

PEACE AND SECURITY INITIATIVE

PEACE AND SECURITY COMMUNITY SURVEY

EXECUTIVE SUMMARY

The Peace and Security Initiative (PSI), a collective effort between funders and non-governmental organizations (NGOs) to increase the impact of the peace and security community, recently completed an assessment of the field's ability to design and implement strategies and activities to promote disarmament, arms control, international treaties and peace efforts. The results demonstrated that the field has areas of strength as well as particular needs that must be met through better targeted and additional funding.

RECOMMENDATIONS

While the NGO community has rich assets in providing high quality analysis and policy recommendations, there are several areas that should be enhanced to improve the effectiveness and impact of the community. Addressing these needs would enable robust public policy debate in the United States, ensure a full hearing for analyses and policy recommendations, and lead to positive changes in national security policies.

Three key activities required for effective policy change are:

- Promoting alternative policy approaches directed at national decision-makers
- Using the media to raise the profile of appropriately framed issues with the public
- Engaging grassroots activists to ensure constituent pressure on decision-makers

Focusing on three key needs identified by the community would ensure that NGOs are better positioned to achieve policy impact by working collaboratively to leverage each other's assets.

Increase Grassroots Funding – There is a disproportionately low percentage of funding provided to the grassroots community as compared to policy and advocacy organizations (\$5M out of \$48M in total funding). Community based organizing is needed to expand the peace and security community's political power and ability to effectively influence outcomes. Growing the grassroots in key geographies would support efforts to change policy in Washington, D.C. by providing the necessary external pressure and political capital to catalyze change.

Unleash Promise of Technology – NGOs must upgrade and improve their computer capacity and leverage the power of the Internet. Doing so will enable the community to better collaborate across sectors, diversify funding sources through e-Fundraising, and increase its public reach through e-Advocacy and e-Activism.

Generate Effective Media and Messaging Capacity – Less than half of the NGOs have dedicated media staff and programs. Resources are needed to develop effective messages and expand the experts available to speak to the media. This would work to counter the current media saturation with conservative spokespeople and encourage public debate on key issues.

SUMMARY OF ASSETS AND NEEDS

The survey included results from more than 40 NGOs and 18 funders. Numerous questions provided substantial information on the field's capacity and skills as well as the current funding landscape.

Programmatic and Community Priority Alignment: Current allocations of resources to programmatic areas align with many of the selected community priority issue "campaigns" for 2005. The community has rich assets in providing high quality analysis and policy recommendations. Organizations, however, require additional resources to ensure the translation of these analyses into messages for other non-expert and unconverted audiences.

Communications Capabilities: The community needs to develop expertise in learned messaging techniques, so that it can work to increase the knowledge, passion and commitment of the public to actively support peace and security policy objectives.

Leveraging Technology: Approximately half of the organizations use websites to enable their members to send messages directly to policy makers (e.g., Members of Congress). Wise technology investments would help the community amplify the impact of its activities by helping organizations coordinate action alerts, keep abreast of developments and ensure consistent messaging.

Media Outreach Capacity: The field lacks dedicated media staff and programs to ensure that effective messages and messengers are being heard and influencing public discourse. There is a lot of room to increase contacts with media and editorial boards and to develop positive, proactive messages that will translate into impact with non-expert interlocutors.

Funding Sources: Current funding for the field relies heavily on a limited number of foundations and other donors. Foundations provide almost half of the field's current \$48M in annual resources. Diversifying funding sources for NGOs can create greater organizational stability and consistency in programmatic activities and other efforts.

Resource Allocation: There is a disproportionately low percentage of funding provided to the grassroots (\$5M out of \$48M). Lack of substantial, increased funding for grassroots organizations limits the community's ability to effectively influence outcomes using a comprehensive and integrated approach. Supporting the grassroots requires bringing new funding into the field as reducing funding for policy analysis and research would undercut efforts to provide strong, alternatives to the current military and national security agendas.

PEACE AND SECURITY INITIATIVE

PEACE AND SECURITY COMMUNITY SURVEY RESULTS

CONTEXT

In 2003, during the strategic planning phase of the Peace and Security Initiative (PSI), understanding how resources were allocated in the community was identified as a key piece of information for appropriately addressing community needs. Better understanding this landscape is a necessary step in crafting and implementing realistic plans. The *Peace and Security Community Survey* was developed as a tool to help understand how the organizational resources of both funders and non-governmental organizations (NGOs) are allocated across program areas. The survey helps to identify community assets and needs that influence the potential for successful collaborative work. The information provided on programmatic priorities informed the ongoing community dialogue on identifying opportunities for collaborative efforts (c.f., *Peace and Security Community Priorities for 2005* poll).

