



Co-operating to Disarm

RECSA
Strategic Plan (2016-2020)

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LIST OF ACRONYMS AND ABBREVIATIONS

AfDB	African Development Bank
APSA	African Peace and Security Architecture
AU	African Union
COMESA	Common Market for Eastern and Southern Africa
EAANSA	Eastern Africa Action Network on Small Arms
EAC	East African Community
EASSI	Eastern Africa Sub-regional Support Initiative for the Advancement of Women
ECCAS	Economic Community of Central African States
ES	Executive Secretary
EU	European Union
FECCLAHA	Fellowship for Christian Councils and Churches in the Great Lakes Region and Horn of Africa
GRIP	Groupe de recherche et d'information sur la paix et la sécurité
IC/GLR	International Conference on the Great Lakes Region
ISS	Institute for Security Studies
M&E	Monitoring and Evaluation
MAG	Mines Advisory Group
SDGs	Sustainable Development Goals
NAPs	National Action Plans
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
SAS	Small Arms Survey
SRIC	Security Research and Information Centre
TAC	Technical Advisory Committee
UK	United Kingdom
UNDP	United Nations Development Programme
UNDP-BCPR	United Nations Development Programme-Bureau for Crisis Prevention and Recovery
UNGA	United Nations General Assembly
UNODA	United Nations Office on Disarmament Affairs
UNPoA	United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in all its Aspects
UNREC	United Nations Regional Centre on Peace and Disarmament in Africa
WB	World Bank

FORWARD

The proliferation of illicit small arms and light weapons presents a direct threat to the development of the RECSA region and the African Continent at large. The easy availability of SALW continues to escalate armed conflict, sustain poaching, cattle rustling, abet terrorism and other serious crimes.

It is within this framework that RECSA's work in the previous strategic period (2009-2014) put strong emphasis on institutional development, the promotion and facilitation of effective management of SALW and enhancing the generation and provision of information.

The timing of RECSA Strategic Plan 2016-2020 is an opportune moment as SALW control gains momentum especially with its inclusion in the Sustainable Development Goals (SDGs). The preparation of this Plan has therefore, benefitted a great deal from reflections and consideration of lessons learned from the previous strategy. The placement of SALW as not only a security issue but also a development concern is a very conscious move.

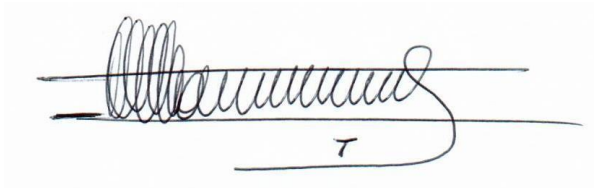
Interventions of this plan are based on 4 strategic pillars: i) Institutional development and strengthening; ii) Supporting member states in physical security and stockpile management for a safe environment towards sustainable development; iii) Adaptive research, public education and awareness and iv) Mainstreaming Monitoring & Evaluation and Special Interest Groups in all RECSA SALW Interventions.

The choice of the strategic orientation is based on the need to build capacity at national level to effectively implement SALW intervention and thus building member states resilience. The implementation of this plan calls for the establishment of strong institutional frameworks capable of effectively moving SALW management and control agenda at member states and regional levels. I therefore commend our member states that have established National Commissions responsible for SALW control and urge others to do so and support the institutions with qualified skills and programs budget.

I would like to thank all our development partners for their continued support to the fight against the proliferation of SALW. My appreciation goes especially to the African

Development Bank for supporting the development of this Plan. We believe it has struck the right balance in maintaining what we do well and responding to future requirements and opportunities.

I commend all RECSA staff for their continued efforts, dedication, and commitment to the work of the Secretariat of coordinating the implementation of Nairobi Protocol and hope that they will keep the same engagement during the implementation of this Strategic Plan.

A handwritten signature in black ink, consisting of a series of loops and a long horizontal stroke, positioned above a horizontal line.

Mr. Théoneste MUTSINDASHYAKA
EXECUTIVE SECRETARY

EXECUTIVE SUMMARY

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.

Over the years, a consensus has emerged that there are negative and mutually reinforcing links between armed violence, insecurity and development. Armed violence and insecurity have profound and long term negative consequences for states, societies and the quality of people's lives. SALW as a tool of choice in armed conflicts is a major driver of fragility that weakens societies/nations resilience.

The proliferation of small arms constitutes a threat to human development, good governance and democratic consolidation. 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.

After undertaking an environmental scan of RECSA and with lessons learned from the previous strategic period (2009-2014), a set of four strategic gaps were identified as: i) inadequate capacity at the Secretariat and National Institutions responsible for SALW management and control at member states level; ii) inadequate arms management and control capacities at national level; iii) limited information generation and public awareness and; iv) lack of monitoring and evaluation systems; and low involvement of special interest groups in SALW management and control interventions.

To address the above strategic gaps, this strategic plan is therefore premised on four strategic pillars:

- i) Institutional development and strengthening,
- ii) Support Member States in Physical Security and Stockpile Management for a safe environment towards sustainable development
- iii) Adaptive Research, Public Education and Awareness
- iv) Mainstreaming Monitoring & Evaluation and Special Interest Groups in all SALW Interventions

To realize the aspirations of this strategic plan, various stakeholders will be involved in the implementation of the identified SALW interventions. Specifically, - RECSA will engage and

partner with donor agencies in mobilization of resources to implement this strategy for tangible results in order to create a safe environment for sustainable development and lead in coordination of the implementation of SALW interventions and building capacity of National Institutions responsible for small arms management and control at member states level. Member States will take the leading role in the implementation of interventions aimed at improving the security and safety of stockpiles in their respective territories. In addition, RECSA will partner with special interest groups and civil society in spearheading public education and awareness programs (among others) against small arms proliferation.

This strategic plan is arranged according to the following sections: Background information, Environmental analysis, Strategic direction, Implementation arrangements, Financial requirements and Conclusion.

