

AFRICAN DEVELOPMENT BANK GROUP



REGIONAL CENTRE ON SMALL ARMS (RECSA)



Co-operating to Disarm

# PROJECT COMPLETION REPORT (PCR)

**TECHNICAL ASSISTANCE AND CAPACITY BUILDING TO RECSA TO ENHANCE  
REGIONAL AND STATES STABILITY THROUGH REDUCTION OF PROLIFERATION  
OF SMALL ARMS (TCB-RECSA)**

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## **ACRONYMS AND ABBREVIATIONS**

AfDB	African Development Bank
CAR	Central African Republic
DRC	Democratic Republic of Congo
EU	European Union
ICGLR	International Conference for the Great Lakes Region
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
MS	Member States
NFPs	National Focal Points
ORTS	Transition Support Department
PCU	Project Coordination Unit
PSU	Project Steering Committee
RECSA	Regional Centre on Small Arms
RSS	Republic of South Sudan
SALW	Small Arms and Light Weapons
TA	Technical Assistance
TE	Technical Experts
TCB	Technical Assistance and Capacity Building
TSF	Transition Support Facility
TYS	Ten Year Strategy
UN	United Nations
UNDP	United Nations Development Program
UNREC	United Nations Regional Centre for Peace and Disarmament in Africa
WRA	Weapons Removal and Abatement

## **I.BACKGROUND AND CONTEXT**

RECSA is an inter-Governmental Organization with a Vision of a safe and secure sub region in a peaceful continent from Arms proliferation. The Mission is to coordinate actions against small arms and light weapons proliferation in the Great lake Region, horn of Africa and the bordering states. The Strategic Pillars of RECSA interventions are based on the Nairobi protocol. Although significant strides and achievements have been made in terms of Development of strong and effective institutions , promotion of and facilitation of SALW management and effective information generation and dissemination ,RECSA still faces challenges related to lack of a sustainable funding mechanism, weak institutional capacity and, lack of an effective monitoring and evaluation framework among others.

It is against that background that RECSA Secretariat approached the Africa Development Bank (AfDB) for financial assistance. In response to the financial assistance, the Bank on behalf of the Transitional Support Facility extended a grant in amount not exceeding One million Unit of Account (AU 1,000,000) to assist in financing of the Technical assistance and capacity Building to Regional Centre on Small Arms (RECSA) to enhance regional and states stability through reduction of proliferation of small arms (TCB- RECSA) Project.

## **II.BASIC PROJECT DATA**

The basic Project Data in terms of: the title, identification, execution agency, disbursement deadlines and the key project components are given under Table1: below:

**Table 1: Basic Project Data**

Project Title	Technical Assistance and Capacity Building to Regional Centre on Small Arms (RECSA) to Enhance Regional and States Stability through Reduction of Proliferation of Small Arms (TCB-RECSA)
Project ID	P-Z1-KF0-043
Grant Number	5900155007601
Country	Multi-National / Selected RECSA Member States
Executing Agency	Regional Centre on Small Arms
Original disbursement deadline	30 April 2016
Revised disbursement deadline	31 October 2016
Project Components	I. Institutional Strengthening and Human Capacity Development Building II. Operationalization of the Nairobi Protocol in selected fragile and non-fragile situations; and III. (iii) Project Management.

The overall Goal of the project was to strengthen the Institutional Capacity of RECSA and its Member States, with a specific objective of enhancing the institutional and human capacity of RECSA, National Focal Points and its Members States on prevention and combating proliferation of SALW. The Project consisted of mainly three interrelated components, namely: (i) Institutional Strengthening and Human Capacity Development Building: UA 738,345) (ii) Operationalization of the Nairobi Protocol in selected fragile and non-fragile situations: (UA 189,219) and (iii) Project Management (UA 72, 436).

## **EXECUTIVE SUMMARY**

### **a) Background and Implementation Arrangement**

The African Development Bank( AfDB) on behalf of the Transitional Support Facility( TSF) extended a grant of ( AU 1,000,000) to assist in financing of the Technical assistance and capacity Building to Regional Centre on Small Arms (RECSA) to enhance regional and states Stability through reduction of proliferation of small arms TBC- RECSA) Project.

The overall goal of the AfDB-RECSA TCB project was to strengthen the institutional capacity of RECSA and its member states, with a specific objective of enhancing the Institutional and Human capacity of RECSA, National Focal Point Co-coordinators and its Member States on prevention and combating proliferation of SALW. The project was designed with three main components: (i) Institutional Strengthening and Human Capacity Development Building; (ii) Operationalization of the Nairobi Protocol in selected fragile and non-fragile situations; (iii) Project Management.

The project management structure comprised: a Project Steering Committee (PSC) chaired by the Executive Secretary with Project Coordinator as a Secretary and the Project Coordination Unit (PCU) comprising of the: Project Coordinator, Procurement Officer, Project Accountant, Administrative Assistant, and Short-Term Technical assistants (Monitoring and Evaluation and Procurement ) was responsible for the day today management and implementation of the project. As at 30<sup>th</sup> November 2016, all project activities had been undertaken with the exception of one activity on the establishment of Nation Institution for management and control of SALW in the Federal Republic of Somalia.

### **b) Key Project Outputs / Results**

Specifically the project delivered the following key outputs/ results:

Development of a five year RECSA Strategic Plan,2016-2010.),Monitoring and Evaluation Strategy (2016-2010.), and Resources Mobilization Strategy (2016-2010.); Development of guidelines on establishment of National Institutions responsible for SALW Management and Control; Nine (9) key studies were commissioned and finalized; Research and assessment studies were conducted ie assessment of SALW proliferation and fragility situations, studies on emerging security threats and fragility issues like cattle rustling and poaching, study on legal harmonization and armed crime rates in selected countries; and strengthened capacity of RECSA Secretariat and national Focal Point Coordinators to deliver their mandate.