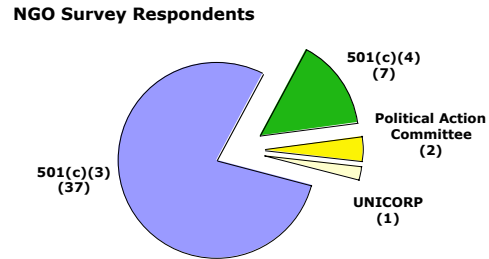
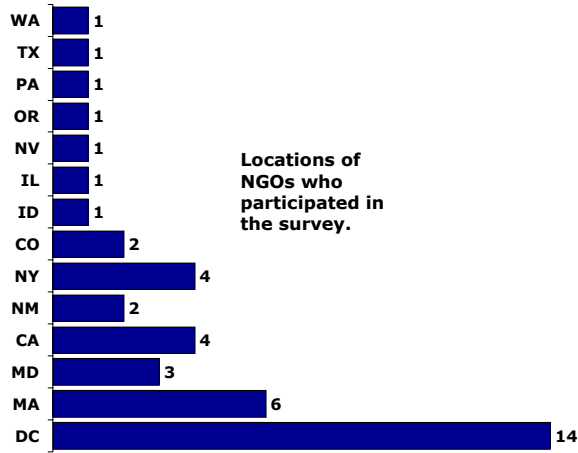
The survey was conducted over a five-month period (May – September 2004) and the responses represent a snapshot of the NGO and funder community during that time. After our initial review of the data (presented at the July 19, 2004 PSI meeting) we identified areas to gather more information and conducted additional research.

The PSI's Implementation Team thanks everyone who participated in the survey and contributed to this resource for better understanding the state of the community. Over 40 NGOs and 18 funders provided direct data. We offer special thanks to Henrike Paepcke of the Peace and Security Funders Group for providing additional information on foundation funding and substantially enhancing the quality of the analysis.

Analysis of NGO Responses:

WHO ARE THE NGOs?

The 43 NGOs who completed the Community Survey represent a diverse range of organizational structures, locations and budgets. See Appendix 2 for the complete list of survey respondents.



Membership vs. Non-membership Organizations

Of the total number of respondents, 24 groups or 54% have self-defined “members” while 19 groups indicated they do not have members.

The raw numbers identify **307,500 US members** and **195,000 International members**.

There were **571,500 email constituents** that were identified separately from “members”.

BUDGETS

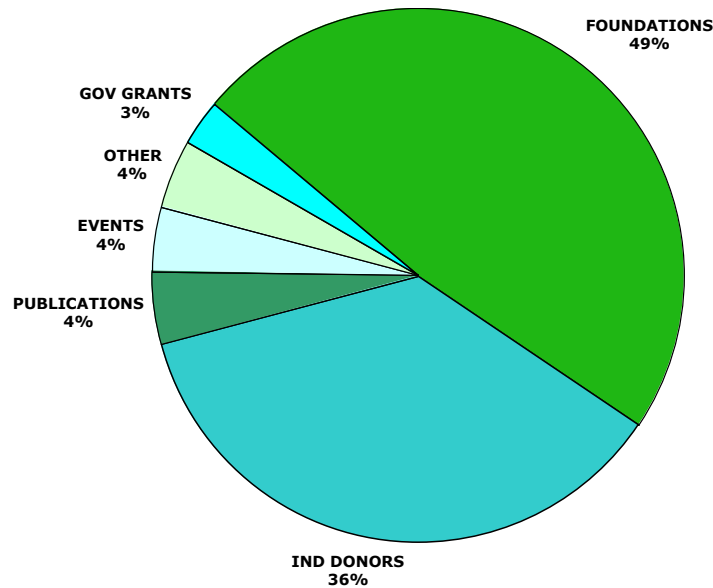
Total amount of money available in 2003 for organizational budgets was \$71.8 M. **\$48.2 M or 67% of that was available for Peace and Security work.**

The yearly budgets ranged from \$3,000 to \$21 M per year.

Organizations	Budgets
3	less than \$100,000
8	between \$100,000 and \$200,000
5	between \$200,001 and \$300,000
5	between \$300,001 and \$500,000
11	between \$500,001 and \$1 million
5	between \$1 million and \$3 million
5	more than \$3 million