1.0 INTRODUCTION

1.1. Historical Background and RECSA Mandate

Illicit small arms proliferation in the RECSA region continues to sustain armed conflicts, cattle rustling and poaching, to fuel various crimes and terrorism. All these challenges contribute to fragility situations that result into negative effects on sustainable development.

Within the Great Lakes Region, Horn of Africa and Bordering States, there is a combination of on-going or unresolved conflicts, wide availability of SALW; weak arms transfer controls, unresolved border issues, weak law enforcement capacities and organised criminal activity. This means that some RECSA member states are of high potential as destination, source or transit route for the illicit trade and trafficking in SALW and explosive materials. A comprehensive strategy to deal with this problem required putting in place a regional mechanism.

The Nairobi Declaration on the problem of illicit proliferation of SALW in the Great Lakes Region was signed on 15th March 2000 by ten Countries: Republic of Burundi, Republic of Djibouti, Democratic Republic of Congo, State of Eritrea, Federal Democratic Republic of Ethiopia, Republic of Kenya, Republic of Rwanda, Republic of the Sudan, United Republic of Tanzania and Republic of Uganda.

To facilitate and institutionalise the intent of signatory states, a legally binding instrument was initiated. The initial Member States cited above and the Republic of Seychelles, signed the Nairobi Protocol on the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region, the Horn of Africa and Bordering States on 21st April 2004. Four other countries have since become party to the Nairobi Protocol; the Federal Republic of Somalia in 2005; Republic of Congo in 2009; Central African Republic and Republic of South Sudan in 2011.

In order to coordinate the implementation of the Nairobi Protocol, the Regional Centre on Small Arms and Light Weapons in the Great Lakes Region, Horn of Africa and Bordering States (RECSA) was established in 2005. RECSA is an inter-governmental body with juridical responsibility, which enjoys diplomatic status by virtue of the Host Agreement entered into with the Republic of Kenya. The organs of RECSA comprise of the Council of Ministers (COM), Technical Advisory Committee (TAC) and the Secretariat. RECSA is internationally recognized as an organisation in Africa whose sole mandate is to address the

proliferation of illicit SALW and build capacity of National Institutions responsible for Small Arms and Light Weapons (SALW) management and control.

The principle objective of RECSA is to ensure the efficient and effective implementation of the Nairobi Protocol and the Nairobi Declaration as per Article 8 of the Agreement establishing RECSA. The key functions of the Secretariat as outlined in the Article 12(2) of the Agreement establishing RECSA are to:

- Coordinate the implementation of the Nairobi Declaration, the coordinated agenda for action and its implementation plan, and the Nairobi Protocol in consultation with member states;
- Consult with sub-regional, regional and international agencies, including Civil Society Organisations (CSO) and other experts in the implementation of the Nairobi Declaration and Nairobi Protocol;
- Prepare draft proposals and agreements on matters arising from the decisions and recommendations of the Council of Ministers;
- Prepare surveys, studies, information and guidelines on legal, political, economic, social, cultural and technical matters of common concern to and essential for broadening and deepening cooperation among member states;
- Identify, initiate, coordinate, monitor and harmonize initiatives for realising the objectives of the centre;
- Organise and facilitate the meetings of the Council of Ministers and those of the Technical Advisory Committee and other relevant meetings;
- Coordinate and assist the national focal points in the implementation of the Nairobi Declaration and the Nairobi Protocol; and
- Perform other functions as entrusted to it by the Council of Ministers.

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. This is done through provision of technical assistance, advisory services and bringing SALW emerging issues to the attention of RECSA Member States in order to strengthen their capacities in the management and control of SALW proliferation.

Since its establishment, RECSA Secretariat has been executing both mandates of coordinating and implementing SALW interventions in the Member States and outside the RECSA region (ECCAS, ECOWAS, and SADC regions) under the African Union project funded by European Union. This was based on RECSA expertise and capacity to coordinate implementation of SALW interventions. What appears as RECSA taking on both roles has been necessitated by the weaknesses within national institutions to spearhead the implementation of the Nairobi Protocol at Member States level at the time of its creation to date. While some strides have been made in areas of arms marking, electronic record keeping, harmonisation of legislation, SALW destruction exercises and development of guidelines on marking, practical disarmament, this approach has not worked well and has instead resulted into:

- The Secretariat not fully focusing on its core mandate of coordination, provision of advisory services and technical assistance and;
- Member States not fully meeting their obligations as per the Nairobi Protocol.

The outcome of all this has been the minimal impact and lack of sustainability of the gains of the SALW interventions undertaken over the last 10 years; yet the proliferation of small arms still remains a big challenge given its relationship with the increasing cases of armed conflict, terrorism, poaching, cattle rustling and other organised crimes which have negative effect to sustainable development.

1.2. Nexus between SALW Proliferation and Sustainable Development

Over the years, a consensus has emerged that there are negative and mutually reinforcing links between Armed violence, insecurity and development. 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 small arms constitutes a threat to human development, good governance and democratic consolidation. 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.

For example some countries in the Great Lakes region and the Horn of Africa are facing fragility situations driven majorly by SALW proliferation. Most present conflicts in Africa

are escalated primarily by small arms and light weapons. They are the weapons of choice in armed conflicts and organized crimes. To echo the words of former UN Secretary General Kofi Annan, “SALW are the weapons of mass destruction for Africa”.

The effects of SALW proliferation impact the youth, women, children and persons with disability differently and thus the need to pay special attention to their vulnerabilities in SALW and development interventions.

With the recognition of the link between SALW proliferation and sustainable development and the negative impacts of armed conflict, RECSA Secretariat has developed this Strategic Plan to guide its SALW control and management interventions for the period 2016-2020.

