Co-operating to Disarm

RECSA Monitoring & Evaluation Strategy

2016-2020

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List of Acronyms and Abbreviations

AfDB	African Development Bank
APSA	African Peace and Security Architecture
AU	African Union
COM	Council of Ministers
COMESA	Common Market for Eastern and Southern Africa
CSOs	Civil Society Organizations
ES	Executive Secretary
EU	European Union
MS	Member States
M&E	Monitoring and Evaluation
PSSM	Physical Security and Stockpile Management
RECSA	Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States
RSTS	RECSA Small Arms Tracing System Software
SALW	Small Arms and Light Weapons
SALWMIS	SALW Management Information System
SALWOGMISSALW	logistical management information system
TAC	Technical Advisory Committee
UXO	Unexploded ordinances

KEY TERMS

Activities: Action(s) taken or work performed within a project to transform means into results.

Assumptions: Important conditions for the success of the project that are not within its control, and which are worded as positive conditions.

Baseline: Data collected about specific indicators before an intervention starts that will serve as the starting point against which to measure change

Beneficiaries A limited group among the stakeholders, who will directly or indirectly benefit from the project.

Intervention: All types of planned undertakings with developmental objectives.

Indicator: The performance standard to be reached to achieve an objective.

Intervention logic: Strategy for achieving the project purpose, consisting of results, activities and means, and contributing to overall objectives.

Logical framework: Method for analysing and presenting the most important elements of a project and their interrelationships.

Overall objectives: Long-term development goals to which the project makes a contribution.

Participatory planning: A way of planning where the initiative and leadership is taken by the beneficiaries, and in which external facilitators participate.

Project: Different types of development interventions, which are designed to achieve certain specific objectives within a given budget and organization, and a specific period of time.

Project cycle: Model of the entire lifespan of a project.

Project purpose: The reason for or focus of the project, describing the improved situation which the project is expected to achieve.

Results: Products of the activities that together achieve the project purpose also known as outputs

Stakeholders: Groups of people, organizations and institutions who have a direct or indirect interest, or a role, in the project, or who affect or are affected by it.

Sustainability: In the context of a single project, the continuation of its benefits and impact after the project itself has ended.

Target: A specific, planned level of result for an indicator that is expected to be achieved within a defined period of time

1.0 INTRODUCTION

1.1 RECSA Background and Mandate

The Regional Centre on Small Arms and Light Weapons in the Great Lakes region, Horn of Africa and Bordering States (RECSA) is an inter-governmental organization established in 2005. It is has legal personality and enjoys diplomatic status by virtue of the Host Agreement entered into with the Republic of Kenya. The principle objective of RECSA is ensuring the efficient and effective implementation of the Nairobi Protocol, and the Nairobi Declaration as per Article 8 of the Agreement establishing RECSA. It is internationally recognized as an organization in Africa, whose sole mandate is to address the proliferation of illicit Small Arms and Light Weapons (SALW) and build capacity of National Institutions responsible for SALW management and control.

The organs of RECSA comprise; the Council of Ministers (COM), Technical Advisory Committee (TAC) and the Secretariat. Pursuant to the Nairobi Protocol, Member States committed themselves to prevent, combat, and eradicate the illicit manufacturing, trafficking and proliferation of SALW. This means that the primary responsibility of implementation of SALW management and control interventions solely lies with the respective Member States, while the mandate of RECSA Secretariat is to coordinate the implementation of the Nairobi Declaration and the Nairobi Protocol.

1.2 RECSA 2016-2020 Strategic Plan

Over the years, a consensus has emerged that there are negative and mutually reinforcing links between armed violence, insecurity and development. The proliferation of illicit small arms constitutes a threat to human development, good governance and democratic consolidation. Armed violence and insecurity have profound and long term negative consequences for states, societies and the quality of people's lives. SALW as tools of choice in armed conflicts is a major driver of fragility that weakens societies/nations resilience.

The proliferation of illicit small arms and light weapons in the Great Lakes Region, Horn of Africa and Bordering States continues to sustain armed conflicts, cattle rustling, poaching and fuels armed crimes and terrorism. All these challenges contribute to fragility situations that result into negative effects on sustainable development. The recognition of the

inter-dependence of security and development can be articulated in the relationship between poverty, inequality, lack of opportunity and causes of violence

In view of the on-going and recognizing the link between SALW proliferation and sustainable development and the negative impacts of armed conflict, RECSA Secretariat has developed a strategic plan to guide its SALW control and management interventions for the period 2016-2020 on which this monitoring and evaluation (M&E) strategy is aligned.

1.2.1   *RECSA Vision, Mission and Core Values*

RECSA envisions a safe and secure sub-region in a peaceful continent free from arms proliferation. Its mission is to coordinate action against SALW proliferation in the Great Lakes Region, Horn of Africa and Bordering States. RECSA's Core Values are: Flexibility; Gender Sensitivity; Integrity; Team Work; Transparency; Professionalism; and Partnership.

1.2.2   *RECSA goal and objectives*

The goal of RECSA is to contribute to a safe and secure sub region free from arms proliferation. This will be achieved through the coordination of SALW interventions at Member State level driven by the following objectives:

- Increased institutional capacity of RECSA Secretariat and National institutions responsible for SALW management and control in Member States.
- Strengthening arms management and control in Member States to create a safe environment for sustainable development
- Promotion of SALW adaptive research (to influence SALW policy), public education and awareness
- Mainstreaming of Monitoring, Evaluation and Special Interest Groups in all RECSA SALW related interventions.

1.2.3   *RECSA Strategic Pillars, Outcomes and Activities*

This M&E Strategy is premised on the RECSA Strategic Plan 2016-2020 pillars, outcomes and key activities indicated in table 1below:

Table 1:   RECSA Strategic Pillars, Outcomes and Key activities

Strategic Pillar 1: Institutional development and strengthening		
Outcome:	**Strategic Options**	**Key activities**
Strengthened capacity of RECSA Secretariat and National Institutions responsible for SALW management and control in Member States by 50%.	RECSA Secretariat Institutional Strengthening	● Operationalization of RECSA institutional structure ● Capacity building and training of RECSA staff, both newly recruited and existing ● Operationalization of institutional policies ● Establishment of a permanent HQ for RECSA Secretariat ● Establishment of a Regional Training Centre for SALW management and control
	Development and Strengthening of National Institutions responsible for SALW management and control	● Establishment of national institutions responsible for SALW control where they do not exist and build their capacity ● Capacity enhancement of national institutions responsible for SALW control and management where they exist; ● Support member states in the harmonization of their legislation with international and regional SALW instruments;
	Resource Mobilization	● Development and operationalization of a resource mobilization strategy
	Cooperation and partnership building	● Develop and strengthen partnerships with development partners, non-state actors and the private sector players
Strategic Pillar 2: Support Member States in Physical Security and Stockpile Management for a safe environment towards sustainable development		
Outcome	**Strategic Options**	**Key Activities**
Improved physical security and stockpile management by 20% in all RECSA Member States.	Arms control and management	● Arms Marking ● Electronic record keeping ● Armoury construction and refurbishment ● Develop SALW training handbooks ● Physical Security and Stockpile Management (PSSM)- training for law enforcement agencies ● Cross-border management and joint operations ● Civilian disarmament ● SALW, Unexploded Ordinances (UXOs and ammunition destruction
Strategic Pillar 3: Adaptive Research, Public Education and Awareness		

Strategic Pillar 1: Institutional development and strengthening		
Outcome:	**Strategic Options**	**Key activities**
Outcomes	**Strategic Options**	**Key Activities**
(i) Increased capacity to influence SALW policy by 20% annually	Adaptive research	• Conduct research on thematic areas to influence policy • Conduct baseline surveys
(ii) Increased awareness on the link between SALW proliferation and poaching by 20%	Anti-poaching initiatives	• Undertake studies on poaching dynamics • Partner with specialised agencies to counter poaching • Advocacy and policy influence at Member States levels and regional forums
(ii) Increase awareness in all RECSA member states on SALW by 20%.	Public Education and Awareness	• Develop and operationalize the communication strategy • Develop a SALW public education and awareness campaign materials
	RECSA visibility	• RECSA rebranding • Networking and Social Sustainability
Strategic Pillar 4: Mainstreaming Monitoring & Evaluation and Special Interest Groups in all SALW Interventions		
Outcomes	**Strategic Options**	**Key Activities**
i) Improved reporting of results by 20% annually;	Mainstreaming Monitoring and Evaluation in SALW interventions	Develop and operationalize RECSA Monitoring & Evaluation strategy Build M&E capacity at the secretariat and member state levels
ii) Increased participation of special interest groups in SALW interventions by 10% annually.	Mainstreaming of special interest groups in SALW intervention	Develop a special interest groups mainstreaming strategy Operationalize the special interest groups strategy Develop a special groups SALW intervention strategy Operationalize the special groups SALW intervention policy

Source: RECSA 2016-2020 Strategic Plan

1.2.4 Development of RECSA Monitoring and Evaluation Strategy 2016-2020

The development of this M&E strategy 2016-2020 was undertaken through a participatory and consultative process. The process included review of RECSA's previous 5-year M&E strategy for the period 2009-2014. The coverage area and target beneficiaries are RECSA Secretariat and Member States within the Great Lakes Region, Horn of Africa and Bordering States.

The indicators in this strategy are requisite in undertaking monitoring and evaluation towards the attainment of RECSA objectives and overall goal. They will be used by staff at RECSA

Secretariat and at the National Institutions responsible for SALW management and control in Member States to measure performance. The strategy leverages on the use of technology to enhance timely reporting and improve data management. To this end, RECSA will establish an integrated management information system (MIS) on indicators that will enhance the production of reports and sharing of data to facilitate efficient and effective decision making at RECSA Secretariat and National Institution at Member States level.

The M&E strategy provides a robust approach for measuring outcomes and impact of RECSA SALW interventions through baseline surveys, assessments, reviews, mid and end term evaluations.

1.2.4 Objectives of the M&E Strategy

The purpose of this strategy is to facilitate the tracking of progress towards RECSA results and generation of information for decision making by stakeholders at Secretariat and Member States.

Specific objectives of the strategy are:

1. To define the data requirements and assign responsibilities for effective tracking of RECSA SALW interventions at all levels.

2. To define data management protocols and assign responsibilities for data collection, data flow, analysis and reporting by different stakeholders at Secretariat and Member States.