**c) Key recommendations**

- a) The constitution of the PSC and PCU with the project Coordinator sourced from existing RECSA staff gave the project a good head start. Such Coordination and implementation arrangement could be replicated in similar projects executed by RECSA with more utilization of in-house in the PCU and additional representation by Member States on the PSC.
- b) The monitoring and evaluation function should be strengthened through operationalization of the M&E Strategy and recruitment of in house Officer(s) to not only to monitor and evaluate project specific interventions but the overall impact of RECSA in the region in line with its mandate
- c) There is need to enhance active involvement and participation of Member States and key institutions responsible for SALW management in the subsequent overall project management cycle.
- d) In subsequent projects, critical analysis should be undertaken to ensure that, Technical Assistants (TAs) are recruited for adequate and reasonable period in order for RECSA to effectively benefit from their expertise. It is also important that the Council of Ministers explore more innovative ways to ensure that RECSA Secretariat approved staffing structure is implemented for effective implementation of similar and future projects.

- e) The need for RECSA Secretariat and Member States to mobilize resources, strengthen collaboration and networking in order to fully operationalization the approved policy documents and further implement recommendations of the various studies undertaken and finally in terms of design of future projects with various components, it is critical that specific objective (s) for each component are defined and outcome indicators (both qualitative and quantitative indicators ascertained and baseline data collected at the beginning of project for ease of monitoring and evaluation the results of the various project components.

In conclusion, it is important to note that the fight against SALW proliferation requires political consensus and effective implementation of coherent regional harmonized policies. However, the project initiated a very important pilot process of understanding the link between SALW Control and Management, Peace and Sustainable Development.

RECSA Senior Management believes that, after successfully implementing a pilot phase the Bank will not only further support interventions in control and management of SALW but will also take the lead in bringing more development partners on board to understand the link between SALW control and management, peace and sustainable development. There is no doubt that proliferation of illicit small arms and a light weapon presents a real and direct threat to the development of the RECSA region and the African Continent as a whole.

### **III. PROJECT DESCRIPTION AND KEY COMPONENTS**

The Goal of the TCB -RECSA project was to strengthen the institutional capacity of RECSA and its Member States with a specific objective of enhancing the



institutional and human capacity of RECSA, National Focal Points and its Members States on prevention and combating proliferation of SALW.

As part of the AfDB strategy to implement her Ten Year Strategy's special focus on Fragile States, a financial grant of UA 1.00 million was extended to RECSA to support Technical Capacity Building to RECSA Secretariat (TCB- RECSA) and the National Focal Points in the fifteen Member States under the Transition Support Facility (TSF) Pillar III. The Project consisted of mainly three interrelated components, namely: (i) Institutional Strengthening and Human Capacity Development Building (UA 738,345) (ii) Operationalization of the Nairobi Protocol in selected fragile and non-fragile situations, (UA 189,219) and (iii) Project Management (UA 72, 436).

#### **IV. EVALUATION OF DESIGN AND IMPLEMENTATION STRATEGY**

##### **a) Relevance of Project Design and Formulation**

Although this was a pilot experience of the Bank's support in the area of SALW proliferation (peace and security), the Bank had had significant experience on the Africa in terms of institutional capacity building of relevant regional centers, such as Technical Assistance and Capacity Building Project for the Mano River Union (MRU) for US\$ 876,750 and International Conference for the Great Lakes Region (ICGLR) for US\$ 2,249.600.

The project was aligned to the AfDB's Ten Year Strategy's special focus on Fragile States – eight of the 15 RECSA Member States are considered as fragile states, with the rest having pockets of fragility within their borders. It was further expected that, the project would enable the Bank develop its knowledge in the area of peace and stability support and develop an approach that establishes a link between peace, stability and development.

A participatory process was followed in the formulation and design of the project interventions and a number of meetings were held with RECSA Secretariat and key stakeholders such as Kenya National Focal Point (KNFP), UNDP, EU, NRC and DFID. During the design phase critical issues concerning sustainability and exit strategy to address longer term sustainability of peace and security, institutional strengthening and the regional integration were emphasized. It is worth noting that, stakeholders expressed a strong desire and need for RECSA to hold sensitization programs with state and non-state actors on small arms and light weapons and develop a resource mobilization strategy to enhance its resource capability.

#### **b) The Key Project Outputs**

The key outputs from the 18-months Technical Assistance and Capacity Building Project to the tune of UA 1,000,000, under AfDB's strategy to address fragility and build resilience in Africa, include: capacity building of some RECSA Staff in various management areas; training of fifteen (15) RECSA National Focal Point Coordinators; development of partnerships with regional and international actors in working to enhance SALW control and physical security and stockpile management; review and development of various policy key policy documents such as: RECSA Strategic Plan for (2016- 2020), the Monitoring and Evaluation Strategy (2016 -2010) and the Resource Mobilization Strategy (2016- 2020); commissioning and validating of various research studies such as: assessment of SALW proliferation and fragility situations, studies on emerging security threats on issues like cattle rustling and poaching, study on legal harmonization and armed crime rates in selected countries); holding of high-level consultative meetings aimed at setting ground for establishment of national institutions responsible for small arms management and control; holding of consultative meetings to discuss improvement of storage of stockpiles; and training on maintenance of couth marking machines. *A detailed Matrix showing the key activities*

*implemented and output delivered for each of the three components is shown as Annex.1*

**c) Project Cost and Financing Arrangements**

The total cost of the project was estimated at UA 1.00 million (net of taxes and duties) of which UA 0.800 million (80%) was in foreign currency and UA 0.200 million (20%) in local costs. The cost by component is summarized in Table 1 below. The cost estimates were derived from budget estimates assessed and they included a 5% price contingency.

