

## **April 10, 1990**

### **Letter, Ben Sanders to Jane Wales**

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#### **Summary:**

Comments about funding for the PPNN from the Carnegie Corporation and the Alton Jones Foundation.

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## Programme for Promoting Nuclear Non-Proliferation



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April 10, 1990

Ms Jane Wales  
Director, Secure Society Program  
W. Alton Jones Foundation, Inc.  
232 East High Street  
Charlottesville  
Virginia, 22901

Dear Ms Wales,

Since we spoke, someone told me that you had already left Charlottesville for New York. Wanting to welcome you to the Big City I called the Carnegie Corporation and heard that you would not be coming until May. Meanwhile, I had followed your advice and sent our request for support for PPNN in its second phase, to Dr. Myers, the Director of the W. Alton Jones Foundation.

I enclose a copy of my letter and the project description I sent with it, in hopes that you still might be able to put in a good word for us. The Programme has been quite successful so far and we believe that it will be able to build on the goodwill it has gathered to come to full effectiveness in the five crucial years ahead of us.

Now, the following may be rather premature: it concerns the Carnegie Corporation and perhaps I should wait until you are actually settled in New York. The point is that in summer 1988, after a mutual friend introduced me to Dr. Mosher, I wrote to the Carnegie Corporation to inquire whether it might be interested in hearing more about PPNN's activities, so that in due course we might make a request for support. We did not hear further, but I now understand that the Carnegie Corporation may indeed have an interest in the subjects PPNN is concerned with. If that is so, I would be very grateful if you could let me know eventually, so that we might submit a request for a grant.

My rush to get things done at this stage is due to my heavy travel and meeting schedule, beginning very early in May. I shall be briefly back here early in the second week of June. May I call you then?

With kind regards,

Yours sincerely,

Ben Sanders  
Chairman, PPNN Core Group

**PROPOSAL TO THE W ALTON JONES FOUNDATION**  
**EXECUTIVE SUMMARY**

**Organization:** Programme for Promoting Nuclear Non-Proliferation (PPNN)

**Address/Phone:** 1. Mountbatten Centre for International Studies, University of Southampton, Southampton SO9 5NH, UK [011-44-703-592522: Fax 703-593939] and  
2. Ben Sanders, 240 East 27th Street, New York 10016 [212-532-3153: Fax 212-532-9847]

**Director/CEO:** 1. Ben Sanders - New York  
2. John Simpson - Southampton

**SECTION ONE: PROPOSAL**

**Project Title:** Programme for Promoting Nuclear Non-Proliferation (PPNN)

**Purpose of Project:**

To assist in the strengthening of the international nuclear non-proliferation system and the extension of the Nuclear Non-Proliferation Treaty (NPT) in 1995 for an indefinite period.

**Background: (summarizing the issue(s) this project targets)**

- \* The NPT was signed in 1968 and came into operation in 1970;
- \* It is the only global instrument which allows non-nuclear-weapon states to legally commit themselves to retain that status, and as such is the cornerstone of the international nuclear non-proliferation system;
- \* It also makes mandatory the application of safeguards by the International Atomic Energy Agency (IAEA) on all nuclear materials within a non-nuclear-weapon state, thus assuring their neighbours they are not being used for military purposes;
- \* In 1995, there will be a conference at which the NPT can be extended indefinitely or for a further fixed period or periods of time. If it is only extended for a single, short period it would terminate at the end of that period;
- \* To achieve either an indefinite or a lengthy extension of the NPT, additional measures to strengthen the nuclear non-proliferation system need to be developed, and attempts made to conduct a dialogue with those states with significant nuclear capabilities outside of the Treaty.

**Project Goals: (List, Bullet Style)**

- \* Assisting in preparing the ground for an extension of the NPT for an indefinite period in 1995;
- \* Helping to reinforce the existing nuclear non-proliferation system;
- \* Assisting in a dialogue with states outside the NPT with significant nuclear capabilities.

**Anticipated Outcomes/Products: (List of specific products and/or results you hope to achieve with this project)**

- \* Enabling national officials, the international media and academic and policy researchers to have an understanding of the multi-faceted nature of the non-proliferation system through meetings and conferences;
- \* Providing to those groups detailed analyses of key issues and a review of the current nuclear non-proliferation scene through the PPNN Newsbrief and Occasional Papers;
- \* Providing a forum for addressing uncertainties about procedural and other substantive matters related to the 1995 NPT Extension Conference.