3. To define data feedback mechanisms and utilization for decision making at RECSA Secretariat, Member States and other stakeholders.

1.2.5 Purpose of the Monitoring & Evaluation Strategy

RECSA M&E Strategy 2016-2020 has been designed to measure progress towards the achievement of RECSA Strategic plan overall goal and objectives. It will collect and provide information and quality data that will be used to:

● Track progress on implementation of all components of grants management, operational, program activities and capacity building for RECSA Secretariat and National Institutions responsible for SALW management and control at Member states.

● Monitor activities implemented and identify gaps and weaknesses in implementation;

- Inform stakeholders, funding agencies, RECSA staff as well as Member States on the results of SALW interventions;

- Improve planning, prioritizing and management of resources;

- Improve accountability and report accurately.

This strategy has the following sections (1.) Introduction (2.) Monitoring and Evaluation for RECSA (3.) Monitoring Frameworks (4.) RECSA Monitoring and Evaluation Indicator Matrices, (5.) Data Collection and Reporting, (6) Strategic Information Dissemination and use (7.) Road Map for implementation of the M&E Strategy 2016-2020.

2.0 MONITORING AND EVALUATION FOR RECSA

2.1 Introduction

RECSA is cognizant of the need to generate, analyze and document data on progress made in the implementation of the 2016-2020 strategic plan. This strategy provides a comprehensive framework for data collection, aggregation, storage, reporting and dissemination. It further enhances information sharing and utilization at various levels for effective planning and programming of interventions. During the M&E strategic period 2016-2020, focus will be on availing adequate, timely, quality and reliable information that will be used to track progress towards expected outputs and outcomes and at the same time ensure lessons are drawn from all SALW interventions.

2.2 Monitoring and Evaluation Concepts

Monitoring is the systematic collection and analysis of management and performance information about a project/program, undertaken while the project/program is ongoing to identify and measure changes over a period of time.

Evaluation is the analysis of the effectiveness and direction of an activity and involves making judgment about progress and impact. It is a periodic, retrospective assessment of an organization, project or program that can be conducted internally or by external independent evaluators. Figure 1 provides the logical link between Monitoring and Evaluation.

Figure 1:   Logical link between Monitoring and Evaluation
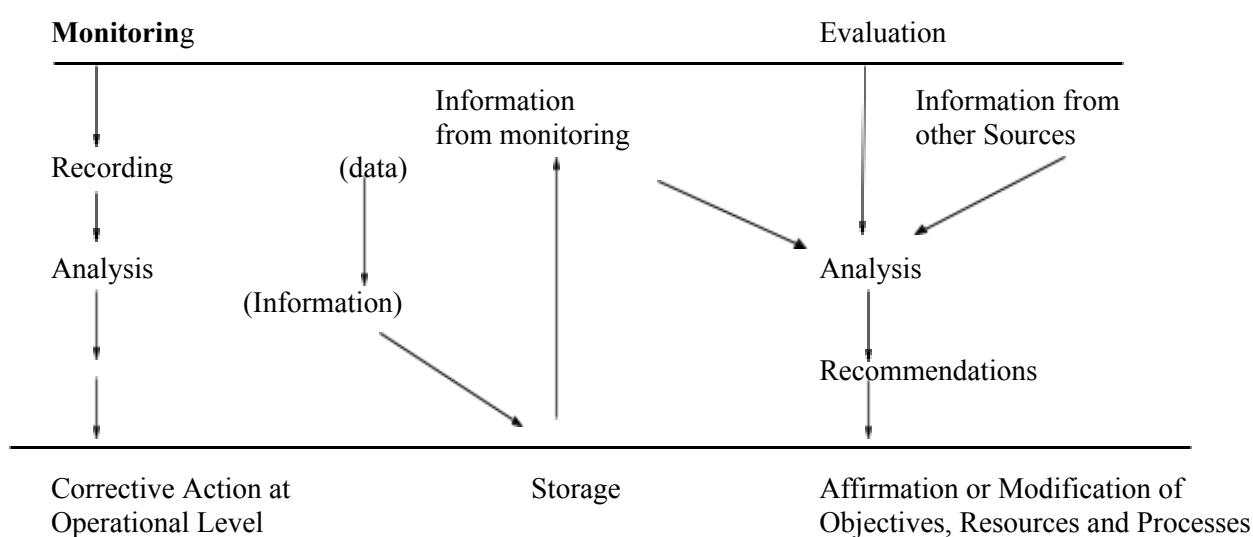
Source: Priyan S., et al: Evaluation of a National Health Program in India (2015)

2.2.1 Role of Monitoring and Evaluation in RECSA

i. Assess and demonstrate RECSA effectiveness in achieving its objectives and/or impacts in undertaking SALW interventions in Member states

ii. Improve internal learning and decision making about project design, how the organization operates, and implementation. This is about the success factors, barriers, which approaches work and those that do not work

iii. Empower and motivate RECSA staff; Member states and the wider African region on SALW Interventions

iv. Ensure accountability to key stakeholders who include Member States; Donor partners, and citizens.

v. Use relevant data and information to influence government policy on SALW management and control.

vi. Share learning in RECSA secretariat, local communities; Member States, wider African continent and other key stakeholders

vii. Contribute to the evidence base about effectiveness and challenges of Stakeholder action in SALW management and control interventions

Table 2 provides a comparison of monitoring and evaluation.

Table 2:   Monitoring vs. Evaluation

	Item	Monitoring	Evaluation
1.	**Frequency**	Periodic/ Regular	Episodic
2.	**Main action**	Keep track/Oversight	Assessment
3.	**Basic Purpose**	Improving efficiency/ Adjust work plan	Improving efficiency/Impact and future programing
4.	**Focus**	Inputs/Outputs/Process/ Outcomes/work plans	Effectiveness/Relevance Impact/Cost effectiveness
5.	**Sources of Information**	Routine system/ field observations	Routine systems/field surveys/ studies
6.	**Responsibility**	Project Managers/ Supervisors /funders	Project Managers/ Supervisors/ funders/ external evaluators

Source: RECSA Data (2016)

2.2.2   RECSA's Monitoring Activities

(i) *Implementation monitoring:* RECSA will track resources from Member States, development partners and skills from staff in the execution of SALW interventions to achieve the intended results as highlighted in the work plans and budgets in compliance with the strategic plan.

(ii) *Process monitoring***:** At RECSA, process monitoring will be conducted primarily to identify deviations from "ideal" and take corrective action. More importantly, through the identification of how and why the deviations from the ideal takes place, process monitoring will promote sustainable institutional learning.

(iii) Results based monitoring*:* In keeping with the hierarchy of objectives principle (Annex 1), RECSA results based monitoring and evaluation will focus on the assessment of progress towards outcomes and impacts as indicated in the results chain in figure 2.

Figure 2:   Results Chain
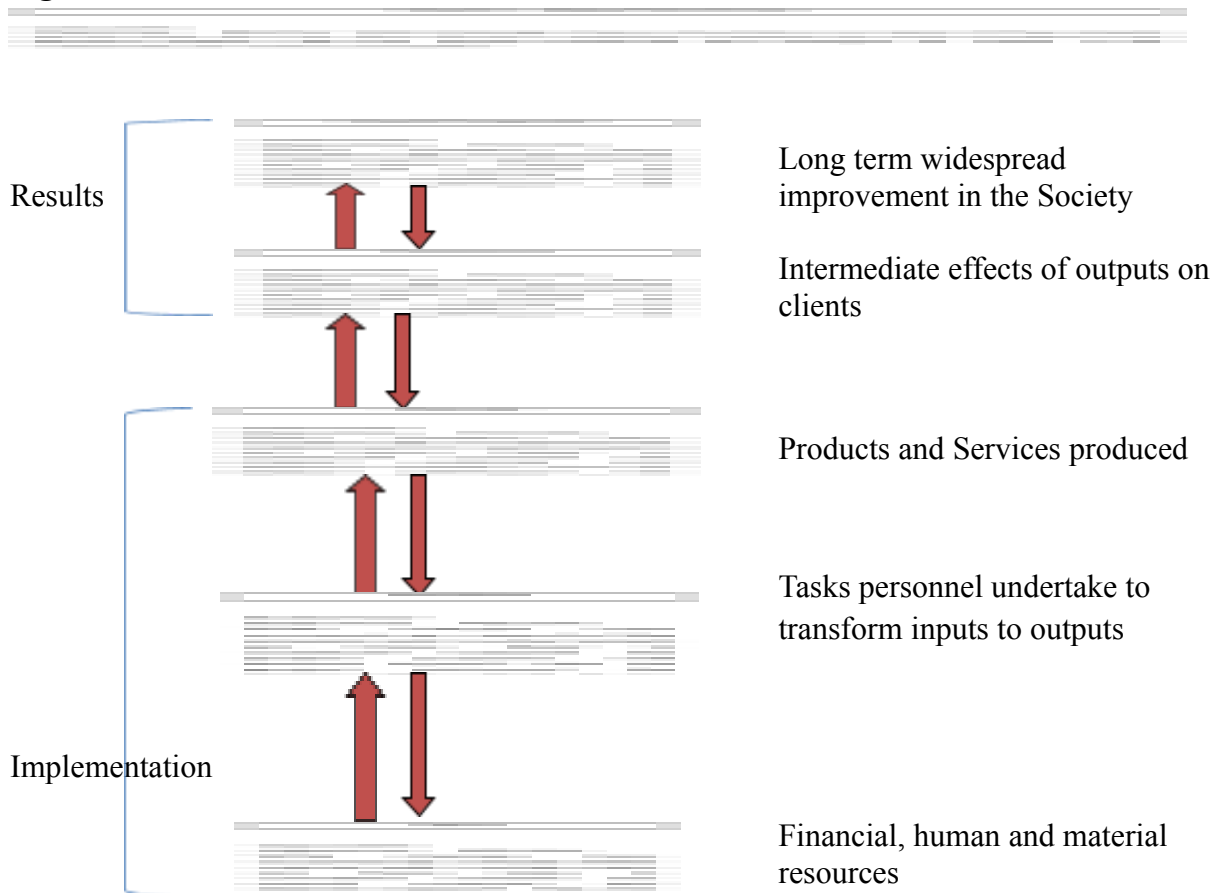
Source: Madhawa Waidyaratna: RBME- A Tool for Public Sector Management (2012)

Results based monitoring and evaluation for RECSA will track the following:-

- *Progress towards outcomes* by periodically analyzing the extent to which intended outcomes have actually been achieved or are being achieved;

- *Factors contributing to or impeding achievement of the outcomes* by monitoring the external factors and developments simultaneously taking place;

- *Contributions to the outcomes* through outputs generated by specific activities. Accordingly, it is the analysis of whether or not outputs are in the process of being produced as planned and whether or not the outputs are contributing to the outcome.