The project was fully financed from the TSF Pillar III in the amount of UA1.00 million (about USD 1.537 million or 100% of the total cost) in grants. The TSF Grant resources covered the entire foreign exchange and local costs. The indicative breakdown of the cost by category of expenditure is summarized in Tables 2.

**Table 2: Project cost by category of expenditure**

CATERORY	USD			UA			% of Total
	F.E	L.C	Total	F.E	L.C	Total	
Goods	0	0	0	0	0	0	0%
Services	1,230,320	104,580	1,334,900	804,120	63,210	867,330	87%
Operating costs	0	203,000	203,000	0	132,670	132,670	13%
Base Costs	1,168,804	292,201	1,461,005	763,914	186,086	950,000	95%
Price Contingency	61,516	15,379	76,895	40,206	9,794	50,000	5%
<b>TOTAL COST</b>	<b>1,230,320</b>	<b>307,580</b>	<b>1,537,900</b>	<b>804,120</b>	<b>195,880</b>	<b>1,000,000</b>	<b>100%</b>

**d) Disbursements Schedules**

Prior to the commencement of the project, the Fiduciary assessment was conducted to review the adequacy and determine whether RECSA has the capacity to effectively carry out the financial management of the project.

The assessment concluded that the financial management system was adequate subject to mitigation measures provided under the project to provide, with reasonable assurance, accurate and timely accounts/information on the status of the project and ensure that funds are used for intended purpose with economy and efficiency as required by the Bank.

The Project Accountant was recruited to among others : ensure sound financial management for the project, adequate internal controls and accounting systems were in place , Project financial statements were prepared in accordance with either International Financial Reporting Standards (IFRS) or International Public Sector Accounting Standards (IPSAS) which comply with either IFRS or IPSAS in all material standards and the Bank’s guidelines.

All disbursements were made in line with Bank’s Disbursement Rules and Procedures and all contracts and disbursement requests were denominated in United States Dollars. The Project Grant was disbursed using the direct payment method and through a Special Account opened by RECSA (RECSA-AFDBA Capacity Building Project-Account) as condition precedent to first disbursement. The table below shows the value date and the amount disbursed.

***Table: Disbursements Schedule. (Value date and amount disbursed)***

<b>SN</b>	<b>Value date</b>	<b>Amount ( USD)</b>
1.	3 <sup>rd</sup> March 2015	484,160
2.	19 <sup>th</sup> October 2015	903,960
3.	4 <sup>th</sup> November 2016	25,166
	<b>Total</b>	<b>1,413,286</b>

**Table 2: Budget Utilization in US \$ as at 31<sup>ST</sup> December, 2016**

<b>SN</b>	<b>Components</b>	<b>Budgeted Amount in US \$</b>	<b>Actual in US \$</b>	<b>%</b>
<b>1</b>	Institutional strengthening and capacity building	923,286	<b>893,089</b>	96.7%
<b>2</b>	Operationalization of the Nairobi Protocol in fragile and non-fragile states	256,007	<b>252,099</b>	98.5%
<b>3</b>	Project Management	233,993	<b>243,477</b>	104%
	<b>TOTAL</b>	<b>1,413,286</b>	<b>1,388,665</b>	<b>98.3%</b>

**e) Project Implementation Arrangements**

In line with the project design, RECSA as an Executing Agency was responsible for overseeing the overall implementation of the project. A Project Coordination Unit (PCU) was established. The PCU coordinated the implementation of all the project activities; supervised, monitored all project activities including preparation of annual project work Plans and budgets, progress reports and bidding documents. In addition, the following Technical Assistants (TAs) were competitively recruited among nationals of Member States to support in project implementation and knowledge transfer to RECSA staff.(Legal and Advisory Services, Procurement, Monitoring & Evaluation, Resource Mobilization, Social Economic Research, Programs and Operations and Project Finance Management Accountant).

The design further required the establishment of a Project Steering Committee (PSC) comprised of Senior Management of the RECSA and one representative from National Focal Point, from host Member State (The Republic of Kenya). The PSC was chaired by the Executive Secretary with the Project Coordinator as a Secretary. The PSC met five (5) times to provide among others :policy guidance to the project, approve the annual work plan and budget and ensure that the project objectives are achieved as well as be responsible for resolving any inter-agency issues that arose. .

**f) Procurement of Goods and Services)**

All procurement of goods and services and acquisition of consulting services financed by the Bank were done in accordance with the Bank’s Rules and Procedures: “Rules and Procedures for Procurement of Goods and Works”, dated May 2008 (revised July2012); and “Rules and Procedures for the Use of Consultants”, dated May 2008 (revised July 2012), as amended from time to time, using the relevant Bank Standard Bidding Documents (SBDs), and the provisions stipulated in the Financing Agreement.

**g) Performance of Technical Assistants and Consultants.**

In line with the implementation framework and for purposes of enhancing RECSA institutional and human capacity, RECSA Senior Management complied with the requirement to recruit the Six TAs to support project implementation and knowledge transfer The project was designed to use consultants to develop various RECSA policy documents and undertake research studies as per the project design and accordingly consultants were hired and successfully developed the following policy documents: Five (5) year Strategic and Operation Plan (2016-2020), Monitoring and Evaluation Strategy (2016-2020 and Resource Mobilization Strategy (2016-2020). Consultants also successfully undertook studies in the following areas: Legal harmonization of SALW legislation, study on fragility, study on poaching and study on cattle rustling in relation to proliferation of illicit small arms and light weapons. The table 7 below shows details and performance of consultants