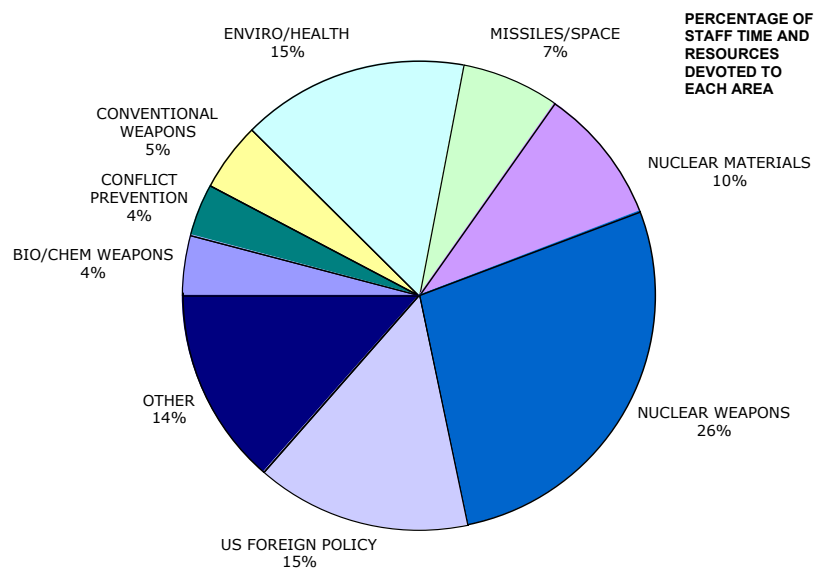
FUNDING SOURCES

Foundations provide almost half (49%) of the funding for the NGOs with the next largest source (36%) coming from individual donors. This is a weakness in funding and leaves the NGOs vulnerable to abrupt changes in foundation priorities and the stock market. Expanding the individual donor-base and further diversifying funding sources could help stabilize organizational budgets.



PROGRAM PRIORITIES

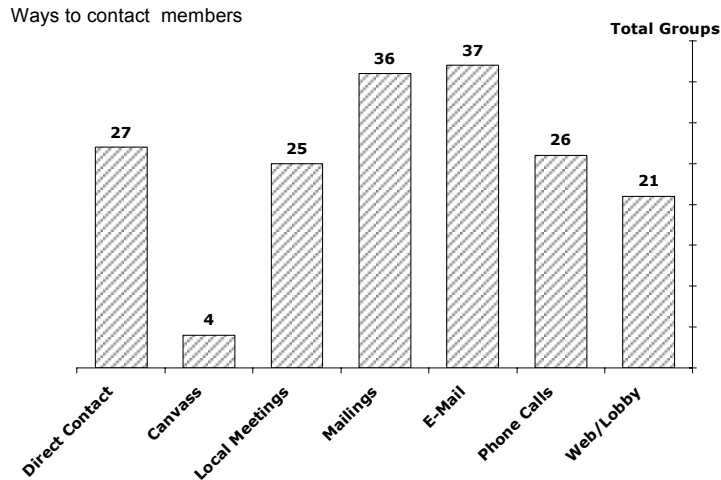
The survey captured a snap shot of program priorities -- first from the spring of 2004 and then from the fall of 2004. There was a shift in priorities based on the Iraq war and the dynamics leading up to the 2004 elections. (The priorities were further explored in the *Peace and Security Community Priorities for 2005* poll¹ conducted in October, 2004). However, the percentage of staff time and resources devoted to program areas remained mostly stable.



¹ For poll results, please see <http://www.peaceandsecurityinitiative.org/PSI%20Poll%20Results.pdf>

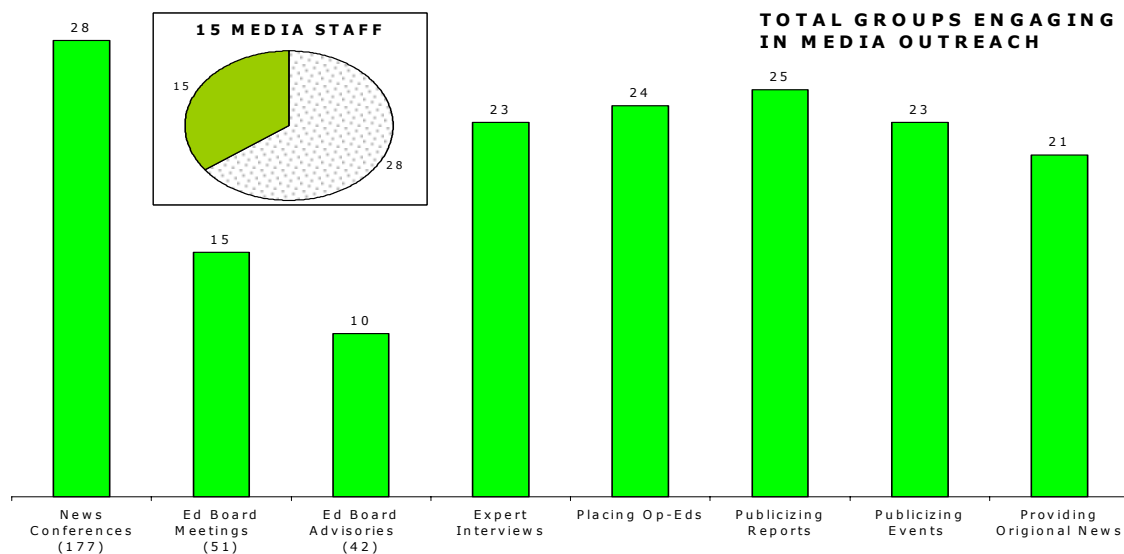
TOOLS FOR REACHING AND ACTIVATING MEMBERS

The primary means of reaching and mobilizing the grassroots is through email followed closely by mailings. Approximately half of the respondents are now using web pages that allow their members to send messages directly to policy makers. The challenge is in supporting these efforts by providing access to best practices and resources to support efforts at changing the political landscape through public education and advocacy to influence policy decision makers and influencers.