- *The design of partnership strategies* to ensure that partners who are concerned with an outcome have a common appreciation of problems and needs, and that they share a synchronized strategy.

2.2.3   Forms of Evaluation

(i) Formative evaluation: Evaluation intended to improve performance, conducted during the design and/or implementation phases of projects or programs i.e. baseline studies.

*(ii) Summative evaluation***:** This will be conducted at the end of an intervention to determine the extent to which anticipated outcomes were produced i.e. end term evaluations.

(ii) On-going evaluations: This applies to the periodic review of the implementation of an intervention, often done at critical stages to determine if the activities should be continued, modified, or aborted. It is more of an operational management tool conducted largely through peer and stakeholder reviews to determine the efficiency of resource use and to identify implementation problems.

2.2.4   Guiding Principles on the Monitoring and Evaluation Strategy

The following principles apply:

(i) Harmonization and alignment: RECSA Secretariat, Member States and other stakeholders will collaborate to attaining RECSA results in a harmonized and coordinated manner. This M&E strategy will provide guidance to harmonization of data and M&E processes and work collaboratively to facilitate an efficient and coordinated process of tracking, monitoring and evaluating RECSA results.

(ii) Standardization of indicators and data collection: RECSA indicators, data collection tools, and methods will be standardized to allow comparability of outputs and outcomes across interventions in Member States.

(iii) Strategic dialogue and partnerships: Dialogue and partnerships will be strengthened through various stakeholder fora at RECSA Secretariat and at Member States to review progress in implementation and assess the effectiveness of SALW interventions.

(iv) Data demand and use: Data collected at all levels will be made available to RECSA Secretariat and Member States for use in decision making and programming of SALW interventions.

(v) Transparency, accountability and feedback: Information dissemination mechanisms will be utilized to promote transparency and enhance accountability at RECSA Secretariat and Member States, taking advantage of information technology to enhance efficiency through an online web based system.

In addition this M&E strategy is anchored on the overarching issues of relevance, usefulness, timeliness and credibility as follows:

i. Focused and feasible in relation to available resources so that it supports rather than diverts resources from action

ii. Useful and timely information to improve RECSA learning, decision making, and project design.

iii. Useable by, and/or comparable to data collected by other stakeholders so that it contributes to the wider evidence base;

iv. Credible, valid and reliable to the extent possible within available resources

v. Sensitive to unequal power relations around data collection especially the special interests groups

vi. Ethical in relation to data consent and protection.

3.0 MONITORING FRAMEWORKS

3.1. Conceptual Framework

Many organizations have limited or low technical and institutional capacity to monitor their activities. RECSA is no exception and this M&E strategy adopts a results logical approach of inputs, outputs, outcome and impact indicators to ensure ongoing monitoring and evaluation of the goal and objectives of SALW interventions.

The Logical Model (annex 2), Results Logical Framework (Annex 3) and the Performance Monitoring Plan (Annex 4) represent RECSA's hierarchy of objectives. They have been developed on the premise that RECSA is funded to undertake SALW interventions, its organizational structure is operationalized, RECSA staff and National Institutions responsible for SALW management and control at Member States are trained and a robust monitoring and evaluation infrastructure is developed and implemented. This is to ensure that RECSA becomes more effective in its coordination role of implementing the Nairobi Protocol with the vision of contributing towards a safe and secure environment for sustainable development.

The above hypothesis assumes that there will continue to exist a positive policy environment for the implementation of SALW legislation; Member States will remain politically stable and willing; development partners will fund SALW activities and that there will be no severe natural disasters /calamities during the implementation period 2016-2020.

4.0 RECSA MONITORING AND EVALUATION INDICATOR MATRICES

This section outlines the core indicators to be used in monitoring, tracking and evaluating RECSA outputs, outcomes, and impact, and to inform decision making at Secretariat and Member States. The core indicators measure the performance of RECSA in line with the set goal and the targeted results for each strategic direction. In addition each intervention will develop specific plans at the implementation level that may identify additional indicators to meet their information requirements.

The indicator is the key variable in the performance management framework that is tracked. The following comprehensive indicator matrices have been developed as part of the monitoring and evaluation strategy that defines the performance criteria upon which all the strategic pillars are expected to report.

4.1 RECSA Goal Level Results and Indicators

RECSA's goal is to: Contribute to a safe and secure sub region free from arms proliferation for sustainable development. This result has three indicators as shown in table 3 which will be used to track RECSA goal level result.

Table 3:   RECSA Goal Indicators

Strategic Options (Key Interventions)	Result (Output)	Indicators	Sources of Information	Reporting Responsibility
Contribute to a safe and secure sub region free from arms proliferation for sustainable development	Safe and Secure sub region that enhances sustainable development	% increase in Human Development Index ranking for RECSA Member States % reduction of fragility situations due to the SALW proliferation % of reduction of armed crimes	UN Reports Member State Reports M&E reports Survey findings	RECSA Member States

Source: RECSA SP Data (2016)

4.2   Indicators for RECSA Strategic Pillars

4.2.1   Strategic Pillar 1: Institutional Development and Strengthening

This strategic direction addresses RECSA Institutional Development and Strengthening aspects that affect the effective implementation of SALW intervention in Member States.

This pillar outlines eight (8) results (outputs) and twelve (12) core indicators for measuring achievement of results and tracking progress in implementation of interventions under this strategic direction. The expected results (outputs) as indicated in table 4 under this strategic direction are:

  i.   RECSA institutional structure fully operationalized by 2018

 ii.   RESCA staff with improved institutional and technical capacity to perform their duties by 2020

iii.   All developed policies operationalized by 2018

 iv.   National Institutions responsible for SALW management and control established in all member states where they do not exist.

  v.   National Institutions responsible for SALW management and control capacitated where they exist.

 vi.   National legislations on SALW harmonized with regional and global instruments on SALW.

vii.   Resource mobilization strategy developed and operationalized.

viii.   Robust partnerships established and/or strengthened.

Table 4:   Indicator Matrix for Institutional Development and Strengthening

Strategic Options (Key Interventions)	Result (Output)	Indicators	Sources of Information	Reporting Responsibility
Institutional Strengthening of RECSA Secretariat	RECSA institutional structure fully operationalized by 2018	• Percentage of established staff positions filled	• Recruitment Data Sheets • Employment contract	Executive Secretary Director Finance and Administration
	RESCA staff with improved institutional and technical capacity to perform their duties by 2020	• Number of professional staff provided with at least 2 specialized courses within the first 2 years	• Training Reports • Performance Appraisal reports • RECSA Annual report	Director Finance and Administration
	All developed policy documents operationalized by 2018	• Number of policy documents operationalized	• COM resolution • Management reports • Policy documents	Executive Secretary
Development and Strengthening of National Institutions responsible for SALW management and control	National Institutions responsible for SALW control established in all countries where they do not exist	• Number of National Institutions established	• Establishing Instrument	RECSA Staff
	National Institutions responsible for SALW capacitated	• Number of National Institutions whose capacity has been build	• RECSA Annual Report • Activity Reports	RECSA Staff , National Institution in respective MS
	National SALW legislation harmonized with regional and global instruments	• Number of Member States whose national SALW legislation is harmonized with regional and global instruments	• Acts of Parliament • Activity Reports	National Institution in respective MS RECSA Staff
Resource mobilization	Resource mobilization strategy developed and operationalized	• Amount of resources mobilized by 2020 • Number of donors brought on board	• COM Resolution • Audit Report • Donor meeting reports	Executive Secretary Management Team Resource Mobilization Officer
Cooperation and partnership building	Robust partnerships established and/or strengthened	• Number of new partnerships established; • Number of CSOs; • Number of PSPs • Number of working groups RECSA is participating actively	• MOU with partners • Annual Report • Activity Reports	RECSA Staff

Source: RECSA SP Data (2016)

4.2.2 Strategic Pillar 2: Support Member States in Physical Security and Stockpile Management for a Safe Environment towards Sustainable Development

This strategic direction aims at ensuring prompt focus on the management and control of SALW within the Great Lakes Region, Horn of Africa and Bordering States. The focus puts RECSA on the path of achieving its core mandate in addressing the proliferation of illicit SALW and ensuring the efficient and effective implementation of the Nairobi Protocol and the Nairobi Declaration.

Table 5 outlines seven (7) results and the related fifteen (15) indicators that will be used to track the results of Strategic Pillar 2 on improving the Physical Security and Stockpile Management for a safe environment towards sustainable development

The expected results (outputs) under this strategic direction are:

i. Improved identification of firearms in Member States

ii. Reduced risks of diversion and unintended explosions

iii. Improved SALW record keeping at Member State level

iv. Improved safe storage facilities for stockpile

v. Enhanced capacity on stockpile management

vi. Enhanced co-operation and information sharing on border management.

vii. Reduced armed violence among communities

Table 5: **Indicator Matrix for Support to Member States in Physical Security and Stockpile Management**

Strategic Options/ Key Interventions	Result (Output)	Indicators	Data Source	Person Responsible
Arms control and management	Improved identification of firearms in Member States	● Number of arms marking machines procured per member state ● Percentage of marked arms	● Arms Marking Reports	RECSA Staff , National Instituti in respective MS
	Reduced risks of diversion and unintended explosions	● Number of firearms ; UXOs and ammunitions destroyed per country	● Destruction reports	RECSA staff, National Instituti in respective MS
	Improved SALWs record keeping at member state level	● Number of countries provided with RSTS ● Number of people trained on the use of the software	● Training reports on RSTS	RECSA staff, National Instituti in respective MS
	Improved safe storage facilities for stockpile	● Number of new armories constructed ● Number of existing armories refurbished	● Reports	RECSA staff, National Instituti in respective MS
	Enhanced capacity on stockpile management	● Number of law enforcement agencies in charge of stockpile management trained on PSSM	● Training reports on PSSM	RECSA staff, National Instituti in respective MS
	Enhanced co-operation and information sharing on border management	● Number of assessments undertaken ● Number of sensitization forums conducted ● Number of cross border forums held ● Number of cross border operations conducted	● Assessment Reports ● Meeting reports	RECSA staff, National Instituti in respective MS
	Reduced armed violence among communities	● Number of illegal arms collected/ surrendered ● Number of campaigns for voluntary surrender of SALW conducted ● Number of alternative livelihood projects initiated	● Civilian disarmament reports ● Activity reports ● Project reports	RECSA staff National Instituti in respective MS