Table 7: Performance of Consultants

SN	Consultancy Assignment	Implementation/Monitoring Status	Remarks
1.	Development of five-year strategic and operational plan	The Consultant was hired in August 2015, in accordance with AfDB procurement guidelines. The Strategic plan was approved by Council of Ministers in April 2016.	The consultant did not complete the assignment within the agreed time frame.
2.	Development of Monitoring and Evaluation Strategy.	The Consultant was hired in August 2015, in accordance with AfDB procurement guidelines. The M&E Strategy was approved by Council of Ministers in April 2016.	<ul style="list-style-type: none"> <li>● The contract was terminated midway due to failure of the consultant to fulfill the contractual obligations</li> <li>● The M&amp;E Strategy was finally developed in house</li> </ul>
3.	Development of Resources Mobilization Strategy.	No consultant expressed interest to undertake the assignment The Resources mobilization strategy was developed in-house and approved by Council of Ministers in April 2016.	Upon the request by RECSA the Bank gave NO objection for the TA Resources Mobilization to lead the development of the Strategy in-house
4.	Study on harmonization of state laws for Tanzania, Kenya, Uganda and CAR on SALWs in relation to regional and international SALW instruments	A consultant was hired in August 2015 The study was conducted and completed in May 2016, in Tanzania, Kenya, Uganda and CAR on SALW.	The study was finalized and recommendations expected to be implemented by Member States using the model legislation provided.
5.	Country specific assessment on small arms proliferation and fragility situations	A consultant was hired in August 2015 The assessments were undertaken and completed in June 2016	The delay in completing the commissioned studies was due to difficulties in getting research permits in Kenya , Tanzania and Ethiopia , in addition to the volatile political situations in Burundi and Central African Republic
6.	Studies on emerging security and fragility issues (cattle rustling, wildlife poaching, in selected RECSA Member States.	A consultant was hired in August 2015. The studies were undertaken and completed in June 2016	The delay in completing the commissioned studies was due to difficulties in getting research permits in Kenya , Tanzania and Ethiopia , in addition to the volatile

			political situations in Central African Republic
7.	Analysis of armed crime rates at national level in five (5) countries (Burundi, Kenya, Uganda, Rwanda and Tanzania)	The Consultant was hired in February 2016 The analysis was completed in May 2016.	Due to the sensitive nature of gun related information, Member States were reluctant to release data on armed crime rates. However, after lobbying member states provided the required data and the report was published

#### h) Performance of AfDB and Executing Agency (RECSA)

**The Bank:** given the fact that the TCB-RECSA project was a pilot initiative in the area of support to SALW proliferation (peace and security), it can generally be concluded that the Bank performed very well save for the time lag between signing of the Letter of Agreement on 4<sup>th</sup> December, 2014 and release of the first disbursement on 6<sup>th</sup> March 2014. Though the project lost time from approval to its first disbursement, the project made efforts to commitment to fast-track the implementation of project activities.

**RECSA** was responsible for overseeing the overall implementation of the project. The Agency fulfilled all the conditions precedent to first disbursement and other conditions. These included: opening of a special account, constituting of the PCU and PSC, Recruitment of Technical Assistants, engaging consultants as per the AfDB rules and management of the grant funds as the International Financial Reporting Standards (IFRS)

During implementation, RECSA faced the challenge of inadequate in-house staffing to work closely with the Technical Assistants both at the Secretariat and Member State level and difficulties related to securing research permits during the execution of the commissioned studies in the Republics of Kenya, Ethiopia and the United Republic of Tanzania.

However, in-spite of the above challenges and the unfavorable implementation environment in selected Member States like Republics of Burundi, Central African



Republic , Democratic Republic of Congo and the Federal Republic of Somalia, RECSA was able execute all the project activities.

## **V. EVALUATION OF PERFORMANCE**

This section highlights the extent to which project interventions were suited to the priorities and policies of the Member States, implementing agency; adequacy of resources allocation (financial and human capacity and other resources) for the implementation of the project components and an attempt to assess whether the benefits of project interventions and benefits are likely to continue after end of the project funding.(Relevance, efficiency and effectiveness and preliminary assessment of sustainability)

### **a) Relevance of the Project**

The capacity of RECSA Secretariat and National Focal Points in delivering on its mandate for a number of years has been limited by a number of factors including: inconsistent flow of funding to plan and coordinate activities; weak institutional capacity to implement priority goals; and lack of robust monitoring and evaluation (system) processes to assess progress, learn lessons and communicate performance and it was on this premise that the TCB- RECSA project was relevant and timely.

The project was aligned to the AfDB's Ten Year Strategy's special focus on fragile states and eight of the fifteen RECSA Member States are considered as fragile states, with the rest having pockets of fragility within their borders. According to the report of the High Level Panel on Fragile States, the illicit trade of arms is one of the main factors of conflict and instability in Africa and it requires a region-wide solution.

The Bank is known to have comparative advantage in building capacity of regional institutions. The key challenges faced by RECSA were lack of adequate in house staffing to work closely with the Technical Assistants both at the Secretariat and Member States. Secondly, the delay in completing the commissioned studies was due to difficulties in

getting research permits in Kenya, Tanzania and Ethiopia, coupled with volatile political instabilities in Burundi and Central African Republic.

It is important to acknowledge that during the initial discussions at the design of the project stakeholders expressed a strong need for RECSA to hold sensitization programs with the state and non-state actors and the need to develop a sustainable financing mechanism. It should further be recalled that, during the project launch in May 2015, the bank was informed that the final project design had left out some of the critical activities due to resource constraints relating to combating urban crime in Kenya and enhancement of awareness creation and collaboration with of all key stakeholders (sector and other non-state actors). it is important for the bank to note that the need still exists and more so in post conflict situations like in the Central African Republic, South Sudan and Somalia.

