proper allocation of finances will be needed to operate it. The financial allocation is the purview of the management entity as referred to in point 3(ii) above. The financial allocation should encompass not only the application or use of the technology/capability but also the costs related to training, personnel, maintenance, management etc. as well as those related to the reorganization process. Without the proper financial allocation no system can operate sustainably.

vii) Infrastructure

The existence of an adequate infrastructure to perform the operations related to the transferred technology/capability is essential. This includes the physical locations where operations, maintenance, training etc. is conducted and all other related network requirements.

**4. Conclusion**

At MGE2 states considered international cooperation and assistance including the transfer of technology and equipment to be a central component for the full and effective implementation of the Programme of Action and the International Tracing Instrument. Switzerland shares this view to its full extent. However, as this input highlights, Switzerland is convinced that cooperation and assistance presupposes considerable and detailed planning in many fields in order to be sustainable, effective and adequate. A relevant institutional framework needs to exist or to be built up in the framework of the provision of assistance. Otherwise the cooperation and assistance activities risk falling short of the requirements of adequacy, effectiveness and sustainability.

While donor states may support recipient states in performing the necessary assessments and in providing the adequate assistance, there should be a significant level of local ownership by the recipient state in order to ensure efficiency and sustainability. Many of the reforms which are needed for the uptake of a technology/capability require complex administrative adaptations. These reforms can only be successful if they are run in close cooperation and with considerable political buy-in by the local authorities.

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