Source: RECSA SP Data (2016)

4.2.3   Strategic Pillar 3: Adaptive research, Public Education and Awareness

This strategic pillar emphasizes identification and implementation of action oriented research, sustained public education and awareness interventions on SALW in relation to (Poaching, Cattle rustling; fragility; armed conflict; gender based violence, radicalization and violent extremism among others). It has four (4) results and nine (9) indicators defined in Table 6:

  i.   Well informed policies on SALW in relation to (Poaching, Cattle rustling; fragility; armed conflict; gender based violence, radicalization and violent extremism among others)

  ii.   Availability of timely information on SALW interventions

  iii. Improved public education, awareness and RECSA visibility

  iv.   Improved public participation on SALW interventions

Table 6:   Indicator Matrix for Adaptive research, Public Education and Awareness

Strategic Options/Key Interventions	Result (Output)	Indicators	Data Source	Reporting Responsibility
Adaptive research	Well informed policies on SALW in relation to (Poaching, Cattle rustling; fragility; armed conflict; gender based violence, radicalization and violent extremism among others)	• Number of researches undertaken, published and disseminated • Number of consultative forums held • Number of informed policies influenced • Number of anti-poaching initiatives	• Research reports • Meeting reports • Policy briefs • Policy documents	RECSA staff, National Institution in respective MS, Wildlife protection specialized institutions
	Availability of timely information on SALW interventions	• Number of baseline surveys conducted	• Survey Reports	RECSA staff, National Institution in respective MS
Public Education, Awareness and RECSA visibility	Improved public education, awareness and RECSA Visibility	• A communication strategy developed and operationalized	• Annual report • Assessment reports	RECSA staff, National Institution in respective MS
	Improved public participation on SALW interventions	• Number of public awareness materials developed • Number of public awareness campaigns held • Number of assessments conducted	• Activity Reports • Assessment reports	RECSA staff, National Institution in respective MS

Source: RECSA SP Data (2016)

4.2.4 Strategic Pillar 4: Mainstreaming Monitoring, Evaluation and Special Interest Groups in all SALW Interventions

This strategic pillar focuses on two key aspects in SALW management and control: Mainstreaming Monitoring and Evaluation and affirmative action on Special Interest Groups to actively participate in SALW interventions.

Special Interest groups are the vulnerable populations who are most affected by the proliferation of SALWs. They include women, children, youth and persons with disabilities. Table 7 shows the two (2) results and six 6) related indicators that will be used to track the results of Strategic Pillar 4 interventions. The expected results (outputs) under this strategic direction are:

    i. Improved tracking of program implementation, reporting and lesson learning

    ii. Increased participation of special interest groups in SALW interventions

Table 7:   **Indicator Matrix for Mainstreaming Monitoring & Evaluation and Special Interest Groups in all SALW Interventions**

Strategic Options/ Key Interventions	Result (Output)	Indicators	Data Source	Reporting Responsibility
Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	Improved tracking of program implementation reporting and lesson learning	● An M&E strategy developed and operationalized	Annual report Assessment reports	M&E
		● Number of trainings for staff ● Number of trainings at National Institutions ● Number of evaluations	Training reports	M&E
	Increased participation of special groups in SALW interventions	● Special interest groups strategy developed and operationalized ● Number of SALW interventions involving special interest groups ● Number of SALW interventions initiated by Special groups	Annual report Activity reports	RECSA staff, National Institution in respective MS

Source: RECSA SP Data (2016)

4.2.5 *Indicators for RECSA* **Capital Expenditure**

This strategic direction aims to ensure the financial sustainability of RECSA Secretariat. Table 8 shows the priority result and two indicators which are Construction of the Headquarters and a Training Centre.

Table 8:   Indicator Matrix for Capital Expenditure

Strategic Options/ Key Interventions	Results (Outputs)	Indicators	Data Source	Person Responsible
Institutional Strengthening of RECSA Secretariat and Member States	Improved Organizational Performance	Constructed Headquarters	● COM resolutions ● Audit Reports	Executive Secretary
		SALW Regional Training Centre constructed		Executive Secretary

Source: RECSA SP Data (2016)

5.0 DATA COLLECTION AND REPORTING

This section details the overall common data architecture for the M&E strategy and Management Information System (MIS). The process is based on data collection and data flow channels within the context of SALW interventions at RECSA secretariat and National Institutions responsible for SALW interventions in Member States.

5.1   Common Data Architecture

RECSA will establish and oversee a common SALW interventions database to ensure that information is generated, managed, and shared in a coordinated manner. The SALW interventions database will capture data on the core indicators outlined in this M&E Strategy which includes program activities, data from assessments surveys, and evaluations. This will be a web-based database designed to allow access by both RECSA Secretariat and Member States.

The database will:

● Present data entered into the system, inputs from National Institutions at Member States, import and process all data, produce reports, and provide feedback to specific stakeholders.

● Provide a platform for National Institutions to input, import, and analyse routine SALW intervention data as well as data from evaluations relevant to the respective country, produce reports, and provide feedback.

● Integrate a Geographic Information System (GIS) that allows geospatial representation of data for mapping and profiling SALW interventions in Member States.

● Have a data capture interface for indicators entered at RECSA Secretariat and Member states depending on the type of indicator and the reporting requirements.

● Ensure that all the SALW intervention data collection will be automated and linked to ensure inter-operability with this SALW database. The use of electronic records, online reporting and other data transmission technologies will be employed to ensure that routine M&E systems are fully automated.

5.2.   SALW Management Information System

The SALW Management Information System (SALWMIS) is a central management information system for the SALWs sector that will provide data to the unified SALW interventions database. RECSA Secretariat and all National Institutions in Members States will submit SALW interventions data on SALWMIS at country level. This data will then be aggregated and used to report on the RECSA SALW intervention indicators. Secondly, the management information system will track the supply chain of office supplies and inventories.

5.3   Baseline Surveys, Assessments and Evaluations

This section outlines the baseline surveys, assessments and evaluations that will provide data for RECSA outcomes, outputs and overall goal.

(i) **Baseline surveys** will be undertaken to assess changes in RECSA goal, outputs and outcomes on SALW interventions. The surveys will employ sufficient sample for data analysis to inform realignment of RECSA SALW interventions.

(ii) **Assessments:** These will be undertaken to provide information on SALW interventions and trends in Member States. The scope of assessments will include mainstreaming of SALW interventions in the Special Interests groups that includes women, children, youth and persons with disabilities.

(iii) **Evaluations:** To assess the effectiveness, impact and sustainability of RECSA SALW interventions, mid-term, end-term and program evaluations will be conducted.
- *Program Evaluation*

Program evaluations will be used to establish the effectiveness and efficiency of SALW interventions. This will be intervention specific assessments during the M&E strategy implementation period.
- *RECSA Mid-Term Evaluation*

A mid-term evaluation to be undertaken by external independent experts will be scheduled for 2018. This evaluation will assess the relevance, effectiveness, and efficiency of RECSA 2016-2020 strategic plan. A detailed evaluation protocol will be

developed to ascertain the achievements against what was planned. Findings of this evaluation will inform the review of the strategic plan.

- *RECSA End-Term Evaluation*

This evaluation will be conducted by independent experts and will focus on the extent to which RECSA impact and outcome results have been achieved over the implementation period. This evaluation is scheduled for 2020, and the findings will be expected to inform the development of the next strategic plan.

5.4   Data Quality

Results-focused programing requires the design and implementation of programs based on evidence. Since data play a central role in establishing effective performance management systems, it is essential to ensure good data quality. Without this, decision makers do not know whether to have confidence in the data, or worse, could make decisions based on misleading data.

5.4.1   Data Quality Standards

At RECSA data quality will be one element of a larger interrelated performance management system. Data quality will flow from a well-designed and logical strategic plan where objectives and results (outputs) are clearly identified. If a result is poorly defined, it will be difficult to identify quality indicators and without quality indicators, the resulting data will have data quality problems.

RECSA will determine what level of data quality is acceptable for management purposes. Standards for data quality will be based on the intended use of the data. RECSA shall ensure that the level of accuracy, in (on) time, precision, and reliability of performance information is consistent with the good management practices.   RECSA has developed five data quality standards:

i.   **Validity:** refers to the extent to which a measure actually represents what is intended for measurement

ii.   **Reliabilit**y: Data should reflect stable and consistent data collection processes and analysis methods over time.

iii. **Precision**: Precise data have a sufficient level of detail to present a fair picture of performance and enable management decision-making.

iv. **Integrity**: Integrity focuses on whether there is improper manipulation of data

v. **Timeliness**: Data should be available frequently and in good time to facilitate decision making. As a general guideline, data should not lag for more than three years.

5.5   Reporting Schedule

Reporting schedules and formats have been developed to facilitate timely and accurate data capture and processing for performance monitoring. For purposes of implementation monitoring, RECSA Secretariat and National Institutions will prepare activity reports, quarterly and annual reports.

5.6   Roles and Responsibilities in Monitoring and Evaluation

The Principal Officer - Monitoring and Evaluation shall have the responsibility of overseeing the implementation of the M&E activities outlined in this plan. She/he will work in collaboration with all RECSA staff to implement the planned M&E activities. At appropriate times the services of independent consultants will be procured to conduct mid-term and end term evaluations. The roles and responsibilities of the each of the team members are outlined in table 9.