MESSAGES AND MEDIA PROGRAMS

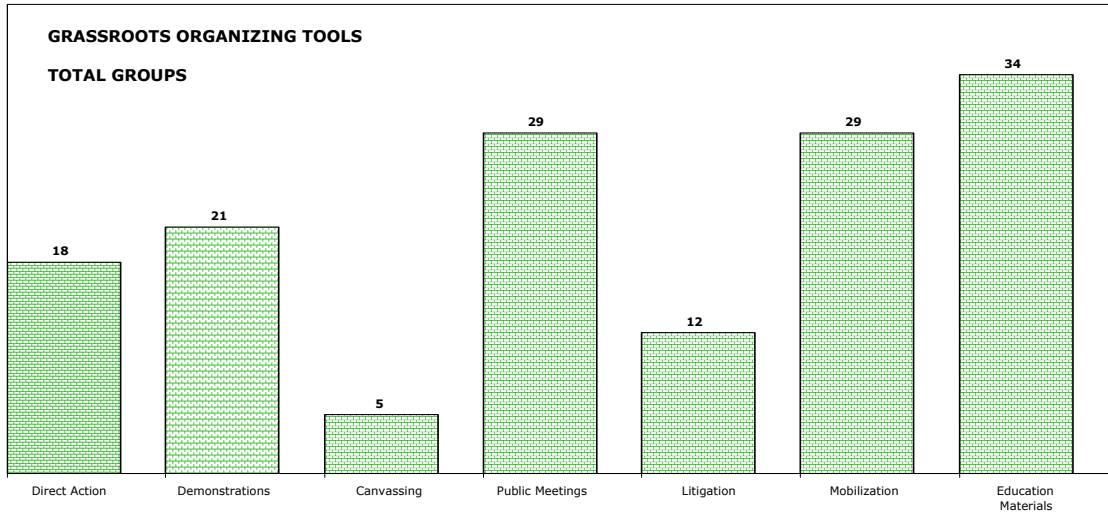
More than half the NGOs have engaged in some sort of media outreach during 2003. However, there are only 15 groups with a paid media staff person.



The respondents collectively held 177 press conferences during 2003, however, there were only 51 Editorial Board Meetings and only 42 Editorial Board Advisories. This appears to be a gap in our community efforts. Beyond access to media, messaging (or the content of what is said once access is gained) remains another area of need.

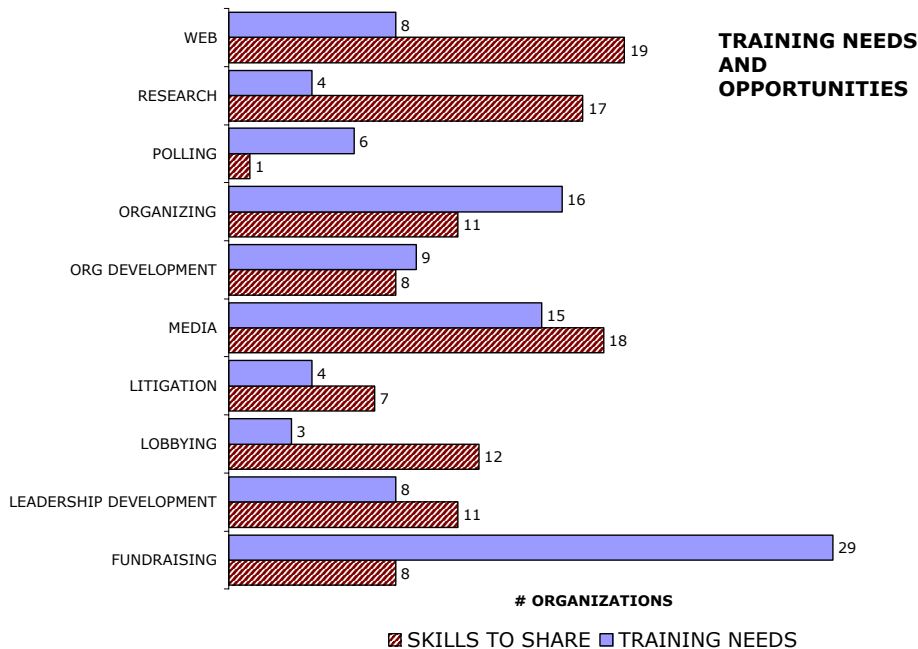
GRASSROOTS ORGANIZING

Grassroots groups are using a range of organizing tools to engage their constituency. Groups are combining traditional public education tools with litigation and direct action to impact their issues.