**How will you Distribute Information/Results gathered; What Audiences will you target**

- \* The audience will be primarily national officials and international civil servants, international and national media persons, international and national governmental and non-governmental organisations and interest groups, academic and policy orientated researchers and persons in the nuclear industry;
- \* The means will be the quarterly PPNN Newsbrief, the PPNN Occasional papers, Conferences/Meetings for national officials, press conferences to launch Occasional Papers and Briefing Books on the issues at the 1995 Extension Conference.

**Key Project Staff: (List up to 4 key staff/consultants and attach vitae of project directors)**

- \* Ben Sanders: Executive Chairman;
- \* John Simpson: Programme Director;
- \* Oleg Grinevsky (USSR): Advisor;
- \* Lewis Dunn (USA): Advisor.

**Criteria by which the success of the project can be judged**

- \* The outcome of the 1995 NPT Extension Conference;
- \* Circulation and responses to the PPNN Newsbrief and Occasional Papers;
- \* Level of attendance at Briefing Conferences and Meetings.

**Project Budget: (List other sources of funding, as well as the likelihood of obtaining your required budget from various sources listed)**

- \* The PPNN budget for the calender years 1991-1995 involves annual expenditure estimates ranging from \$503,370 in 1992 to \$699,206 in 1995, giving a total expenditure estimate for the entire five year period of \$2,995,551 or approx. \$3m.
- \* As some of this funding is likely to be committed over the entire 5 year period, and other sums over the 3 year period 1991-3, the most appropriate basis upon which to calculate the adequacy of funds to meet the financial requirements of the programme would seem to be to work on the basis of the average annual income needed to support the programme over the 5 year period. This is \$600,000 per year (i.e. \$3 million divided by 5 years).
- \* Of that amount, \$89,000 per annum (\$ 445,000 in total) has

already been committed over the full 5 year period from:

|                      |           |
|----------------------|-----------|
| B & GS Cadbury Trust | \$ 37,000 |
| Ford Foundation      | \$ 50,000 |
| Ploughshares Fund    | \$ 2,000  |
|                      | =====     |
|                      | \$89,000  |
|                      | =====     |

\* Proposals are pending with six additional foundations for funding to the amount of approx. \$425,000 each year to meet expenditures in the three years 1991-3 (\$1,275,000 in total over the three year period). The annual sums under discussion with these funders, together with the likely dates of their decisions, are:

|                                  |            |  |
|----------------------------------|------------|--|
| Rockefeller Brothers Fund        | \$100,000  | (October/November)   |
| Japanese Atomic Industrial Forum | \$100,000  | ( unknown , but<br>commitment already made<br>to make a grant) |
| Rockefeller Foundation           | \$ 50,000? | (October/November)   |
| Prospect Hill Foundation         | \$ 15,000? | (October)  |
| Leverhulme Trust                 | \$ 60,000  | (December)   |
| JD and CT MacArthur Foundation   | \$100,000? | (December)   |
|                                  | =====      |  |
|                                  | \$425,000? |  |
|                                  | =====      |  |

Requested from W.Alton Jones Foundation, the balance of [\$600,000 minus (\$89,000 plus \$425,000)] \$86,000 annually over three or five years.

### Other Important Information About the Project

The focus of its activities is the half-yearly meeting of its Core Group, to discuss program activities as well as substantive issues. This consists at present of experts on nuclear non-proliferation drawn from 12 states, but will be extended by up to three members to make it still more representative. Its activities in the period 1987-1990 in preparation for the 1990 NPT review conference have given it great status and respect and many important contacts within the diplomatic, media and research communities, which can be capitalised upon in the period 1991-95.

## SECTION TWO: ORGANISATION

### Brief Organisation History

- \* PPNN was initiated in 1987 by Ben Sanders and John Simpson as a multinational networking operation;
- \* Its administrative and financial headquarters were within the Centre for International Policy Studies, itself part of the Department of Politics at the University of Southampton, England;
- \* On August 1 1990, the Centre for International Policy Studies was renamed the Mountbatten Centre for International Studies, and PPNN became one of its major programmes;
- \* From 1987-1990, PPNN held 8 Core Group meetings involving some 40 presentations/papers by members and invited specialists - eight of the papers have been published, while the remainder are available on request; organised 4 international briefing

conferences/meetings for national officials and diplomats and 5 briefings for the international media in Washington, New York and Geneva; published 11 editions of its quarterly Newsbrief and commissioned and distributed 8 Occasional Papers.