Table 9:   Roles and Responsibilities

Team Member	Role and responsibilities
Principal Officer - Monitoring and Evaluation assisted by all RECSA staff	• Take lead in the development of M&E system, data collection tools, data management, reporting, and M&E capacity building for RECSA staff and National Institutions. • Oversee implementation of M&E activities • Dissemination of M&E results at RECSA and Member states • Assist in reporting on program progress • Undertake field monitoring visits and prepare reports • Conduct Mid Term and End Term Evaluation
RECSA staff assisted by National Institutions staff responsible for SALW management and Control at Member States	• Record and document all intervention information, data and activities for national institutions • Review National Institutions SALW intervention progress reports and provide feedback • Track National Institutions SALW activity implementation through site visits, observations, report review, data collection and reporting. • Undertake and prepare field monitoring visit reports
Finance Officer	• Develop tools to record and monitor grants processes and tools/guidelines for financial audits • Report on activity based grants/financial process • Review partners financial reports and provide feedback to RECSA and partners • Take lead in the monitoring of grants utilization processes
Capacity Building/ Training Officer	• Development of tools to track capacity building activities • Monitoring and reporting on capacity building activities • Record and document all training activities including web based learning • Assist in monitoring of capacity building interventions at RECSA and National Institutions
Director of Planning and Coordination	• Reporting on SALW intervention progress • Take lead in program improvement/planning based on M&E results
Executive Secretary	• Overall reporting on SALW interventions at RECSA Member governance organs

Source RECSA Organizational Structure (2014)

5.7   Data Flow and Feedback Mechanism

Annex 5 illustrates how data on SALW interventions and feedback will flow among all the stakeholders. Standard reporting tools will be used to give reports to all stakeholders. The data will be aggregated and stored at RECSA Secretariat in the SALW management information system.

Feedback will be provided at various levels to improve delivery of SALW interventions which will include support feedback visits. The feedback visits will be informed by findings from the reports submitted and issues identified in these reports will be addressed during the visits.

6.0 STRATEGIC INFORMATION DISSEMINATION AND USE

This section outlines the M&E reports that will be developed and the dissemination that will be undertaken to inform decision making and learning. A wide range of reports will be produced at different points to meet information needs of various stakeholders. These include:

i. Baseline survey and research reports
ii. SALW interventions mapping and profiling
iii. SALW Intervention activity reports
iv. Mid and End Term evaluation reports
v. Annual RECSA consolidated report

6.1 Stakeholder Information Needs Analysis

The information and M&E reports generated will be used by different internal and external stakeholders depending on their need as indicated in table 10.

Table 10: Stakeholder Information needs analysis

Stakeholder	WHAT data is required	WHY the data is required
External Audiences		
Donor Partners (Funds/ Grants management)	● Number of grant agreements signed ● Monthly and accumulative disbursement ● Total amount obligated by intervention ● Changes in key personnel ● Percentage budget disbursed towards the SALW interventions ● Program expenditure versus budget	● To track grants management ● To give RECSA approval to transfer funds ● To monitor efficiency and effectiveness of grants process ● To monitor progress against RECSA interventions ● To track expenditures versus budget and compliance
● Private Sector	● Baseline studies on SALW interventions ● Number of partnerships developed ● Number of SALW interventions ● Number of Public Awareness campaigns on SALW interventions ● Number of MOUs signed	● To strengthen partnerships ● Effectiveness of SALW interventions ● To increase visibility of RECSA ● Fulfillment of obligation
● Parliamentarians ● Judiciary ● Ministries of Justice/Attorney General ● Ministries of Foreign Affairs	● Number of laws harmonized ● Number of laws implemented ● Baseline studies on SALWs ● Contribution payment by Member states ● Number of instruments signed, acceded and ratified	● To understand their contribution to national efforts
● Media	● Number of public awareness campaigns ● Number of public education campaigns	● Effectiveness of SALW interventions
● CSOs ● UN agencies ● Neighboring regions	● Baseline studies on SALW interventions ● Disaggregated data on the special interests groups participating in SALW interventions ● Number of public awareness campaigns on SALW interventions reaching special interests group	● To monitor progress against SALW intervention targets ● Monitor performance of RECSA
● Ministries of Internal Security and law enforcement agencies ● Ministries of Defense, Military ● AU and RECs	● Total population reached by SALW interventions to achieve a safe and secure sub region ● Baseline studies on SALW interventions	● To understand their contribution to national efforts ● Effectiveness of SALW interventions

Source: RECSA Data

Stakeholder	WHAT data is required	WHY the data is required
Internal Audience		

RECSA staff	- Number of policies operationalized and implemented - Number of capacity building trainings conducted and challenges in implementation - Capacity building modules developed - Number of SALW interventions and challenges in implementation - Number of Baselines conducted - Achievement of Strategic Plan and Projects Indicators - Number of SALW interventions assessed at baseline - Systems strengthened and developed at RECSA - Progress review reports generated for each intervention and submitted on time - Number of field monitoring visits - Were activities conducted within the budget - Information on internal mid-term evaluation - Information on end term evaluation	- Monitoring implementation of capacity building activities - Planning for SALW Interventions - Monitor progress in the intervention implementation - Monitor progress on grants disbursements based on implemented interventions to partners
National Institutions at Member states	- Number of capacity building activities undertaken and challenges in implementation - Number of SALW interventions undertaken and the challenges faced in implementation	- Monitor progress of capacity building interventions - Track progress on the implementation of SALW interventions
Beneficiary communities	Number of individuals reached by the SALW interventions	Effectiveness of SALW interventions

Source: RECSA Data (2016)

7.0   ROAD MAP FOR IMPLEMENTING THE M&E STRATEGY 2016-2020

● *Strengthening M&E capacity at RECSA Secretariat and National Institutions at Member States*

Skills development is a critical ingredient in establishing a result based monitoring and evaluation system. A systematic and targeted capacity development initiative for RECSA Secretariat and Staff at the National Institutions responsible for SALW management and control will focus on the design and management of result based monitoring and evaluation system; tools for implementation monitoring; tools and approaches for outcome and impact assessment and linking planning to monitoring and evaluation. In addition the implementation of SALWMIS will require skills enhancement in web based planning, network support, monitoring and evaluation.

● *Developing appropriate tools and methods for monitoring and evaluation*

There is an array of tools and methods for planning, monitoring and evaluation. Although most organizations carry out some form of monitoring and evaluation, the tools and methods employed depend on capacity of the institution and the resources available. Given RECSA's core business of managing and controlling the proliferation of illicit SALW, it is imperative to identify appropriate M&E tools, methods and approaches. More importantly, there is need to harmonize the tools, methods and approaches both at the Secretariat and Member States level.

● *Developing frameworks for monitoring and evaluation*

Without clear policy guidelines, the culture of M&E cannot be institutionalized. The M&E Strategy 2016-2010 outlines the objectives of the M&E system, the plan, frameworks for monitoring and evaluation that can be used at the Secretariat and National Institutions.

● *Establishing appropriate M&E systems and structures*

Absence of appropriate structures and systems for monitoring and evaluation is a major impediment to the establishment of a robust SALWMIS monitoring and evaluation system. In order to establish appropriate structures and systems, RECSA Secretariat will commit to

developing the system and infrastructure. It is recognized that each of the Member States will tap into the SALWS integrated Monitoring and Evaluation systems.

● *Sensitization of stakeholders*

In most organizations, monitoring and evaluation activities do not attract the attention they deserve because the key stakeholders are not sensitized on its importance. RECSA Secretariat will take the initiative to sensitize the stakeholders by institutionalizing effective SALW interventions that are based on monitoring and evaluating performance.

● *Evaluating outcomes and impacts of RECSA*

Results of outcome and impact evaluations are critical for lessons learning and resource mobilization. Towards this end RECSA has developed;

● An outcome and impact monitoring and evaluation framework to be used in SALW interventions

● A data collection strategy that derives complementarities between the information obtained during the implementation monitoring and stand-alone outcome/impact evaluations.

It must be empathized that evaluations are demanding both in terms of data and analytical rigor. RECSA shall view evaluations as a fully-fledged research activity in addition to conducting periodic mid-term and end of program reviews.

● *Organization Lessons Learning and Theory of Change*

RECSA will synthesize the information from monitoring and evaluation initiatives in order to draw out key lessons for strategy, program and project formulation. Periodic reviews and in-depth evaluations shall generate key lessons from implementation and outcome/ goal monitoring and evaluation. The lessons learning will enable RECSA to respond more proactively to the changing needs of its stakeholders and therefore remain a relevant and viable organization in a constantly changing environment.

- *Theory of Change*

The monitoring and evaluation strategy provides a basis for continuous learning and improvement of the 2016-2020 strategy and provides a platform for the establishment of an integrated Management Information System (MIS).

As part of learning, RECSA will seek to develop and adopt a contextualised Theory of Change (TOC). The RECSA ToC will act as a management tool, and as a common discourse which RECSA will use to explain and explore it's interventions. From a technical perspective, RECSA will use the TOC as a tool and methodology to map out the logical sequence of its initiatives, from activities through to the changes it seeks to influence.

Annex 7 provides the TOC that explains the intermediate results that RECSA intends to contribute to in the pursuit of its long-term goal – contributing to a safe and secure sub-region in a peaceful continent free from arms proliferation. It articulates the rationale for the selection of those results and describes the overall strategy to achieve them, which includes strategic interventions and the means by which those interventions are undertaken. The theory of change takes into account the broader context, assumptions and preconditions in which most RECSA interventions occur and reflects the reality of change processes in these settings. The theory of change reflects agreement among relevant RECSA stakeholders. This theory of change is dynamic and will be amended/updated whenever circumstances alter substantially or whenever there will be need for the intervention to change course - or on the basis of a mid-term review or evaluation. By promoting use of the TOC within M&E RECSA will:

1. Move beyond 'business as usual', generic programme and project designs through a greater awareness of the context (regionally, nationally and locally).

2. Strengthening the clarity, effectiveness and focus of programmes.

3. Assess impact and improve monitoring and evaluation, to test the assumptions, demonstrate impact and learn from it.

4. Improving its relationships with partners and stakeholders by identifying opportunities for dialogue and collaboration.

5. Provide a unifying framework for strategic decision-making, communicating and reporting.

6. Have a clearer conceptualisation of 'impact' and understanding the intermediate changes that have significance for programmes/projects and stakeholders, to enable strategies to be optimised for the context.

7. Strengthening adaptive management, responsiveness to changes in the context.

8. Find new ways of bringing rigour to the evaluation of complex and emergent change in difficult areas like SALW proliferation.