1.3. Rationale for Strategic Planning

The proliferation of SALW continues to be a major challenge in the Great Lakes Region, Horn of Africa and bordering states. It fuels armed conflicts, terrorism, poaching, cattle rustling and organized crimes. The ever changing dynamics of arms trafficking within the region has made the prevention, control and reduction of SALW a daunting task.

In spite of the gains realized (more Member States fulfilling their financial obligations to the Secretariat, development of practical disarmament guidelines, development of National Action Plans, harmonization of legislation, new projects and partnerships, progress in arms marking and electronic record keeping among others) during the RECSA 2009-2014 strategic plan period, RECSA still faces the following major challenges; i) inadequate institutional capacity at the Secretariat and National Institutions responsible for SALW management and control at member states level, ii) inadequate arms management and control capacities at national level, iii) limited information generation and public awareness and iv) lack of monitoring and evaluation systems; and low involvement of special interest groups in SALW management and control interventions.

To address these challenges and contribute to sustainable development, RECSA has developed this Strategic Plan to guide its interventions for the 2016-2020 period.

1.4. Strategic Plan Development Process

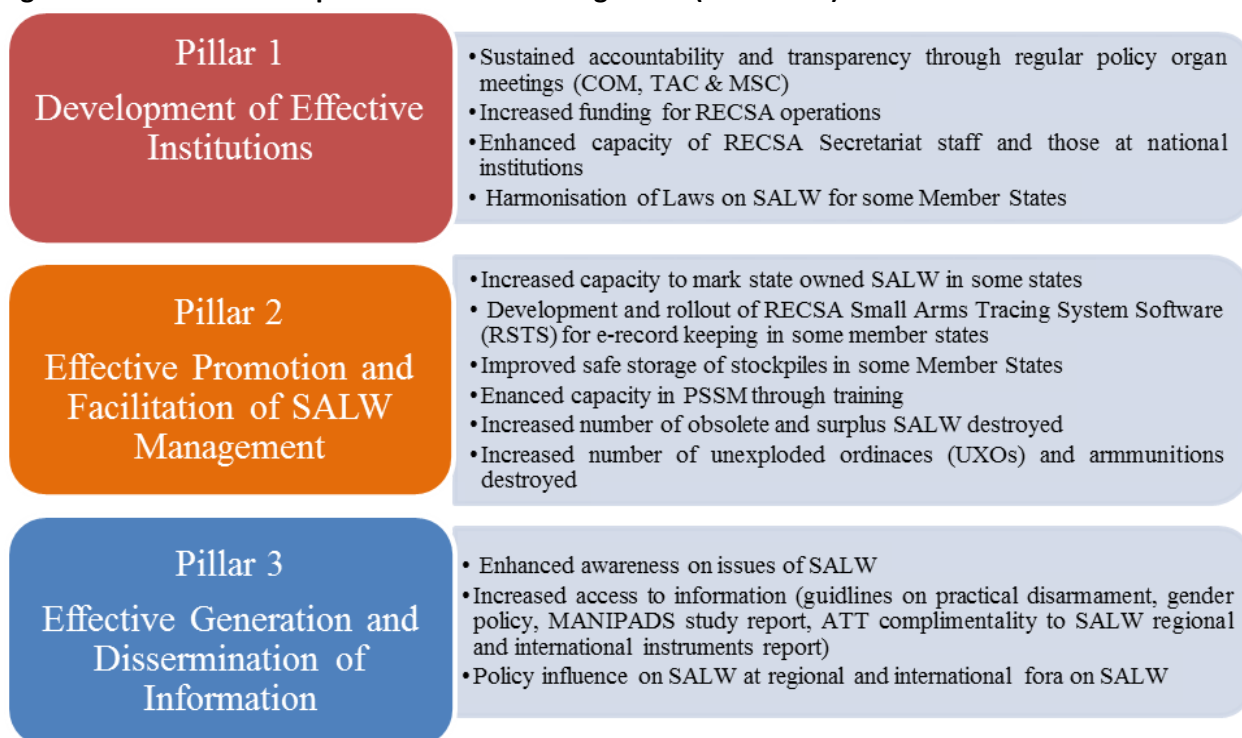
The development of this strategic plan was participatory. Consultations were held with National Focal Points during a capacity building workshop conducted in July 2015 in Nairobi-Kenya. RECSA Staff also contributed to the strategy by giving their inputs at the

different stages of the development process. In addition, the process included assessment of RECSA’s previous 5-year strategic period (2009-2014) performance, external and internal environment scanning. Further the strategic focus (vision, mission and core values) was reviewed and maintained as it was. Consequent to the assessment new strategic objectives and associated strategic pillars were identified to drive RECSA’s interventions during the strategic period 2016-2020.

1.5. Lessons from the Strategic Period 2009-2014

In order to augment the justification from the mandate of RECSA Secretariat and as an institution, evidence and lessons to inform the new strategic plan was sought from the implementation of the past strategic period 2009-2014. Consequently, achievements and challenges encountered during the strategic period 2009-2014 have been a very important source of evidence for the RECSA Strategic Plan (2016-2020). The Strategic plan 2009-2014 was implemented through three (3) strategic pillars indicated in figure 1 below.

Figure 1: The three pillars for RECSA Strategic Plan (2009-2014)



Source: RECSA SP 2009

1.6. Next Steps for 2016-2020

The focus for the period 2016-2020 is aimed at addressing the following key challenges:

- i) Inadequate institutional capacity at the Secretariat and National Institutions responsible for SALW management and control at member states level,
- ii) Inadequate arms management and control capacities at national level,
- iii) Limited information generation and public awareness and
- iv) Lack of monitoring and evaluation systems; and low involvement of special interest groups in SALW management and control interventions.

2.0 ENVIRONMENTAL ANALYSIS

This section highlights the results of RECSA’s macro (external), micro (internal) operating environmental scan. The macro environment is summarised in form of a PESTEL (political, economic, social, technological, environmental and legal). On the other hand, micro factors are summarised in form of: strength, weaknesses, opportunities and threats (SWOT). The section summarises the stakeholder analysis and the RECSA’s mission, vision, core values and strategic gaps.