#### **b) Efficiency in Achievement Project Outputs and Purpose**

The project was fully financed from the TSF Pillar III to the amount of UA1.00 million or 100% of the total cost) in grants including costs to cover the entire foreign exchange and local costs. The Project consisted of mainly three interrelated components, namely: (i) Institutional Strengthening and Human Capacity Development Building: UA 738,345), (ii) Operationalization of the Nairobi Protocol in selected fragile and non-fragile situations: (UA 189,219) and (iii) Project Management (UA 72, 436).

In line with the project objective of enhancing institutional and human capacity of RECSA, National Focal Points and its Members States on prevention and combating proliferation of SALW, the budget allocation among the three components as highlighted above, reflected more of the Bank's mandate of building the capacity of regional institution to foster regional integration than RECSA's mandate of coordinating the implementation of the Nairobi Protocol and building the capacity of National Focal Points.

Given the number of planned activities for each component, the environment in which implantation was done and resources allocated for each component, it can be concluded that the project was efficiently implemented. While TAs (M&E, Procurement, Project Accounting, Legal Advisory Services, Social Economic Research and Resources mobilization) were recruited to support implementation and knowledge transfer to RECSA Secretariat staff this was not fully achieved because RECSA Secretariat did not have adequate staff. (Over 90% of the positions on its staffing structure are still vacant)

Effective enhancement of institutional capacity of RECSA Secretariat should target the filling of vacant positions on its approved staffing structure to enhance its regional coordination role , while at Members States level, the focus should be on provision of adequate staff and logistical support in terms of mobility, communication and office equipment coupled with tailor made training.

### **c) Preliminary Assessment of Sustainability**

The SALW proliferation is one of the main factors of fragility in the Great Lakes Region and the Horn of Africa with all its effects and consequences on youth violence, gender-based violence, and armed conflict. Prevention, control and reduction of the SALW proliferation is one of the most effective means for building peace and stability. In terms of sustainability:

- i. The project enabled the development of important policy documents and tools (strategic and operational plan, resources mobilization strategy, Monitoring and Evaluation). The operationalization of these policy documents is expected to enhance the capacity of RECSA Secretariat in terms of strategic direction, resources mobilization and effective monitoring and evaluation of its intervention and overall assessment of the impact of RECSA in the region.
- ii. The produced guidelines on establishment of national institutions responsible for SALW management and control are expected to build the capacity of member states

in the design and implementation of SALW interventions from the institutional perspective.

- iii. The Member State specific studies produced under the project made a number of key recommendations which if implemented are expected to build the country's resilience in terms of managing fragility situations, management of wildlife poaching and cattle rustling. Accordingly, national projects in the above areas have been designed to be implemented by the respective Member States with RECSA playing a coordination role.
- iv. The designation of a project coordinator from among the existing staff and the inclusion of the Kenya National Focal Point Coordinator on the project Steering Committee representing Member States ensured that the results of the project will continue to benefit the targeted beneficiaries beyond the project period
- v. There is no doubt that all the above will ensure that project benefits are sustainable

#### **IV. OVERALL ASSESSMENT AND RECOMMENDATIONS**

##### **a) Overall Assessment**

While it may be early to assess the extent of improvement in peace and stability conditions in RECSA Member States and in spite of the implementation challenges related to un-favorable environment in selected Member States and some difficulties faced in securing research permits in the Republic of Kenya, Tanzania and Ethiopia, the project was successfully implemented within the stipulated project time frame and strict adherence of IFRS and AfDB procedure and by 30<sup>th</sup> November, 2016 all planned activities had been implemented except only one activity relating to facilitating the establishment of active NFPs/NCs in the Federal Republic, Somalia.

##### **b) Key Lessons Learned during the Implementation Process**

- i. **Establishment of Project Coordination Unit (PCU) and Project Steering Committee (PSC):** The constitution of the PCU with the project Coordinator being an existing staff of

RE CSA Secretariat earlier involved in design the project was a positive aspect in terms of offering guidance during project implementation and adherence to the AfDB rules. It also ensured close working relationship between RECSA staff and recruited TAs. In addition, the appointment of the Kenya National Focal Point Coordinator on the project Steering Committee representing Member States ensured ownership and involvement of member states in Project management and sustainability of project benefits.

- ii. **Lack of a functional M&E System at RECSA:** RECSA Secretariat did not have a functional M&E framework at the commencement of the project neither did it have an M&E Expert to support continuous monitoring and periodic evaluation, during the early stages of project implementation. The TA M&E only came on board twelve months into the project implementation and served for five months. This meant that the project could not produce regular M&E reports which are critical in effective project implementation, accountability and decision making.
- iii. **Sporadic Political Violence in some beneficiary Member States:** - The implementation of project activities in the Republics of Burundi and Central African Republic and Somalia was affected by Sporadic Political Violence. Failure to access some geographical areas affected the sampling frame in some studies and overall execution of the activities within the projected times lines. For conflict prone member states, a comprehensive assessment should be undertaken and mitigation measures put in place.
- iv. **Contract duration of Technical Assistants:** The Technical Assistants to support project implementation were recruited for an average of six months. For example the contract for TA Social Economic Research ended even before the draft research study reports had been submitted by the consultants and according to the TORs, the TA had a very critical role of reviewing the study reports. In addition, the M&E and Resources mobilization TAs only came on board after twelve's months of project implementation. The short contract durations of the TAs meant that RECSA Secretariat did not effectively benefit from their respective expertise.

- v. **Member States clearance to undertake Research:** The project supported the undertaking of Nine (9) consultancy studies in selected Member States. However, the execution of the research studies was met with challenges of obtaining work permits in Tanzania, Kenya & Ethiopia). The delay in securing permits negatively impacted on the finalization of the final reports. The key lesson learnt was that research studies took more time than originally planned.
  