ANNEXES

Annex 1:   Overview of a RECSA Results Chain

Step	Explanation of each step	
Goal	**RECSA: To what extent has the intervention contributed towards its longer term goals? Why or why not? What unanticipated positive or negative consequences did the project have? Why did they arise?**	**Results Monitoring**
⬆		
Outcomes/ Objectives	**RECSA: What changes have occurred as a result of the outputs and to what extent are these likely to contribute towards the project purpose and desired impact? Has the project achieved the changes for which it can realistically be held accountable?**	
⬆		
Outputs	**RECSA: What direct tangible benefits has the intervention delivered as a result of activities?**	**Implementation Monitoring**
⬆		
Activity	**RECSA: Have planned activities been completed on time and within the budget? What unplanned activities have been completed?**	
⬆		

Inputs:	RECSA: Are the resources being used efficiently?	

Source: RECSA Data (2016)

Annex 2:   RECSA Logical Model

INPUTS
● Funds
● Staff
● Grants manual
● Operational Policies
● Office equipment
● Resources materials
● Supplies/
● Stationery
● Vehicles
● Technical Experts
● National legislations
● International and Regional instruments
● Information Technology
● Office/Training facilities
● Data collection tools/monitoring tools
● Partner organizations

ACTIVITIES

PILLAR 1
- Operationalization of institutional structure
- Capacity building and training of RECSA staff, both newly recruited and existing
- Operationalization of institutional policies
- Establishment of National Institutions responsible for Small Arms Control where they do not exist and build their capacity
- Capacity building of National Institutions responsible for Small Arms Control where they exist
- Support member states in the harmonization of their legislation with international and regional SALW instruments
- Development and operationalization of the resource mobilization strategy
- Develop partnerships with development partners, Non state actors and Private Sector players

PILLAR 2
- Arms Marking
- Destruction of obsolete/surplus SALWs, UXOs and ammunitions
- Electronic record keeping
- Armory construction and refurbishment of existing armories
- Training of Law Enforcement Agencies in charge of Stockpile Management
- Cross border Management and Joint Operations

PILLAR 3
- Conduct research on thematic areas to influence policies
- Undertake anti-poaching interventions
- Conduct baseline surveys
- Develop and operationalize a communication strategy
- Develop SALW public awareness materials

PILLAR 4
- Develop and implement a Monitoring and Evaluation strategy
- Build M&E capacity at the Secretariat and Member State levels
- Develop and implement a special interest groups mainstreaming strategy
- Mainstreaming of special interest groups in SALW interventions

OUTCOMES

- Strengthened capacity of RECSA Secretariat and National Institution responsible for SALW management and control in member states by 50%

- Improve physical security and stockpile management by 20% in all RECSA member states.

- Adaptive research, public education and awareness increased by 50%

- Increase awareness in all RECSA member states on SALW by 20%.

- Mainstreaming Monitoring and Evaluation and Special Interest Groups in all SALW Interventions improved by 30%

OUTPUTS (RESULTS)

- RECSA institutional structure fully operationalized by 2018
- RESCA staff with improved capacity to perform their duties by 2020
- All established policies operationalized by 2018
- National Institutions responsible for SALW control established in all countries where they don't exist
- National Institutions responsible for SALW capacitated where they exist
- National legislations on SALW harmonized with regional and global instruments on SALW
- Resource mobilization strategy developed and operationalized
- Robust partnerships established
- Improved identification of firearms in Member States
- Reduced risks of diversion and unintended explosions
- Improved SALWs record keeping at Member State level
- Enhanced capacity on stockpile management
- Safe stockpile storage facilities
- Enhanced co-operation and information sharing on border management
- Reduced armed violence among communities
- Well informed policies on SALW
- Secure wildlife and heritage
- Availability of timely information on SALW interventions
- Improved public education, awareness and RECSA visibility
- Improved public participation on SALW interventions
- Improved tracking of program implementation, reporting and lesson learning.
- Increased participation of special groups on SALW interventions

GOAL

Contributing to a safe & secure sub-region in a peaceful continent free from arms proliferation for sustainable development

Annex 3:   RECSA Results Logical Framework

| RESULTS CHAIN | PERFORMANCE INDICATORS | | | MEANS OF VERIFICATION | RISKS/MITIGATION MEASURES |
	Indicator	Baseline (2015)	Target (2020)		
GOAL **Goal**: Contribute to a safe and secure sub region free from arms proliferation for sustainable development	% increase in Human Development Index ranking for RECSA Member States	0%	5%	UN Reports Member States Reports M&E reports Survey findings	**Risk:** Security, armed conflict and peace issues may compromise the achievement of project activities. **Mitigation:** RECSA interventions in the countries are only limited to technical assistance which might not be severely affected by security issues.
	% reduction of fragility situations due to the SALW proliferation	0%	5%		
	% reduction of armed crimes in the RECSA region	0%	5%		
OUTCOMES **Outcome 1**: Strengthened capacity of RECSA Secretariat and National Institution responsible for SALW management and control in member states by 50%	% increase in capacity of RECSA Staff and National Institution responsible for SALW management and control in Member States	10%	50%	Training Reports Member States reports	**Risk #1.** RECSA fails to maintain a cadre of sufficiently skilled and experienced personnel, to implement project **Mitigation.** Enhance capacity building for RECSA secretariat and National focal points
Outcome 2: Improved physical security and stockpile management by 20% in all RECSA member states	% increase in improved physical security and stockpile management in all RECSA Member States	10%	20%	Training Reports Member States reports	**Risk #1:** Beneficiary Member states have low commitment and ability to implement activities within the agreed timelines
Outcome 3: Adaptive research, public education and awareness increased by 50%	• Increased capacity to influence SALW policy by 20% annually • Increased awareness in all RECSA Member States on SALW by 20%. •	5	50%	Baseline reports Assessment reports	**Risk #2**: Bureaucracy in Member states may at times cause delay in the implementation of activities. **Mitigation:** RECSA Secretariat has an MOU with Member states to build their capacity

	RESULTS CHAIN	PERFORMANCE INDICATORS			MEANS OF VERIFICATION	RISKS/M...
		Indicator	Baseline (2015)	Target (2020)		ME...
	Outcome 4: Mainstreaming Monitoring and Evaluation and Special Interest Groups in all SALW Interventions improved by 30%	● Improved reporting of results by 20% annually; ● Increased participation of special interest groups in SALW interventions by 10% annually.	0	30% Effective Monitoring and Evaluation	Annual Reports Member State reports	

	RESULTS CHAIN	PERFORMANCE INDICATORS			MEANS OF VERIFICATION	RISKS/M...
		Indicator	Baseline (2015)	Target (2020)		ME...
	Strategic Pillar 1: Institutional development and strengthening					
OU TPU TS	**Component 1- Institutional Strengthening of RECSA Secretariat** 1.1 RECSA institutional structure fully operationalized by 2018 1.2 RESCA staff with improved capacity to perform their duties by 2020 13. All developed policy documents operationalized by 2018	1.1.1 Percentage of established staff positions filled 1.2.1 Number of professional staff provided with at least 2 specialized courses within the first 2 years 1.3.1 Number of policy documents operationalized	12.5% 0 5	100% 66 11	● Recruitment Data Sheets ● Employment contract ● Training reports ● Performance Appraisal reports ● COM resolutions ● Policy documents	**Risk #1:** RECSA fails to maint... experienced personnel, to implem... **Mitigation:** Enhance capacity build... focal points

Component 2- Development and Strengthening of National Institutions responsible for SALW control					**RISK #1**: Beneficiary Member sta[...] implement activities within the agre[...]
					Risk#2. Delayed processing of bills[...] priorities
2.1 National Institutions responsible for SALW control established in all countries where they do not exist	2.1.1 Number of national institutions established	2	13	● Establishing instrument ● Acts of Parliament ● Activity reports	**Mitigation:** Sensitization forums fo[...] and national state law offices
2.2 National Institutions responsible for SALW capacitated	2.2.2 National Institutions responsible for SALW capacitated	2	2		
2.3 National SALW legislation harmonized with regional and global instruments	2.2.3 National SALW policies harmonized with regional and global policies	13	2		
Component 3-Resource mobilization 3.1 Resource mobilization strategy developed and operationalized	3.1.1 Amount of resources mobilized by 2020	129,467,500	4	● COM Resolution ● Audit Report ● Donor meeting reports	**Risk #1** Donors and other funding support SALW interventions
	3.1.2 Number of donors brought on board				**Mitigation**: Partnership Building a[...]
Component 4- Cooperation and partnership building 4.1 Robust partnerships established	4.1.1 Number of new partnerships established;	6 PSP 10CSOs 4 RECS and RMs	10 CSOs 8 RECS and RMs AU UN		
	4.1.2 Number of CSOs;			● MOU with partners ● Annual Reports ● Activity reports	
	4.1.3 Number of PSPs				
	4.1.4 Number of working groups RECSA is participating actively				
Strategic Pillar 2: **Support Member States in Physical Security and Stockpile Management for a safe environment towards Sustainable Development**					

Component 1 -Arms control and management					Risk #1: Beneficiary Member state implement activities within the agre
1.1 Member States actively marking arms	1.1.1 Number of arms marking machines per member state	11 member states actively marking arms	All 15 member states actively marking arms		Risk # 2: RISK 2: Beneficiary Me and durability by making available means to make use and maintain the including the disseminating inform
	1.1.2 Percentage of marked arms	20% of arms in the RECSA region marked	60% of arms in the RECSA region marked		Risk #3: Bureaucracy in Member st implementation of activities.
1.2 Reduced firearms, UXOs and ammunitions related accidents and diversion in the member states	1.2.1 Number of firearms; UXOs, ammunitions destroyed per country	20% of ammunitions destroyed	50% of all obsolete/ surplus firearms, UXOs and ammunitions destroyed	Reports	
1.3 Improved SALWs record keeping at member state level	1.3.1 Number of countries provided with RSTS	20% of arms marked recorded in RSTS			
	1.3.2 Number of people trained on the use of the software		60% of marked arms recorded in RSTS		