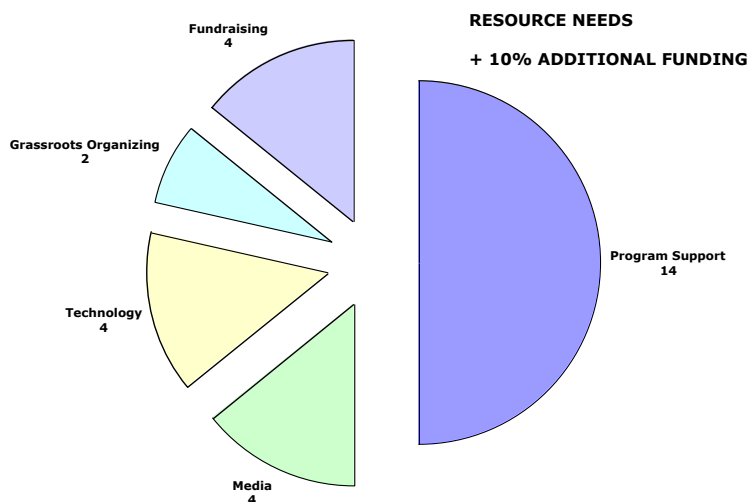
CAPACITY BUILDING NEEDS AND SHAREABLE SKILLS

The survey asked respondents to identify areas in which they could use capacity building activities (e.g., trainings, sharing best practices, etc.) and those skills they could share with others. Fundraising, organizing and media skills were identified as the top areas in which additional training was needed. In three categories -- research, web, and media -- respondents reported that they had skills to share. This is potentially an untapped existing resource for the community.



RESOURCE NEEDS

The survey asked NGOs if they had 10% more financial resources, where would they direct the funding. Not all of the respondents provided an answer to this question and those that did indicated they would put new resources into their programmatic work. Interestingly, this does not appear to match their previous answers on training needs.



Analysis of Funder Responses:

WHO ARE THE FOUNDATIONS?

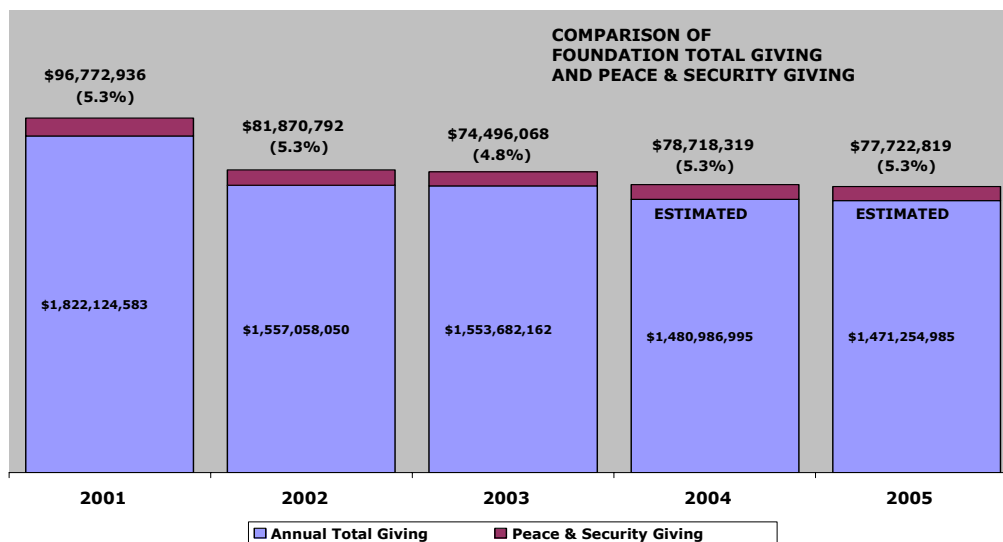
18 funders completed the Community Survey. They represented foundations with total grant giving budgets in 2003 ranging from \$42,000 to \$254 M. See Appendix 2 for the complete list of survey respondents.