2.1 PESTEL Analysis

Despite its niche, RECSA like other organizations; has its success influenced by external environment in which it operates - much of which it is incapable of controlling. The macro environment is very important since it comprises of external forces that RECSA cannot directly control, but can manage and/or mitigate to effectively deliver its mandate.

Table 1: RECSA PESTEL Analysis

PESTEL ANALYSIS
<p>Political</p> <p>More than 50% of RECSA Member States have or have had political unrest in the recent past. As a result, illicit SALW proliferation is rampant in the region. The trafficking of firearms knows no borders. The armed conflicts in the Sahel region, the crisis in Yemen and Syria continues to feed the illicit flow of SALW in the RECSA Region.</p> <p>Consequently, it contributes to state fragility, exacerbate armed conflicts and abet terrorism, facilitate wildlife poaching, cattle rustling and sustain proxy wars. These factors pose serious threat to peace, reconciliation, safety, security, stability and sustainable development at the individual, local, national, regional and international levels. All the above, hinder the efficient and effective implementation of SALW management and control in the RECSA region.</p>
<p>Economic</p> <p>The manufacture, transfer and circulation of SALW is a profitable business on the global scene. In spite of its profitability, the business has dire negative consequences when the fire arms become illicit through diversion. The use of illicit SALW in poaching and cattle rustling among others negatively impact on the economies of the affected states. These have a wide range of humanitarian and socio-economic consequences that hinder member countries to realise sustainable development. It is estimated (by Oxfam, Saferworld and IANSA in a 2007 study) that armed violence costs Africa in excess of USD 18bn per year and their excessive accumulation and un-controlled spread is a global challenge. All these factors lead to chronic poverty, which in turn fuels SALW related crimes and conflicts.</p>
<p>Social</p>

PESTEL ANALYSIS

The long exposure to SALWs creates a gun culture especially among the pastoral communities and societies exposed to long-term conflicts. In some communities in the region men are despised if they don't possess a fire arm while in others a fire arm is a prerequisite to marriage, either as a gift or a tool to acquire livestock to pay dowry. For communities around game reserves and national parks, poaching is considered a cultural issue and fire arms are being used as modern tools for hunting. The high levels of unemployed youth, makes them vulnerable to radicalisation, violent extremism and recruitment into armed militia groups. In addition, illegal firearms facilitate domestic and gender based violence.

Technological

While the global community is advancing technologically, with new methods of enhancing firearms security and safety, RECSA region still lags behind in the use of these technologies because of prohibitively high acquisition costs. The customized RECSA Small Arms Tracings System (RSTS) is a step in the right direction; however the idea of centralised databases is yet to be achieved due to connectivity and coordination limitations. Information communication technology is another challenge that affects RECSA interventions. For example, to date, RECSA lacks an effective information management system (IMS).

Environmental

Depletion of natural resources and food insecurity in the region has made SALW a source of livelihood in the region. Existence of extractives and related benefits in the region could spur conflict if not well managed. In addition, in undertaking destruction of SALWs and UXOs, environmental friendly destruction options will be used. The use of SALW in environmental degradation cannot be overemphasised, for example wildlife poaching, illegal logging, extraction of minerals among others all of which contribute to climate change challenges.

Legal

SALW interventions evolve within a wide range of legal framework. These include international instruments (UNPOA, UN Firearms Protocol, ITI and the ATT), the Bamako declaration at the African continent level.

The African Peace and Security Architecture (APSA) was established by the African Union in collaboration with Africa's Regional Economic Communities (RECs). The goal of APSA is to prevent, manage and resolve conflicts on the continent. The Africa Peace Fund (APF) is the operational tool of partnership on peace and security.

Regionally the framework includes the Nairobi Protocol, Kinshasa convention, SADC protocol and ECOWAS convention. In addition, RECSA Member States are required pursuant to the Nairobi Protocol to harmonise their SALW legislations to the relevant international and regional SALW instruments.

In designing and implementation of its interventions, RECSA will be mindful of the above instruments, more specifically, harmonisation of national SALW legislation to the instruments

Source: RECSA 2016

2.2 SWOT Analysis

Under this section, an internal assessment of RECSA is done using a SWOT analysis and presented below.

Table 2: RECSA SWOT Analysis

<i>Strengths</i>	<i>Weaknesses</i>
<ul style="list-style-type: none"> ● Clearly established mandate and niche as derived from Article 12 in the Agreement Establishing RECSA ● A track record in setting regional standards for SALW control and management ● Availability of unique products such as the RECSA Small Arms Tracing Systems Software (RSTS) ● Expertise in; arms marking, electronic record keeping, destruction of firearms, UXOs and ammunitions, safe storage, PSSM training, NAP development, capacity building for National Institutions responsible for SALW management and control, civilian disarmament and guidelines formulation 	<ul style="list-style-type: none"> ● Inadequate financial base to support RECSA operations ● Un-operationalized organizational structure ● Lack of a robust M&E system ● Digression from the original mandate of the Secretariat (coordination) to implementation ● Lack of some vital skills in resource mobilisation, communication, research and M&E ● Inadequate risk management system ● Inadequate institutional visibility to internal (region) and external (international stakeholders)
<i>Opportunities</i>	<i>Threats</i>
<ul style="list-style-type: none"> ● Existence of legal framework on SALW control at regional and global levels ● Supportive multilateral and bilateral partners ● Land promised by the Host Government for RECSA Head Quarters ● Available land allocated by the Government of Rwanda to construct a Regional Training Centre for SALW Management and Control ● Relevancy of SALW interventions to sustainable development gives relevance to RECSA's existence ● Commitment by Member states to a regional approach in SALW control and management 	<ul style="list-style-type: none"> ● Inconsistent flow of contributions from Member States affecting RECSA operations ● SALW only viewed as a security not a development issue ● Conflicting and or shifting priorities by Member States and donors ● Civil and Political unrest in some Member States ● Inexistent of national institutions responsible for SALW management and control in some member states and weak capacity where they exist ● Slow harmonization of national SALW legislations with the provision of the Nairobi protocol and other international and regional instruments

Source: RECSA 2016

2.2 Stakeholder Analysis

In order for RECSA to prepare for the implementation landscape, a stakeholder analysis was undertaken in order to inform RECSA on how to manage relationships during the strategic period 2016-2020. The stakeholder analysis was intended to understand who RECSA stakeholders are that will affect or be affected by its operations and programs. Also this

stakeholder analysis is important in informing RECSA which type of stakeholders are likely to have, participation barriers and what the actions are needed to manage them. The categories of the stakeholders are summarised in the table below.