**Additional Major Programmes: (List of up to 5 top institutional priorities)**

- \* PPNN is the major programme of the Mountbatten Centre for International Studies.
- \* PPNN itself comprises several activities, which in order of priority are: the twice yearly meetings of the PPNN Core Group; the publication of the PPNN Newsbrief; the organisation of PPNN conferences and meetings for national officials, international civil servants and the media; the conduct of a dialogue with representatives of states not currently parties to the Treaty and the production of PPNN Occasional Papers.
- \* Other programmes of the Mountbatten Centre for International Studies include: Future Structures for European Security; Human Rights in the New Europe; Maritime Peace Keeping and South Asian Security.

**Staff Profile**

- \* PPNN currently has two Co-Directors [Ben Sanders and John Simpson]; a part-time Information Officer [Darryl Howlett] and one full and one part-time secretary. The Core Group has twelve outside members plus the Directors, who participate ex officio.
- \* The Mountbatten Centre for International Studies has a Director [John Simpson], a Deputy Director [Dylis Hill] and a Programme Manager [Olivia Bosch]. Professor Simpson is thus both the Director of the Mountbatten Centre and the Programme Director of PPNN.

**Organizational Revenue:** (overall for last three years; include proportion of revenue from foundations, membership, individuals, endowment or other sources)

PPNN only

|                            | 1988      | 1989      | 1990      |
|----------------------------|-----------|-----------|-----------|
|                            | \$202,821 | \$308,981 | \$338,576 |
| % Support from Foundations | 100%      | 100%      | 100%      |

**Organizational Expenses:** (Overall for last three years)

PPNN only

|  | 1988      | 1989      | 1990                    |
|--|-----------|-----------|-------------------------|
|  | \$202,821 | \$308,981 | \$338,576<br>(estimate) |
| % Expenses towards:                        |           |           |                         |
| Direct Costs of Meetings, Conferences etc. | 38.7%     | 34.6%     | 33.5%                   |
| Public Information                         | 18.1%     | 19.3%     | 19.2%                   |
| Administrative Support and Salaries        | 43.2%     | 46.1%     | 47.3%                   |

**Size and Nature of Membership**

None

**Types of Strategies:**

- \* Policy Research, via the work of the international core group;
- \* Briefing of national officials and international civil servants;
- \* Briefing of the international and national media, research and non-governmental interest group communities;
- \* Public Education.

**Other Important Information about the Organization:**

Following the failure of the 1990 NPT review conference to agree a Final Document, there is a need to mediate and resolve several significant issues before the NPT extension conference convenes in 1995. In the absence of official means of undertaking this task before 1993 at the earliest, this can only be done informally in the context of the meetings and other activities of an international non-governmental organisation such as PPNN. PPNN is the only non-governmental organization which is seeking to approach nuclear non-proliferation on an international basis and through briefing meetings and conferences with national officials and international civil servants; with persons from the media and the research communities; and in co-ordination with the activities of national non-governmental groups working in the nuclear non-proliferation area. It has built up an outstanding reputation for its publications and activities over the last three years in the international community, and now wishes to expand its activities into 3 new areas:

- \* Providing fora for examining the procedural and other issues surrounding the 1995 Extension Conference;
- \* Identifying new measures which might be placed alongside the NPT to strengthen it.
- \* Conducting a dialogue with representatives of states which are not parties to the Nuclear Non-Proliferation Treaty.

#### **ANNEX**

##### Vitae of Key Project Staff:

**Ben Sanders (Netherlands)** - Chairman of the Core Group - Served in the Dutch Foreign Ministry, the Safeguards Department of the IAEA and the UN Department of Disarmament Affairs. IAEA representative at the 1967 Non-Nuclear Weapon - State Conference. Member of the secretariat of the first and second NPT review conferences, 1975 and 1980 and Secretary General of the 1985 NPT Review Conference;

**Dr John Simpson (United Kingdom)** - Rapporteur to the Core Group - former British member of the UN Secretary General's Study Group on Conventional Disarmament and advisor to the UK UNESCO delegation. Member of UK ministerial advisory panel on arms control and disarmament. Currently Professor of International Relations at the University of Southampton, England and Director of its Mountbatten Centre for International Studies;

**Dr Lewis Dunn [United States]** - Served from 1981-1987 as Assistant Director for nuclear and weapons control of the United States Arms Control and Disarmament Agency. Alternate US Representative to the 1985 NPT Review Conference. Currently Vice President, Negotiations and Planning Division, Science Applications International Corp., Washington D.C.;

**Ambassador Oleg Grinevsky [USSR]** - Member of the Soviet delegation when the NPT was negotiated and subsequently Head of the USSR delegation to the CSCE confidence building measures negotiations in Stockholm. Currently Head of the USSR delegation to the CFE negotiations in Vienna;