1.4 Safe stockpile storage facilities	1.4.1 Number of new armories constructed 1.4.2 Number of existing armories refurbished	8	30 new armories constructed and refurbished		**Mitigation:** RECSA Secretariat ha implement SALW interventions
1.5 Enhanced capacity on stockpile management	1.5.1 Number of law enforcement agencies in charge of stockpile management trained on PSSM	160 officers trained on PSSM	900 officers trained on PSSM	Reports	
1.6 Enhanced co-operation and information sharing at border points	1.6.1 Number of assessments undertaken 1.6.2 Number of sensitization forums conducted	0	4		
1.7 Reduced armed violence among communities	1.7.1 Number of illegal arms collected/surrendered 1.7.1 Number of campaigns conducted 1.7.2 Number of people trained on alternative livelihoods	4 countries	6 countries		
Strategic Pillar 3: Adaptive research, public education and awareness					
Component 1- Adaptive research 1.1 Well informed policies on SALWs 1.2 Increased awareness on the link between SALW proliferation and poaching 1.3 Availability of timely information on SALW interventions	1.1.1 Number of researches undertaken, published and disseminated 1.1.2 Number of consultative forums held 1.1.3 Number of anti-poaching initiatives undertaken and policies influenced 1.1.4 Number of informed policies influenced 1.1.5 Number of baseline surveys conducted	5 1	10 1	Research reports Survey reports Policy documents Policy briefs Assessment reports	**Risk #1**: Bureaucracy in Member st implementation of activities. **Mitigation**: RECSA Secretariat ha undertake interventions

Component 2- Public Education, Awareness and RECSA visibility 2.1 Improved public education, awareness and RECSA visibility 2.2 Improved public participation on SALW interventions	2.1.1 A communication strategy developed and operationalized 2.1.2 Number of public awareness materials developed 2.1.3 Number of public awareness campaigns held 2.1.4 Number of assessments conducted	1 4	1 10		Reports	

Strategic Pillar 4: Mainstreaming Monitoring & Evaluation and Special Interest Groups in all SALW Interventions Capital Expenditure						
Component 1- Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	1.1.1 An M&E strategy developed and operationalized Number of trainings for staff 1.1.2 Number of trainings at National Institutions 1.1.3 Number of evaluations	0	15		COM Resolution Assessment reports Training Reports	**Risk # 1:** Challenges in Institutiona **Risk # 2:** Lack of cooperation in ad Special Interest Groups in SALW in **Mitigation:** Technical assistance in
Component 2-Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	Special interest groups strategy developed and operationalized Number of interventions by special groups	0	15		Annual Reports Activity reports	

A C T I V I T I E S	ACTIVITIES	INPUTS
	1. Operationalization of institutional structure (recruitment of experts); Capacity building and training of RECSA staff, both newly recruited and existing; Capacity building of National Institutions responsible for Small Arms Control where they exist; Operationalization of institutional policies; Development and operationalization of the resource mobilization strategy; Develop Monitoring, Evaluation strategy; Build M&E capacity at the secretariat and member state levels; Mainstreaming of special interest groups in SALW intervention 2. Establishment of National Institutions responsible for Small Arms Control where they do not exist and build their capacity; Support member states in the harmonization of their legislation with international and regional SALW instruments 3. Develop partnerships with development partners, Non state actors and Private Sector players 4. Arms Marking; Destruction of obsolete/surplus SALWs, UXOs and ammunitions; Electronic record keeping; Armoury construction and refurbishment of existing armouries; Training of Law Enforcement Agencies in charge of Stockpile Management. Cross border Management and Joint Operations; Civilian disarmament 5. Conduct research on thematic areas to influence policies and pursue anti-poaching initiatives; 6. Conduct baseline surveys; Develop and operationalize a communication strategy; Develop SALW public awareness materials 7. Project Management : project auditing, project implementation	**Total Estimated Cost**: 130,755,00(**Human resources; Systems and T** **Organizational Guidelines**

Annex 4:   Performance Monitoring Plan

The Performance Monitoring Plan for RECSA tracks progress against performance indicators at both output and activity (implementation) levels.

RECSA GOAL: Contribute to a Safe and secure sub region in a peaceful continent free from arms proliferation

Objective 1: Increased Capacity of National institutions responsible for SALW management and control at Member State Level and the Secretariat										
Strategic Options/ Key Interventions	Key activities	Result (Output)	Indicators	Baseline	Target	Sources of Information	Frequency of reporting	Methods of Collecting data	Timelines	Person Responsible
Institutional Strengthening of RECSA Secretariat	Operationalization of institutional structure	RECSA institutional structure fully operationalized by 2018	Percentage of established staff positions filled	12.5%	100%	Recruitment Data Sheets Employment contract	After each recruitment	Analysis	2018	Executive Secretary Director Finance and Administration
	Capacity building and training of RECSA staff, both newly recruited and existing	RESCA staff with improved capacity to perform their duties by 2020	Number of professional staff provided with at least 2 specialized courses within the first 2 years	0	66	Training Reports Performance Appraisal reports	After each training	Analysis	2020	Director Finance and Administration
	Operationalization of institutional policies	All established policies operationalized by 2018	Number of policies operationalized	5	11	COM Resolution Policy documents	Once	Analysis	2018	
Development and Strengthening of national institutions responsible for SALW control	Establishment of National Institutions responsible for Small Arms Control where they do not exist and build their capacity	National Institutions responsible for SALW control established in all countries where they do not exist	Number of national institutions established	2	13	Establishment Instrument	Quarterly	Analysis	2020	RECSA Staff
Development and Strengthening of national institutions	Capacity building of National Institutions responsible for Small Arms	National Institutions responsible for SALW capacitated	Number of National institutions that have been capacity build	2	2	Activity Reports	Quarterly	Analysis	2020	RECSA Staff National Institution in respective MS

responsible for SALW control	Control where they exist									
Development and Strengthening of national institutions responsible for SALW control	Support member states in the harmonization of their legislation with international and regional SALW instruments	National SALW policies harmonized with regional and global policies	Number of Member States whose national SALW policies harmonized with regional and global policies	13	2	Acts of Parliament Activity Reports	Quarterly	Analysis	2020	RECSA Staff National Institution in respective MS
Resource mobilization	Development and operationalization of the resource mobilization strategy	Resource mobilization strategy developed and operationalized	Amount of resources mobilized by 2020 Number of donors brought on board	124,497, 500	4	COM Resolution Audit report Donor meeting reports	After every meeting	Analysis	2020	RECSA Staff National Institution in respective MS
Cooperation and partnership building	Develop partnerships with development partners, Non state actors and Private Sector players	Robust partnerships established	Number of new partnerships established; Number of CSOs; Number of PSPs Number of working groups RECSA is participating actively	6 PSP 10CSOs 4 RECS and RMs	10 CSOs 8 RECS and RMs AU UN	MOU with partners Annual report Activity reports	After every meeting	Analysis	2020	RECSA Staff National Institution in respective MS

Objective # 2: Strengthening arms management and control in Member States to create a safe environment for sustainable development

Strategic Options/ Key Interventions	Key activities	Result (Output)	Indicators	Baseline	Target	Sources of Information	Frequency of reporting	Methods of Collecting data	Timelines	Person Responsible
	Armory construction and refurbishment of existing armories	Improved safe storage facilities for stockpile	Number of new armories constructed Number of existing armories refurbished	8	30 new armories constructed and refurbished	Reports	Quarterly	Analysis	2020	RECSA Staff National Institution in respective MS
	Training of Law Enforcement Agencies in charge of Stockpile Management	Enhanced capacity on stockpile management	Number of law enforcement agencies in charge of stockpile management trained on PSSM	160 officers trained on PSSM	900 officers trained on PSSM	Training reports	After every training	Analysis	2020	RECSA Staff National Institution in respective MS
Arms control and management	Cross border Management and Joint Operations	Enhanced co-operation and information sharing on border management	Number of assessments undertaken Number of sensitization forums conducted	0	4	Assessment Reports Meeting reports	After every operation	Analysis	2020	RECSA Staff National Institution in respective MS
	Civilian disarmament	Reduced armed violence among communities	Number of illegal arms collected/ surrendered Number of campaigns conducted Number of people trained on alternative livelihoods	4 countries	6 countries	Civilian disarmament reports Activity reports Project reports	Quarterly After every training	Analysis	2020	RECSA Staff National Institution in respective MS

Objective # 3: Promotion of SALW Adaptive research, Public Education and Awareness

Strategic Options/Key Interventions	Key activities	Result (Output)	Indicators	Baseline	Target	Sources of Information	Frequency of reporting	Methods of Collecting data	Timelines	Person Responsible
Adaptive research	Conduct research on thematic areas to influence policies	Well informed policies on SALWs	Number of researches undertaken, published and disseminated Number of consultative forums held Number of informed policies influenced	5	10	Research documents Meeting reports Policy briefs Policy documents	Once the researches are undertaken	Analysis and Reviews	2020	RECSA Staff National Institution in respective MS
	Undertake anti-poaching initiatives	Increased awareness on the link between SALW proliferation and poaching	Number of initiatives undertaken Number of collaborative networks established with specialized bodies	1	10	Research documents Meeting reports Policy briefs Activity reports	Annually	Analysis and Reviews	2020	RECSA staff Wildlife protection specialized bodies
	Conduct baseline surveys	Measurable progress on SALW interventions	Number of baseline surveys conducted	1	10	Survey Reports	After the surveys are conducted	Analysis	2020	RECSA Staff National Institution in respective MS
Public Education, Awareness and RECSA visibility	Develop and operationalize a communication strategy	Improved public education, awareness and RECSA Visibility	A communication strategy developed and operationalized	1	1	Annual report Assessment report	Once	Analysis and Review	2017	RECSA Staff National Institution in respective MS

	Develop SALW public awareness materials	Improved public participation on SALW interventions	Number of public awareness materials developed Number of public awareness campaigns held Number of assessments conducted	4	10	Activity report Assessment reports	After each Education and Awareness activity		2020	RECSA Staff National Institution in respective MS

Strategic Options/ Key Interventions	Key activities	Result (Output)	Indicators	Baselines	Target	Sources of Information	Frequency of Reporting	Methods of Data collection	Timelines	Persons Responsible
Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	Develop Monitoring, Evaluation strategy	Improved organizational performance	An M&E strategy developed and operationalized	0	15	COM Resolution Annual Report Assessment report	Once	Review	2020	M&E
	Build M&E capacity at the secretariat and member state levels	Improved organizational performance	Number of trainings for staff Number of trainings at National Institutions Number of evaluations	0	15	Training Reports	After every training	Monthly Quarterly	2020	M&E

| Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions | Mainstreaming of special interest groups in SALW intervention | Increased participation of special groups on SALW interventions | Special interest groups strategy developed and operationalized

Number of interventions by special groups | 0 | 15 | Annual report

Activity reports | Monthly | Reviews

Analysis | 2020 | RECSA staff

National Institution in respective MS |

Source: RECSA Data (2016)