Table 3: RECSA Stakeholder Analysis

High	Partner	Analysis	Partner	Analysis
	Promoters (keep satisfied)		Defenders (manage closely)	
Influence	<ul style="list-style-type: none"> ● Parliamentarians ● Judiciary ● Ministries of Foreign Affairs ● AUC & RECS ● Media UN ● Agencies ● CSOs 	<p>The promoters have high influence and low interest and can affect program implementation and attainment of results.</p> <p>Specifically, the Secretariat will partner with the promoters in the legal harmonisation of SALW legislation</p> <p>RECSA will partner with the media in sensitising and awareness creation</p>	<ul style="list-style-type: none"> ● RECSA Staff ● National institutions responsible for SALW ● Ministries of Internal Security & law enforcement agencies ● Ministries of Defence & the Military ● Development partners 	<p>The defenders have a very high influence and interest. Some are implementers of interventions e.g. RECSA staff, national institutions responsible for SALW management and control. For the donors, they are interested in regional stability and sustainable development</p> <p>Therefore, these partners will have to be closely managed</p>
	Latents (monitor minimum effort)		Apathetics (keep informed)	
Low	<ul style="list-style-type: none"> ● Fire arms manufacturers, ● Firearms dealers ● Firearms brokers 	<p>These have low interest as well as low influence, because they are the beneficiaries of the proceeds of illicit SALW trafficking</p> <p>They will be monitored with minimum effort</p>	<ul style="list-style-type: none"> ● Communities ● CSOs ● Neighbouring regions ● UN agencies ● Private sector 	<p>These are interested in reduced armed conflict and armed crime resulting into improved human security</p> <p>RECSA will strive to keep them abreast with the ongoing interventions</p>
		Low		High
Interest				

2.3 Strategic gaps

From RECSA's environmental scan, coupled with lessons from the previous strategic period (2009-2014), a set of four strategic gaps were identified which need to be bridged for RECSA to sustain its operations for the next strategic period. The identified gaps are:

- i. Inadequate institutional capacity at the Secretariat and National Institutions responsible for SALW management and control at member states level;
- ii. Inadequate arms management and control capacities at national level;
- iii. Limited information generation and public awareness and;
- iv. Lack of monitoring and evaluation systems and low involvement of special interest groups in SALW management and control interventions.

2.5. Strategic Focus

2.5.1. *Vision and Mission*

Vision - RECSA envisions 'to have a safe and secure sub-region in a peaceful continent free from arms proliferation'

Mission - RECSA's Mission is 'to coordinate action against SALW proliferation in the Great Lakes Region and the Horn of Africa and bordering States.

2.5.2. *Core Values*

RECSA's core values are:

- i. Flexibility
- ii. Gender Sensitivity
- iii. Integrity
- iv. Team Work and
- v. Transparency

Besides the existing five core values, two more have been added.

Professionalism -RECSA Staff need to demonstrate a high degree of professional competence and mastery of the subject matter. In this way, the Secretariat would encourage and support its staff to develop their professional skills through training programmes and to apply their skills, knowledge and experience in their services to the member states and all relevant stakeholders.

Partnership- RECSA needs to build strong partnerships with regional and international organisations, development agencies, research institutions, media, private sector, faith based organisations and civil society through effective collaboration and information sharing.

3.0 STRATEGIC DIRECTION FOR 2016-2020

Subsequent to the PESTEL and SWOT analysis undertaken, cognisant of the core mandate of RECSA and strategic gaps identified in the 2009-2014 period, this Section presents the strategic objectives, strategic pillars and key activities that chart the direction for the strategic period 2016-2020

3.1 Strategic Objectives

The role of RECSA Secretariat is to coordinate SALW intervention at Member state level. For the strategic period 2016-2020, the Secretariat will focus on:

1. Increased capacity of national institutions responsible for SALW management and control at the Member State level and at the Secretariat
2. Strengthening arms management and control in Member States to create a safe environment for sustainable development
3. Promotion of SALW adaptive research, public education and awareness
4. Mainstreaming of Monitoring & Evaluation and Special Interest Groups in all RECSA SALW related interventions

3.2 Strategic Pillars and Key Activities

3.2.1. Strategic Pillar 1: Institutional development and strengthening

Expected outcome: Strengthened capacity of RECSA Secretariat and National Institution responsible for SALW management and control in member states

Table 4: Proposed programmatic areas for Strategic Pillar 1

Strategic Pillar 1: Institutional development and strengthening	
Strategic Options	Key activities
RECSA Secretariat Institutional Strengthening	<ul style="list-style-type: none"> ● 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 control and management	<ul style="list-style-type: none"> ● Establishment of national institutions responsible for SALW management and control where they do not exist and build their capacity ● Capacity enhancement of national institutions responsible for SALW management and control where they exist; ● Support member states in the harmonization of their legislation with international and regional SALW instruments;
Resource mobilization	<ul style="list-style-type: none"> ● Development and operationalization of a resource mobilization strategy
Cooperation and partnership building	<ul style="list-style-type: none"> ● Identify and develop partnerships with development partners, non-state actors and the private sector players