- vi. **Regional Coordination role of RECSA:** Given the staffing level at RECSA Secretariat, and sporadic incidences of political violence in some of the project beneficiaries' Member States, the project was successfully implemented within the stipulated project time frame and strict adherence of IFRR and AfDB procedure. This further re-affirms RECSA's regional role in coordinating SALW interventions aimed at fostering conducive environment for sustainable development
  
- vii. **Specification of Component Objectives:** The project lacked specific objectives for each project component. It was therefore difficult to assess project achievement component by component.

### **C. Key Recommendations in the design and implementation of future projects**

- i. The constitution of the PCU with the project Coordinator sourced from existing RECSA staff gave the project a good head start in terms of technical guidance during project implementation and adherence to the AfDB rules and the appointment of the Kenya National Focal Point Coordinator on the Project Steering Committee representing Member States partly ensured ownership and involvement of Member States in project management and sustainability of project benefits. It is recommended that , such implementation arrangement could be replicated in similar projects executed by RECSA Secretariat with additional representation on the Project Steering Committee from at least one third of Member States

- ii. The absence of a functional M&E framework and key experts to support continuous monitoring and periodic evaluation, during the early stages of project implementation partly affected the efficiency and effectiveness in the overall project implementation. Now that RECSA has an approved Strategic Plan and Monitoring and Evaluation Strategy it is important that the Monitoring and Evaluation function is strengthened through recruitment of in house of an Officer responsible for monitoring and evaluation not only to monitor project specific results but the overall impact of RECSA interventions in the region in line with its mandate.
- iii. There is need to enhance active involvement and participation of Member States and key institutions responsible for SALW management in the subsequent project management cycle (i.e) from design, implementation and monitoring of projects as well as enhancing the capacity of RECSA Secretariat, to adequately play her coordination and capacity building role. Such involvement will further minimize situations where implementation of RECSA coordinated activities is not affected by other competing priorities and bureaucracies by Member States.
- iv. Given the effect of the short contract durations of the Technical Assistants on project implementation and knowledge and skills transfers, it is important that during implementation of similar and projects critical analysis is undertaken to ensure that the TAs recruited are given adequate time to understand the project and RECSA as an organization in in order to effectively benefit from their respective expertise. It is also important that the Council of Ministers explore more innovative ways to ensure that RECSA Secretariat approved staffing structure is implemented for effective implementation of similar and future projects.
- v. The need for RECSA Secretariat and Member States to mobilize resources for implementation and operationalization all of the approved policy documents and guidelines and the already designed projects arising from the assessment studied will go a long way in strengthening the capacity for SALW in effective management and

control of proliferation of illicit SALW hence contributing to overall to peace and stability in RECSA Member States.

- vi. In terms of design of future projects with various components, it is critical that specific objective (s) for each component are defined and outcome indicators (both qualitative and quantitative indicators) ascertained and baseline data collected at the beginning of project for ease of monitoring and evaluation the results of the various project components

**In conclusion**, it is important to note that the fight against SALW proliferation requires political consensus and effective implementation of coherent regional harmonized policies and there no doubt that proliferation of illicit small arms and a light weapon presents a real and direct threat to the development of the RECSA region and the African Continent as a whole. RECSA Senior Management strongly believes that, after successfully implementing a pilot phase, the Bank will not only further support interventions in control and management of SALW, will also take the lead in bringing more development partners on board to understand the link between SALW control and management and sustainable development and hence support various interventions at regional and national level in selected Member States.

## **ANNEXES**

- a) ANNEX.1: TCB - RECSA Result chain
- b) ANNEX.2 Result-Based Logical Framework



**ANNEX.I: TCB- RECSA Result Chain.**

Results chain		Performance indicators			Results achieved/ Not achieved	Indicator Variance explanation
		Indicator	Baseline 2014)	Target (2016)		
<b>IMPACT</b>	Impact: Peace and stability conditions are improved in RECSA Member States	% of reduction of fragility situations due to the SALW proliferation	0%	20%	Not achieved within the timeframe of the project	This indicator will be measured in the long term
		% of reduction of crime cases due to the SALW proliferation	0%	30%	Not achieved within the timeframe of the project	This indicator will be measured in the long term
<b>OUTCOMES</b>	<b>Outcome 1:</b> a functional system for monitoring and evaluation of SALW proliferation implemented	Monitoring and evaluation system fully operational	None	M&E System operational	The M& E Strategy 2006 -2020 developed but not operationalized	The timelines within the project to ensure that the M&E strategy was developed and operationalized was very short. However the Strategic Plan and M&E Strategy were developed and approved.
		No. of M&E annual reports developed and distributed	None	One report per quarter	Five quarterly reports developed and distributed	There is no variance as all the quarterly reports have been written and disbursed on time

	<b>Outcome 2:</b> Policies and Legislation on SALW harmonization supported	No. of Member States that have harmonized their policies and legislation	2 Member States	5 Member States Tanzania, Kenya Uganda, DRC and Ethiopia	The Tanzania law was harmonized and implementation is in progress. Other member States like Kenya , Uganda and DRC have developed Draft Bills and are at various stages of completion.	The process for harmonizing the laws is government driven and is a slow process. It is expected the model legislation supported by the project will assist Member States to speed up the process.
		Effectiveness of harmonization of policies and legislations	NA	Effective	Not effective update on the level of operationalization of the harmonized policies	The effectiveness of the laws will be assessed in the long term beyond the time frame for this project
	<b>Outcome 3:</b> SALW proliferation and fragility situations assessed.	No. of reports on assessments of SALW proliferation and fragility situations	None	4 Assessment Reports	Five assessment reports done in the following countries: CAR, Burundi, DRC, South Sudan and Somalia undertaken.	The assessments in the five countries were undertaken despite the length of time to get research approvals from the respective countries
	<b>Outcome 4:</b> Institutional capacity of RECSA secretariat and National Focal Points improved	Improvement of the RECSA Secretariat capacity to better fulfill its mission	12%	50%	<ul style="list-style-type: none"> <li>• All the seven technical experts were recruited on short term contracts</li> <li>• One training for 15 NFPs was undertaken and the they attended.</li> </ul>	The short contracts did not allow for concerted knowledge transfer to both the RECSA secretariat and the National Focal Points.