Objective # 5: Capital Expenditure

Strategic Options/ Key Interventions	Key activities	Result	Indicators	Baseline	Target	Sources of Information	Frequency of Reporting	Methods of Data Collection	Timelines	Person Responsible
Institutional Strengthening of RECSA Secretariat	Establishment of a permanent HQ for RECSA Secretariat	Improved Organizational performance	Constructed HQ	0	1	COM Resolution Audit Report	Monthly Quarterly Annually	Analysis	2020	Executive Secretary
	Establishment of a Regional Training Centre for SALW Management and Control	Improved capacity on SALW control and management	SALW Training Centre constructed	0	1		Monthly Quarterly Annually	Analysis	2020	Executive Secretary

Source: RECSA Data SP (2016)

Annex 5: RECSA Data Flow and Feedback

RECSA SALW ACTIVITIES

PILLAR 1

- Operationalization of institutional structure
- Capacity building and training of RECSA staff, both newly recruited and existing
- Operationalization of institutional policies
- Establishment of National Institutions responsible for Small Arms Control where they do not exist and build their capacity
- Capacity building of National Institutions responsible for Small Arms Control where they exist
- Support member states in the harmonization of their legislation with international and regional SALW instruments
- Development and operationalization of the resource mobilization strategy
- Develop partnerships with development partners, Non state actors and Private Sector players

PILLAR 2

- Arms Marking
- Destruction of obsolete/surplus SALWs, UXOs and ammunitions
- Electronic record keeping
- Armory construction and refurbishment of existing armories
- Training of Law Enforcement Agencies in charge of Stockpile Management
- Cross border Management
- Joint Operations

PILLAR 3

- Conduct research on thematic areas to influence policies
- Undertake anti-poaching initiatives
- Conduct baseline surveys
- Develop and operationalize a communication strategy
- Develop SALW public awareness materials

PILLAR 4

- Build M&E capacity at the Secretariat and Member State levels
- Mainstreaming of special interest groups in SALW interventions

Legend: ⟷ SALW dataflow and feedback from Stakeholders

STAKEHOLDERS

- RECSA Staff
- National institutions responsible for SALW
- Ministries of Internal Security& law enforcement agencies
- Ministries of Defence and Military
- Development partners
- Communities
- CSOs
- Neighbouring regions
- UN agencies
- Private sector
- Parliamentarians;
- Judiciary;
- Attorney General/ Ministry of Justice
- Ministry of Foreign Affairs;
- AUC, RECs
- Media
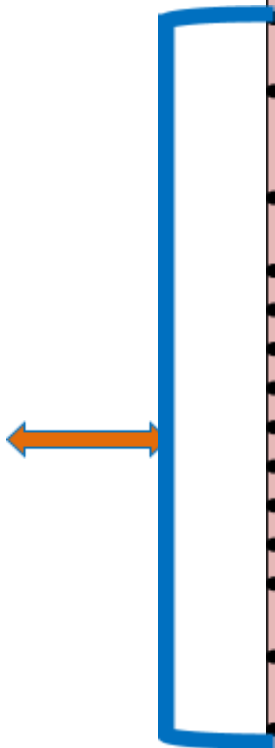
Annex 6:   **The Evaluation Plan**

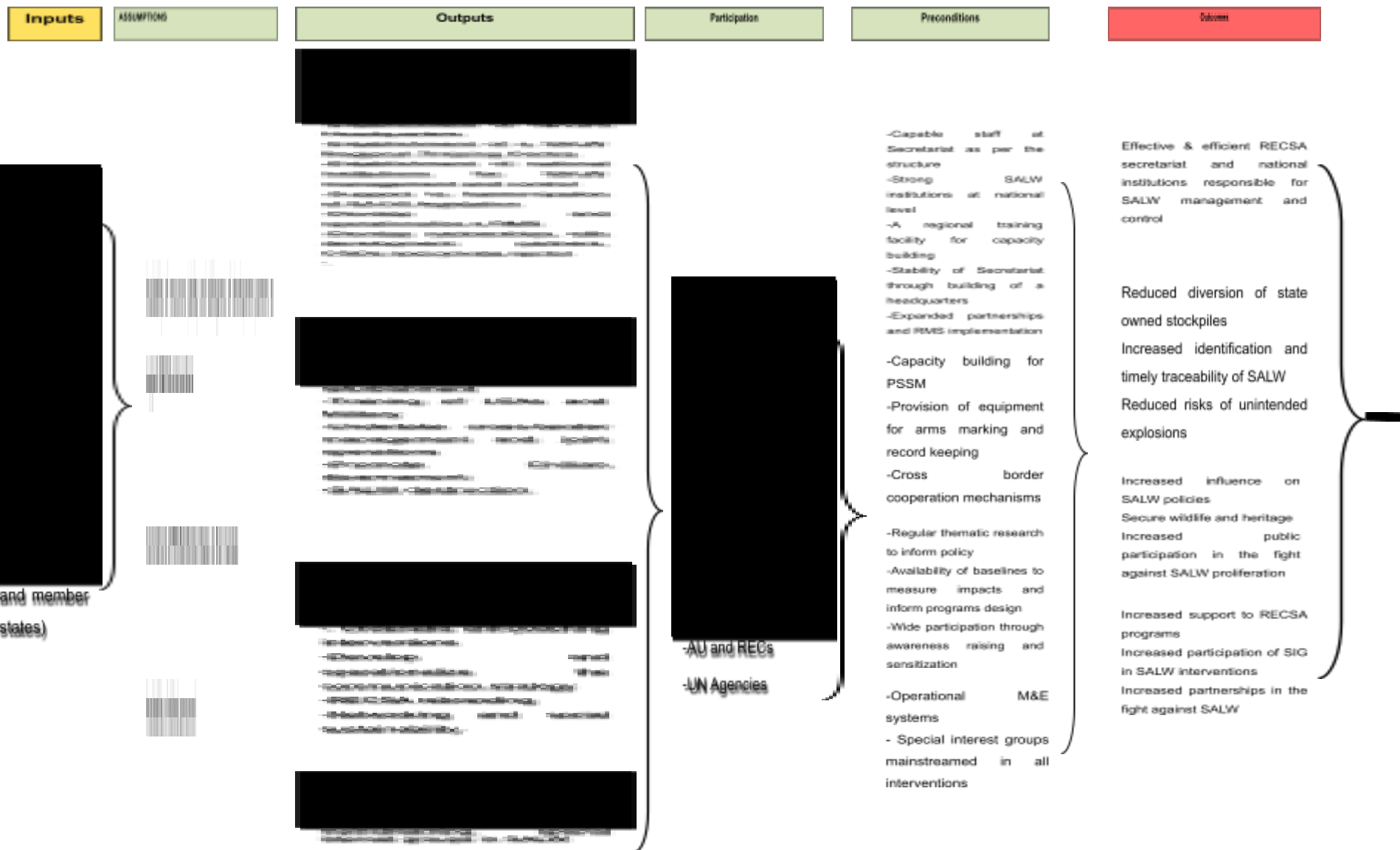| What do we need to evaluate?	Sample evaluation questions that we need to ask?	Level of evaluation	Evaluation Methodology	Evaluation Activities	Dates	Persons responsible	Cost
Institutional development and strengthening	● Has RECSA institutional structure been operationalized? ● How many of the newly recruited and existing RECSA staff, have been trained? ● Have the institutional policies of RECSA been operationalized? ● Has a RECSA Headquarters been completed? ● Has a regional Training Centre for SALW management and control been established?	Implementation, Process, Result, evaluation	● Descriptive analytics of internal documents and reports	Periodic assessments Field evaluation visits	Mid and end term program review	M&E officer	Cost of staff, printing documents, visits to the field, consultant costs
Arms management control and	● To what extent has arms Marking been realized? ● How are firearms records kept ● How much obsolete stockpiles have been destroyed ● What is the progress of armoury construction and refurbishment? ● How many law enforcement agencies have been trained on stockpile management? ● Have you conducted any cross border joint operations? ● Has there been any civilian disarmament conducted?	Implementation, Process, Result, evaluation	● Descriptive analytics of internal documents and report		Mid and end term program review	M&E officer	Cost of staff, printing documents, visits to the field, consultant costs

Adaptive research, Public Education and Awareness	• How many researches have been conducted? How many have influenced policy? • How many anti-poaching initiatives have been undertaken? • How many collaborative networks have been established with wildlife protection specialized bodies? • Have we developed and operationalized the communication strategy? To what extent? • Have we developed a SALW public education and awareness campaign materials? If not why?	Implementation, Process, Result, evaluation	• Descriptive analytics of internal documents and report		Mid and end term program review	M&E officer	Cost of staff, printing documents, visits to the field, Consultant costs
Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	• Have we operationalized the M&E strategy? If not, why not? • Has the Special Interest groups Strategy been developed and operationalized. If not, why? • What SALW interventions have focused on the Special Interest groups?	Implementation, Process, Result, evaluation	• Descriptive analytics of internal documents and report		Mid and end term program review	M&E officer	Cost of staff, printing documents, visits to the field, consultant costs

Source: RECSA Data (2016)

Inputs	ASSUMPTIONS	Outputs	Participation	Preconditions	Outcomes

and member states)

-AU and RECs

-UN Agencies

-Capable staff at Secretariat as per the structure
-Strong SALW institutions at national level
-A regional training facility for capacity building
-Stability of Secretariat through building of a headquarters
-Expanded partnerships and RMS implementation

-Capacity building for PSSM
-Provision of equipment for arms marking and record keeping
-Cross border cooperation mechanisms

-Regular thematic research to inform policy
-Availability of baselines to measure impacts and inform programs design
-Wide participation through awareness raising and sensitization

-Operational M&E systems
- Special interest groups mainstreamed in all interventions

Effective & efficient RECSA secretariat and national institutions responsible for SALW management and control

Reduced diversion of state owned stockpiles
Increased identification and timely traceability of SALW
Reduced risks of unintended explosions

Increased influence on SALW policies
Secure wildlife and heritage
Increased public participation in the fight against SALW proliferation

Increased support to RECSA programs
Increased participation of SIG in SALW interventions
Increased partnerships in the fight against SALW

EXTERNAL FACTORS
- Political instability
- Natural disasters and epidemics
- Failure of other supportive systems

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