2003 Total Giving Budgets
\$ 636.9 M

2003 Peace and Security Giving
\$ 45.7 M

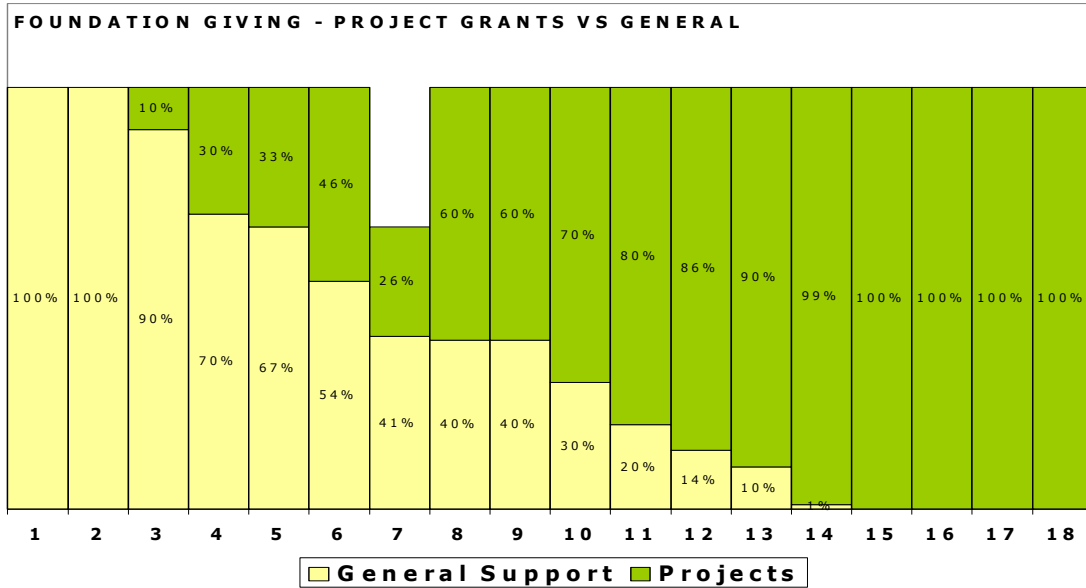
BUDGETS

To provide a snap shot of the broader foundation community and to improve the analysis for the total foundation budgets and for the percentage of funding available to support the Peace and Security Community, the survey data was supplemented with research provided by the Peace and Security Funders Group. The budgets were tracked for a total of 38 foundations covering the years between 2001 and 2003. **An estimate is provided for funding available for 2004 and 2005.**



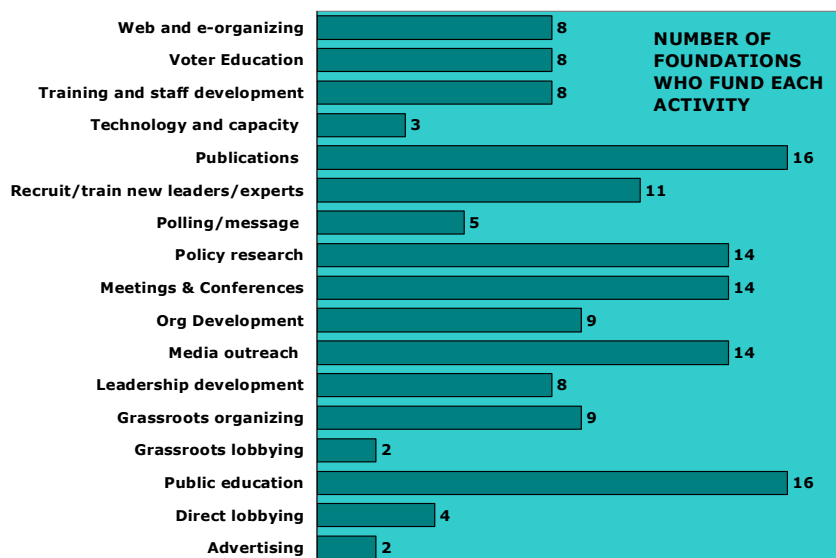
PROJECT GRANTS vs. GENERAL SUPPORT GRANTS

Funders were asked what percentage of their grants was derived from general support grants vs. project-specific grants. On average, foundations provide 62% of their grants as project-specific grants. This is particularly problematic for smaller NGOs as it creates programmatic instability and inconsistency. Moreover, because of the dependence on foundation funding, staff time is overly consumed by activities to secure funding rather than on the work needed to achieve policy impact. This graph shows how each of the 18 participating foundations divides its grants between projects and general support.