	<b>Outcome 5:</b> A RECSA strategic and operational plan developed including better integration of fragility and cross-cutting issues (gender, youth) with a resource mobilization strategy	RECSA Secretariat strategic and operational plan document	Current plan expires this June 2014	Action Plan operational	2016-2012 Strategic Plan developed but not operationalized Operational Plan based on the strategic plan	The Strategic Plan being implemented
		RECSA Secretariat resource mobilization document	None	Strategy done and operationalized	Resource mobilization strategy develop	
<b>OUTPUTS</b>	<b>Component 1- Institutional Strengthening and Human Capacity Building</b>					
	Technical Assistance on Legal Advisory services	Document of harmonized policies and legislation	2	5	<ul style="list-style-type: none"> <li>• One Technical Legal Advisory services expert recruited</li> <li>• 1 document harmonized and implementation in progress</li> </ul>	4 laws not harmonized because of government bureaucracies .....
	Technical Assistance on Monitoring and Evaluation	Monitoring and evaluation system fully operational	Non Effective	Fully effective and operational	<ul style="list-style-type: none"> <li>• One Technical Expert in Monitoring and Evaluation recruited</li> <li>• The M&amp;E strategy was developed.</li> </ul>	operationalization of the M&E system was not sufficient

	Technical Assistance on Resource Mobilization	Effectiveness of resource mobilization capacity for RECSA Secretariat	Non Effective	Effective	<ul style="list-style-type: none"> <li>• One Technical Expert in Resource mobilization recruited</li> <li>• Resource mobilization capacity for RECSA secretariat not effective</li> </ul>	Project timeframe was short and therefore the RM capacity was not developed to achieve effectiveness
	Training for national focal points	No. of national focal points trained (disaggregated by sex)	0	15	One training conducted for NFP	All the NFPs trained were male. This was due to the fact that all the appointed NFPs by their respective Member States are male.
<b>Component 2- Operationalization of the Nairobi protocol in selected fragile and non-fragile situations</b>						
	Consultancy on assessments on SALW proliferation and fragility situations	No. of reports on assessments on SALW proliferation and fragility situations	0	4	The five studies were undertaken and completed	The study recommendations are expected to be implemented at Member States level.
	Consultancy on development and design bankable interventions in 5 fragile countries	No. of bankable projects developed	0	5	Five bankable projects were developed	The Bankable project await implementation

Commission studies on emerging security and fragility issues (cattle rustling, poaching, human and drug trafficking in RECSA region)/ consultancy	No. of reports on emerging security and fragility issues	0	One Regional report on Poaching covering Five Countries and One regional report covering five countries on Cattle rustling and poaching.	Two studies were undertaken and completed	Human and drug trafficking studies were left out due to budgetary constraints.
2.4 Development awareness programs and rollout to selected member states	2.4.1 Capacity institutional of RECSA to manage the program	Low technical capacity	High improved capacity	There is still low capacity in the member states and RECSA Secretariat	The timeframe in the project was short to achieve high improvement
2.5 Technical Assistance on Socio-economic, SALW proliferation and fragility research	2.5 No of socio economic reports on SALW proliferation	4 countries to be covered	4	<ul style="list-style-type: none"> <li>• One Social Economic research Technical Expert recruited</li> <li>• The five studies were undertaken and completed</li> </ul>	The time taken to complete the studies was longer than provided in in the project

	2.6 Technical Assistance on the project implementation (programs and operations, financial management and accounting, project procurement activities)	2.6.1 No of technical experts recruited	0	3	The Technical assistance in project implementation (programs and operations), financial management, and project procurement was actualized.	This activity was fully implemented
<b>Component 3: Project Management : project auditing, project implementation</b>						
	Project Steering Committee (PSC)				<ul style="list-style-type: none"> <li>● This was constituted as per the project guidelines</li> <li>● Five meeting were held</li> </ul>	No variance
	Project Audit				<ul style="list-style-type: none"> <li>● The project Audit was undertaken as per signed agreement</li> <li>● Two audits were done</li> </ul>	The Audit gave a Clean Bill of health for all the two Audits.



**Country and Project Name:** RECSA Member States. Technical Assistance and Capacity Building to RECSA to enhance regional and states' stability through reduction of proliferation of small arms.

**Project Purpose:** To enhance regional and states' stability through reduction of proliferation of small arms.

RESULTS CHAIN		PERFORMANCE INDICATORS			MEANS OF VERIFICATION	RISKS/MITIGATION MEASURES
		Indicator	Baseline (2014)	Target (2016)		
IMPACT	<b>Impact:</b> Peace and stability conditions are improved in RECSA Member States	<ul style="list-style-type: none"> <li>% of reduction of fragility situations due to the SALW proliferation</li> </ul>	0%	20%	Country and Regional situational assessment reports	<p><b>Risk:</b> Security, armed conflict and peace issues may compromise the achievement of project activities.</p> <p><b>Mitigation:</b> RECSA interventions in the countries are only limited to technical assistance which might not be severely affected by security issues.</p>
		<ul style="list-style-type: none"> <li>% of reduction of crime cases due to the SALW proliferation</li> </ul>	0%	30%		