Source: RECSA 2016

3.2.2. Strategic Pillar 2: Support member states in physical security and stockpile management for a safe environment towards sustainable development

Expected outcome: Improved physical security and stockpile management in all RECSA member states

Table 5: Proposed programmatic areas for Strategic Pillar 2

Strategic Pillar 2: Support Member States in Physical Security and Stockpile Management for a safe environment towards sustainable development	
Strategic Options	Key Activities
Arms control and management	<ul style="list-style-type: none"> ● Arms Marking ● Electronic record keeping ● Armoury construction and refurbishment ● Develop SALW training handbooks ● PSSM training for law enforcement agencies ● Cross-border management and joint operations ● Civilian disarmament ● SALW, UXOs and ammunition destruction

Source: RECSA 2016

3.2.3. Strategic Pillar 3: Adaptive research, public education and awareness

Expected outcomes: i) Publish and publicize 10 research reports on identified SALW thematic areas by June 2020 leading to increased awareness in all RECSA member states on SALW by 20%.

Table 6: Proposed programmatic areas for Strategic Pillar 3

Strategic Pillar 3: Adaptive Research, Public Education and Awareness	
Strategic Options	Activities
Adaptive research	<ul style="list-style-type: none"> ● Conduct research on thematic areas to influence policy ● Conduct baseline surveys ● Anti-poaching interventions
Public Education and Awareness	<ul style="list-style-type: none"> ● Develop and operationalize the RECSA communication strategy ● Develop and disseminate SALW public education and awareness campaign materials
RECSA Communications and visibility	<ul style="list-style-type: none"> ● RECSA rebranding ● Networking and Social Sustainability ● Increased engagement via social media platforms during key policy moments

Source: RECSA 2016

3.2.4. Strategic Pillar 4: Mainstreaming Monitoring & Evaluation and Special Interest Groups in all RECSA SALW Interventions.

Expected outcomes: i) Improved reporting of results by 20% annually; ii) Increased participation of special interest groups in SALW interventions by 10% annually.

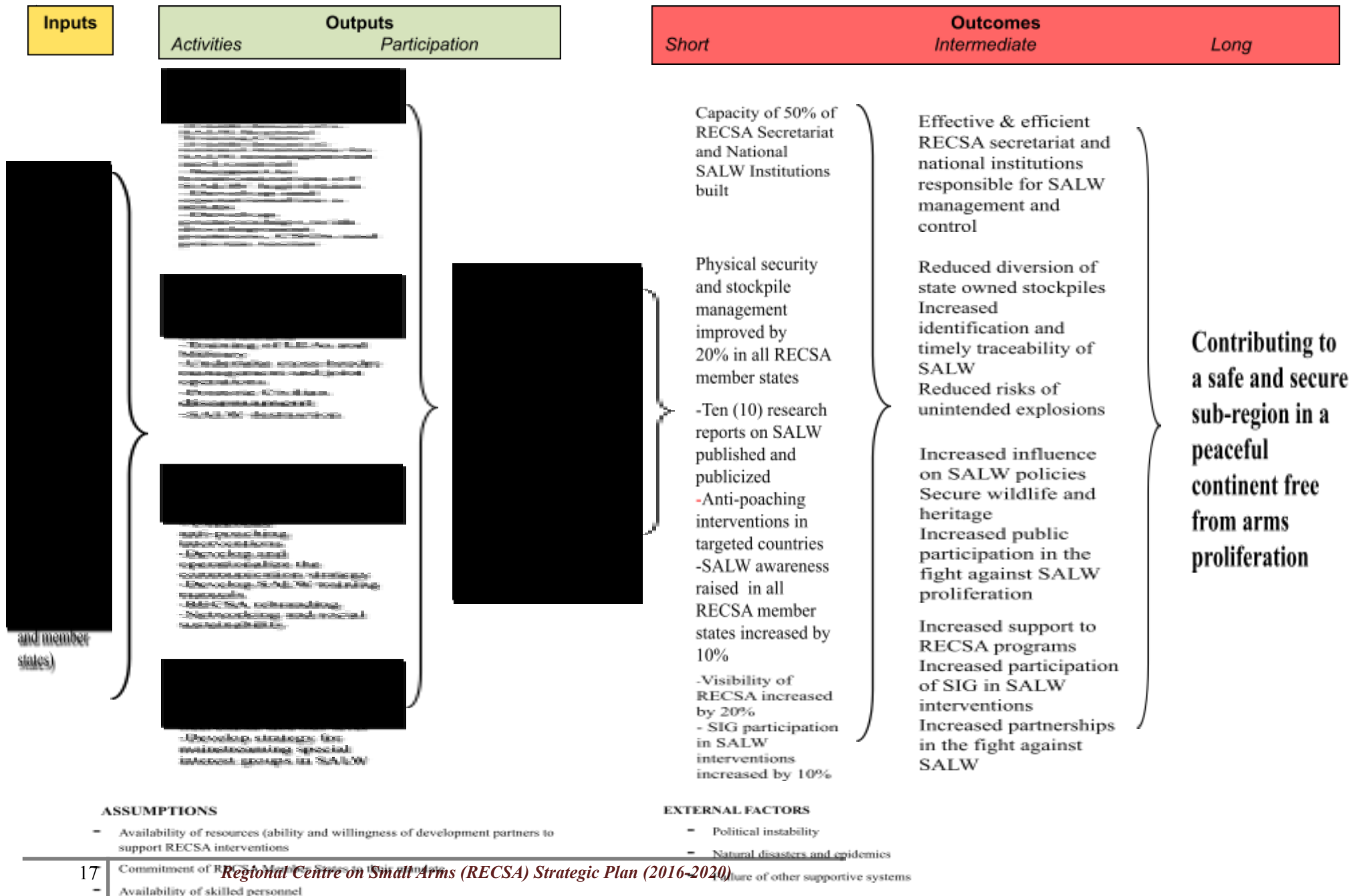
Table 7: Proposed programmatic areas for Strategic Pillar 4