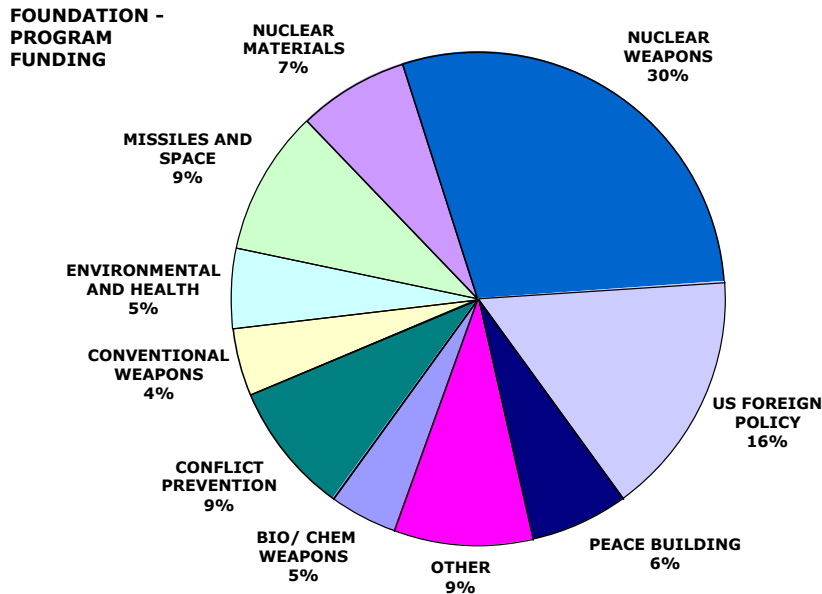
RESOURCE ALLOCATIONS

Funders were asked to identify what types of work they supported. The response of the 18 funders indicates that funding for traditional activities like publications, research, conferences and public education remains strong. Support for technology and capacity, lobbying, and polling and messaging appears low. This severely constrains the community’s ability to effectively galvanize public support for peace and security issues or create effective and integrated cross-sector strategies.



ISSUE FUNDING

The survey asked funders to indicate what percentage of their funding went to specific peace and security issues. Allocations across these issues correlate to the selected community priorities for collaborative effort.



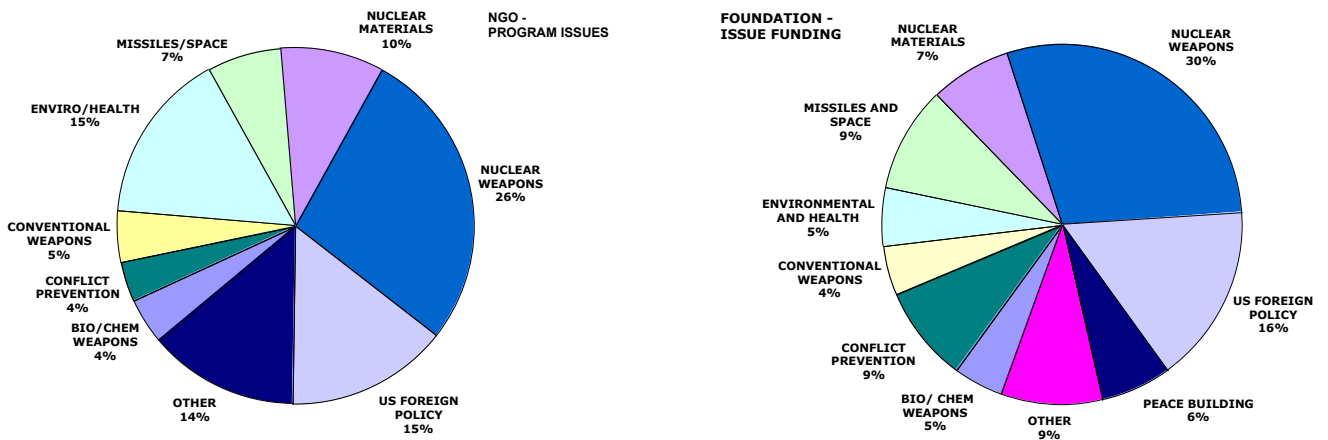
Comparative Analysis of NGO and Funder Responses:

Implications:

Comparing the information provided by NGOs and funders reveals potential areas for concern and a disconnect between community needs and the allocation of resources.

PROGRAMS

The program emphasis for the foundations matches fairly closely the programmatic work of the NGOs. Funders dedicate 37% of their funding toward nuclear weapons and materials, 9% toward missiles/space, and 4% toward conventional weapons issues. The NGOs are spending 36% of their resources on nuclear weapons and



materials issues, 7% toward missiles/space, and 5% on conventional weapons issues.

There is a general correlation between conflict prevention, bio/chemical weapons and US foreign policy. There is a large disconnect between NGOs working on environmental and health issues and the funders. However, this is most likely due to the limited number of funder respondents and the particular focus of those who did participate in the survey.

Note: In the funder responses, Peace Building was added as an option to the program areas during the second round of the survey outreach. Because the largest number of responses for the NGO survey came in during the first round, Peace Building is incorporated in the "Other" category.

ACTIVITIES

Only a small number of foundations indicated they provide grants to support websites, technology and capacity. At the same time, the NGOs expressed a need for media, technology and website training and support. **This appears to be an area where additional resources are needed in order to expand the capacity of the community.**

Existing resources in the NGO community could partially address some immediate skill training needs, however, funding resources should be developed to provide more sustained support to improve the effectiveness of the community.

MESSAGES AND MEDIA

As clearly demonstrated by the most recent political developments, effectively communicating to important audiences (e.g., large swathes of the persuadable public, the media, etc.) remains a challenge. Messaging, polling, and creating technological capacity is not well supported by foundations. As a result, NGOs are constrained in their ability to communicate with other constituents who if persuaded could influence outcomes.