OUTCOMES	<p><b>Outcome 1:</b> a functional system for monitoring and evaluation of SALW proliferation implemented</p>	<ul style="list-style-type: none"> <li>Monitoring and evaluation system fully operational</li> <li>No. of M&amp;E annual reports developed and distributed</li> </ul>	<p>None</p> <p>None</p>	<p>M&amp;E System operational</p> <p>One report per quarter</p>	<p>Functionality M&amp;E survey</p>	<p><b>Risk #1.</b> RECSA fails to maintain a cadre of sufficiently skilled and experienced personnel, to implement project</p> <p><b>Risk#2.</b> Delayed processing of bills in parliaments due to competing priorities</p>
	<p><b>Outcome 2:</b> Policies and Legislation on SALW harmonization supported</p>	<ul style="list-style-type: none"> <li>No. of MS that have harmonized their policies and legislation</li> <li>Effectiveness of harmonization of policies and legislations</li> </ul>	<p>2 Member States</p> <p>NA</p>	<p>5 Member States</p> <p>Effective</p>	<p>Technical assistance report; training workshops report</p>	<p><b>Mitigation.</b> Enhance capacity building for RECSA secretariat and National focal points</p> <p>Sensitization forums for relevant parliamentary committees and national state law offices</p>
	<p><b>Outcome 3:</b> SALW proliferation and fragility situations assessed.</p>	<ul style="list-style-type: none"> <li>No. of reports on assessments of SALW proliferation and fragility situations</li> </ul>	<p>None</p>	<p>4 Assessment Reports</p>	<p>Assessment reports</p>	

	<p><b>Outcome 4:</b> Institutional capacity of RECSA secretariat and National focal points improved</p>	<ul style="list-style-type: none"> <li>Improvement of the RECSA Secretariat capacity to better fulfill its mission</li> </ul>	12%	50%	Performance Evaluation reports and PCR
	<p><b>Outcome 5:</b> A RECSA strategic and operational plan developed including better integration of fragility and cross-cutting issues (gender, youth) with a resource mobilization strategy</p>	<ul style="list-style-type: none"> <li>RECSA Secretariat action plan document</li> <li>RECSA Secretariat resource mobilization document</li> </ul>	<p>Current plan expires this June 2014</p> <p>None</p>	<p>Action Plan operational</p> <p>Strategy operational</p>	<p>Technical Assistance report</p> <p>Quarterly/Annual Progress Report</p>

OUTP UTS	<b>Component 1- Institutional Strengthening and Human Capacity Building</b>					
	1.1 Technical Assistance on Legal Advisory Services	1.1.1 Document of harmonized policies and legislation	2 Non effective	5 Fully operational	Technical assistance reports; project completion report; supervision reports; Quarterly and Annual Progress Reports	<p><b>Risk #2.</b> Low involvement of Member states in the implementation of the project.</p> <p><b>Mitigation.</b> RECSA secretariat has a MOU with the Member States. The project activities (capacity building of RECSA secretariat) will also enhance the implementation of the MOU by increasing the involvement of Member States</p> <p><b>Risk #3.</b> Low ability to achieve activities within and according to the planned schedule</p> <p><b>Mitigation.</b> Technical assistance in monitoring and evaluation</p>
	1.2 Technical Assistance on Monitoring and Evaluation	1.2.1 Monitoring and evaluation system fully operational	Non effective	Effective		
	13. Technical Assistance on Resource Mobilization	13.1 Effectiveness of resource mobilization capacity for RECSA secretariat	0	15		
	1.4 Training for national focal points	1.4.1 No. of national focal points trained (disaggregated by sex)				

<b>Component 2- Operationalization of the Nairobi protocol in selected fragile and non-fragile situations</b>					Quarterly and Annual Progress Reports; study reports
	2.1 Consultancy on assessments on SALW proliferation and fragility situations	2.1.1 N° reports on assessments on SALW proliferation and fragility situations	0	4	
			0	5	
			0	4	
	2.2 Consultancy on development and design bankable interventions in 5 fragile countries	2.2.1 N° of bankable projects developed	Low technical capacity	High improved	
	2.3 Commission studies on emerging security and fragility issues (cattle rustling, poaching, human and drug trafficking in RECSA region)/consultancy	2.3.1 N° of reports on emerging security and fragility issues	4countries to be covered	4	
		2.4.1 Capacity institutional of RECSA to manage the program			
	2.4 Development awareness programs and rollout to selected member states	2.4.2 N° of socio economic reports on SALW proliferation			

	<p>2.5 Technical Assistance on the project implementation (programs and operations , financial management and accounting, project procurement activities</p> <p>2.6 Technical Assistance on Socio-economic, SALW proliferation and fragility research</p>					
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<p><b>1. Consultancy and Technical Assistance:</b> (i) consultancy on development of a 5 year Strategic and Operation Plan, development and operationalization of Monitoring and Evaluation System, development of a Resource Mobilization Strategy, development of guidelines for Establishment of NFPs / NCs; (ii) technical assistance on Legal Advisory Services, Monitoring and Evaluation , Programs and Operations, Financial Management and Accounting, Socio-economic, SALW proliferation and fragility research, project procurement activities, Resources Mobilization.</p> <p><b>2. Workshops, Training and sensitization programs:</b> Facilitate Establishment of three active NFPs / NCs (CAR, Somalia and RoC) , training on SALW International and Regional Instruments, Basics on SALW, Nairobi Protocol, stockpile management, public awareness/sensitization, training on Repair and Maintenance of arms marking machines (MC 2000T Couth Marking Machine), Sensitization of non-state actors and private sectors on the nexus between small arms proliferation and community security, High level sensitization dialogue with member countries; training on project designing and implementation.</p> <p><b>3. Project Management :</b> project auditing, project implementation</p>	<p>Total Project Cost: <b>UA 1 million</b></p> <p>ADF loan/TSF Pillar III: <b>UA 1 million (100%)</b></p>
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