Strategic Pillar 4 - Mainstreaming Monitoring & Evaluation and Special Interest Groups in all SALW Interventions	
Strategic Options	Activities
Mainstreaming Monitoring and Evaluation in SALW interventions	<ul style="list-style-type: none"> ● Develop and operationalise RECSA Monitoring & Evaluation strategy ● Build M&E capacity at the secretariat and member state levels
Mainstreaming of special interest groups in SALW intervention	<ul style="list-style-type: none"> ● Develop a special interest groups mainstreaming strategy ● Operationalized the special interest groups strategy ● Develop a special groups SALW intervention policy ● Operationalized the special groups SALW intervention policy

Source: RECSA 2016

3.3 RECSA Outcomes Framework

Figure 2: RECSA Outcomes Framework 2016-2020



3.4 Implementation Matrix for RECSA Strategic Plan 2016-2020

Table 8: Strategic pillars, objectives, option and activities

Strategic Pillar 1: Institutional Development and Strengthening															
Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumptions/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget	
Institutional Strengthening of RECSA Secretariat	Operationalization of institutional structure (recruitment of experts)	Recruitment	RECSA institutional structure fully operationalized by 2018	% of established staff positions filled	100%	12.50%	2018	Availability of resources	30,000	60,000	60,000	-	-	150,000	
		Procurement of furniture							10,000	15,000	15,000	-	-	40,000	
		Procurement of computers							10,000	15,000	15,000	-	-	40,000	
	Capacity building and training of RECSA staff, both newly recruited and existing	Training Needs Assessment	RECSA staff with improved capacity to perform their duties by 2020	# of professional staff provided with at least 2 specialized courses within the first 2 years	66	0	2020	Adequate scheduling of trainings and availability of funds	-	-	30,000	-	-	30,000	
		Orientation							10,000	10,000	10,000	10,000	10,000	50,000	
		Teambuilding							10,000	10,000	10,000	10,000	10,000	50,000	
		Training in various skills							56,000	56,000	56,000	56,000	56,000	280,000	
	Operationalization of institutional policies	Orientation and capacity building on the organization policies	All established policies operationalized by 2018	# of policies operationalized	11	5	2018	Policies are formulated on time; and revised accordingly. Availability of funds	5,000	5,000	5,000	5,000	5,000	25,000	
	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	Official visit to Member State	National Institutions responsible for SALW control established in all countries where they don't exist	# of national institutions established	13	2	2020	- Political will of Member States and - Political stability	13,000	13,000	13,000	13,000	13,000	65,000
			Sensitization workshops for senior government officials							60,000	50,000	50,000	50,000	50,000	260,000
Follow-up and program support missions			104,000							104,000	104,000	104,000	104,000	520,000	
Training of office bearers			39,000							39,000	39,000	39,000	39,000	195,000	
Benchmarking and exchange visits			104,000							104,000	104,000	104,000	104,000	520,000	
Provision of office furniture			65,000							65,000	65,000	-	-	195,000	
Enhance mobility			-							325,000	325,000	-	-	650,000	

		Provision of office equipment							120,000	122,000	122,000	-	-	364,000
		Development of National Action Plans and of National Projects							520,000	520,000	520,000	520,000	520,000	2,600,000
		National donors forum							26,000	26,000	26,000	26,000	26,000	130,000
Development and Strengthening of national institutions responsible for SALW control	Capacity building of National Institutions responsible for Small Arms Control where they exist	Training Needs Assessment	National Institutions responsible for SALW capacitated	# of National institutions capacitated	2	2	2020	Political stability	10,000	10,000	10,000	-	-	30,000
		Training of National Institutions staff							50,000	50,000	50,000	-	-	150,000
		Provision of office furniture							10,000	10,000	10,000	-	-	30,000
		Enhance mobility								50,000	50,000	-	-	100,000
		Provision of office equipment							10,000	10,000	10,000	-	-	30,000
		Benchmarking and exchange visits							20,000	20,000	20,000	-	-	60,000
		Development of National Action Plans and of National Projects							115,000	165,000	150,000	-	-	430,000
		National donors forum							-	10,000	10,000	-	-	20,000
		Co-operation at national level												
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	High-level consultative meetings	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	2020	Political stability and Cooperation at national level	48,000	48,000	48,000	48,000	48,000	240,000
		National SALWs legal assessment							60,000	60,000	-	-	-	120,000
		Support to legal drafting processes							-	300,000	300,000	300,000	300,000	1,200,000
		Dissemination of harmonized legislation							-	-	-	225,000	225,000	450,000

Strategic Pillar 1: Institutional Development and Strengthening														
Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumptions/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget
Resource mobilization	Development and operationalization of the resource mobilization strategy	Launch of Resource Mobilization Strategy	Resource mobilization strategy developed and operationalized	- Amount of resources mobilized by 2020 - Number of donors brought on board	124,467,500	4 donors	2020	Donor goodwill; Maintenance of niche and Ownership by Member States through contributions.	20,000	-	-	-	-	20,000
		Donor round table forums							40,000	40,000	40,000	40,000	40,000	200,000
		Donor meeting at Member State level							60,000	60,000	60,000	60,000	60,000	300,000
		Advocacy and networking meetings							30,000	30,000	30,000	30,000	30,000	150,000
		International thematic events							90,000	90,000	90,000	90,000	90,000	450,000
		Proposals development and review							60,000	70,000	70,000	-	-	200,000
Cooperation and partnership building	Develop partnerships with development partners, Non state actors and Private Sector players	Stakeholders regional meeting	Robust partnerships established	- Number of new partnerships established; - Number of CSOs; -Number of PSPs and - Number of working groups where we actively participate in	- 6 PSPs - 10 CSOs - 4 RECs and RMs	- 10 CSOs - 8 RECs and RMs - AU and - UN	2020	Partner goodwill; Unhealthy competition	75,000	-	75,000	-	-	150,000
		National networking meetings							45,000	45,000	45,000	45,000	45,000	225,000
		Develop partnership framework							10,000	-	-	-	-	10,000
Pillar 1 co-ordination costs	Administration, operations and staff costs								536,450	536,450	536,450	536,450	536,450	2,682,250