The NGOs gave mixed responses on their media programs. When examining the staffing levels, only 15 NGOs had a dedicated media person. It is reflected in the low number of Editorial Board Meetings (51) and Editorial Advisories (42) conducted during 2003 by about a third of the organizations. The same number of NGOs indicated they needed media training, yet 18 groups indicated that they had skills to share in this area. **Media training is a clear need for this community and it appears that some foundation money would be available to support media work based on the foundation responses.** Cross-trainings among the NGOs would be a low cost way to share skills and build community for collaborative campaigns.

BUDGETS

The budget totals for the foundations show a drop in available funding of approximately \$15 M for Peace and Security issues from 2001 to 2002 which matches previous estimates. There appears to be a downward slide in future foundation funding *overall* with a predicted loss of \$19 M for 2005 when compared to the high mark of 2001.

Yet, at the same time, **the percentage of Peace and Security giving compared to total giving has stayed remarkably stable at approximately 5.3%** with a slight dip in 2003 even with the lower total giving budgets for the foundations.

The NGOs responding to the survey spent \$48.2 M on Peace and Security issues in 2003, which is approximately half of the giving reported by the foundations. This means that this survey captured only half of the programmatic work happening in the field.

There are some indications about how funding is provided. When examining the breakdown of NGO budgets, half of the groups had income budgets under \$500,000 and half had income budgets of more than \$500,000. **The 21 groups with budgets under \$500,000 shared a total income of less than \$5 M. The 21 groups who had budgets of more than \$500,000 shared a total income of more than \$40 M.** The lower income groups primarily represent the grassroots organizations who are competing for a very small piece of the pie (approximately 10%).

APPENDICES:

Appendix 1: Notes on Methodology

The *Peace and Security Community Survey* was distributed to the participants in the “Strengthening the Peace and Security Community” meetings, conference calls and regional meetings during 2003 and 2004. A total of 43 NGOs responded and a total of 19 funders responded. One foundation was not included in the data analysis because the majority of its funding was not US-based.

In addition to the answers provided directly by the funders, the information was supplemented with research conducted by the Peace and Security Funders Group. This expanded the database with budget figures for 20 extra foundations building a more complete picture of the field. Where we did not have specific budget numbers, for 2004 and 2005, we assumed continued funding at the 2003 budget level in order to complete our estimates.

Appendix 2: Survey Respondents

NGOs completing the survey

20/20 Vision
Alliance for Nuclear Accountability
American Friends Service Committee
Arms Control Association
BASIC
Bulletin of the Atomic Scientists
Business Leaders for Sensible Priorities/TrueMajority
Center for Arms Control and Non-Proliferation
Center for Defense Information
Citizen Alert
Colorado Coalition for Prevention of Nuclear War
Council for a Livable World
FCNL Education Fund
Friends Committee on National Legislation
Global Security Institute
Institute for Energy & Environmental Research
International Physicians for the Prevention of Nuclear War (IPPNW)
Lawyers Committee on Nuclear Policy
Managing the Atom Project
Nuclear Age Peace Foundation
Nuclear Reduction/Disarmament Initiative

Nuclear Watch New Mexico
Open Society Institute
Peace Action
Peace Farm
Physicians for Social Responsibility
Program on Global Security and Disarmament
Project On Government Oversight
PSR - Greater Boston
PSR - LA
PSR - Oregon
PSR - SF Bay Area
Reaching Critical Will (project of WILPF)
Rocky Mountain Peace and Justice Center
Snake River Alliance
Southwest Research & Information Center
Student Pugwash USA
Tri-Valley CAREs
Union of Concerned Scientists
Vietnam Veterans of America Foundation, Nuclear Threat Reduction Campaign
WAND Education Fund
Women’s Action for New Directions, Inc.
World Policy Institute/Arms Trade Resource Center

**Funders responding to the Community Survey

Note: Data from other foundations incorporated into the budget analysis

Arca Foundation
Carnegie Corporation of New York**
CarEth Foundation
Colombe Foundation**
Compton Foundation
Edgerton Foundation
Educational Foundation of America**
Ford Foundation
Flora Family Foundation**
German Marshall Fund of the United States
Harry Frank Guggenheim Foundation**
William and Flora Hewlett Foundation**
HKH Foundation
Janelia Foundation
Kirsch Foundation**
Livingry Foundation**
John D. and Catherine T. MacArthur Foundation**
John Merck Fund
New-Land Foundation
Park Foundation
Ploughshares Fund**

Prospect Hill Foundation**
Public Welfare Foundation**
Rockefeller Brothers Fund**
Rockefeller Family Fund
Rockefeller Financial Services
Rockefeller Foundation
Samuel Rubin Foundation
Schooner Foundation**
Secure World Foundation**
Scherman Foundation
Alan B. Slifka Foundation**
Stewart Mott Charitable Trust**
Threshold Foundation
Town Creek Foundation**
Turner Foundation
United Nations Foundation
W. Alton Jones Foundation
[International Develop Research Centre – Ottawa – completed survey – data not included]