Strategic Pillar 2: Support Member States in Physical Security and Stockpile Management for a safe environment towards sustainable development

Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumptions/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget
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Arms control and management	Arms Marking	High-level consultative meetings	Improved identification of firearms	- # of arms marking machines per member state - % of marked arms	- All 15 member states actively marking arms -60% of arms in the RECSA region marked	- 11 member states actively marking arms -20% of arms in the RECSA region marked	2020	Commitment by member states to mark arms	60,000	60,000	60,000	60,000	60,000	300,000
		Provision of arms marking machines							-	375,000	375,000	-	-	750,000
		Arms marking training							97,500	97,500	-	-	-	195,000
		Mobility for marking teams								375,000	375,000	-	-	750,000
		Logistical support for arms marking							1,092,000	1,092,000	1,092,000	1,092,000	1,092,000	5,460,000
		Field monitoring and technical support							60,000	60,000	60,000	60,000	60,000	300,000
Arms control and management	Destruction of obsolete/surplus SALWs, UXOs and ammunitions	Assessment exercise for destruction	Reduced risks of diversion and unintended explosions	- # of firearms; - # of UXOs and - # of ammunitions destroyed per country	- 50% of all obsolete/surplus firearms, UXOs and ammunitions destroyed	20%	2020	Willingness of member states to destroy arms; Political stability in member states	250,000	250,000	-	-	-	500,000
		Sorting, classification and recording							-	75,000	75,000	75,000	75,000	300,000
		Site preparation							-	37,500	37,500	37,500	37,500	150,000
		Transportation to destruction sites							-	37,500	37,500	37,500	37,500	150,000
		Actual destruction							-	450,000	450,000	450,000	450,000	1,800,000
		Site assessment and rehabilitation							-	25,000	25,000	25,000	25,000	100,000
	Electronic record keeping	Provision of ICT equipment	Improved safe storage facilities for stockpiles	- # of countries provided with RSTS - # of people trained on the use of the software	- 60% of marked arms recorded in RSTS	- 20% of arms marked recorded in RSTS	2020	Commitment by member states to record arms; Political stability in member states	75,000	75,000	75,000	75,000	-	300,000
		Training in RSTS							37,500	37,500	37,500	37,500	-	150,000
		Field monitoring and technical support							60,000	60,000	60,000	60,000	60,000	300,000

Strategic Pillar 2: Support Member States in Physical Security and Stockpile Management for a safe environment towards sustainable development

Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumptions/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget
Arms control and management	Armory construction and refurbishment of existing armories	Stockpile storage assessment	Improved safe storage facilities for stockpiles	- # of new armories constructed - # of existing armories refurbished	- 30 new armories constructed and refurbished	8	2020	Availability of resources	450,000	450,000	-	-	-	900,000
		Development of architectural plans							150,000	150,000	-	-	-	300,000
		Development of Bills of Quantities							37,500	37,500	-	-	-	75,000
		Approval processing costs							-	-	-	-	-	-

Arms control and management		Contracting costs							-	-	-	-	-	-
		Support to construction costs							-	1,500,000	1,500,000	1,500,000	1,500,000	6,000,000
		Monitoring and follow-up							60,000	60,000	60,000	60,000	60,000	300,000
	Training of Law Enforcement Agencies in charge of Stockpile Management	Training Needs Assessment	Enhanced capacity on stockpile management	- # of law enforcement agencies in charge of stockpile management trained on PSSM	- 900 officers trained on PSSM	- 160 officers trained on PSSM	2020	- Availability of resources; - Selection of appropriate trainees by the member states	30,000	45,000	-	-	-	75,000
		Delivery of trainings (e.g. PSSM)							240,000	240,000	240,000	240,000	240,000	1,200,000
	Cross border Management and Joint Operations	Pre-operation meetings	Enhanced co-operation and information sharing on border management	- # of assessments undertaken - # of sensitization forums conducted - # of cross border forums held - #of cross border operations conducted	4	0	2020	Cooperation of the concerned law enforcement agencies	140,000	-	140,000	-	140,000	420,000
		Simultaneous joint operations							300,000	-	300,000	-	300,000	900,000
		Post-operation review meetings							300,000	-	300,000	-	300,000	900,000
		Assessment of ongoing cross-border management practices							120,000	120,000	-	-	-	240,000
		Sensitization of cross-border law enforcement agencies on SALW							-	60,000	60,000	60,000	60,000	240,000

Strategic Pillar 2: Support Member States in Physical Security and Stockpile Management for a safe environment towards sustainable development

Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumptions/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget
Arms control and management	Civilian disarmament	Communication, Education and Campaigns (CEC)	Reduced armed violence among communities	- # of illegal arms collected/surrendered	6 countries	4 countries	2020	Political will and stability and; availability of resources	360,000	360,000	360,000	360,000	360,000	1,800,000
		Fire-arms surrender, collection and recording		- # of campaigns for voluntary surrender of SALW conducted					24,000	24,000	24,000	24,000	24,000	120,000
		Enhancing resilience among conflict-prone communities		- #of alternative livelihoods projects initiated					6,000,000	6,000,000	6,000,000	6,000,000	6,000,000	30,000,000

Pillar 2 co-ordination costs	Administration, operations and staff costs									2,748,750	2,748,750	2,748,750	2,748,750	2,748,750	13,743,750
Strategic Pillar 3: Adaptive Research, Public Education and Awareness															
Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumptions/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget	
Adaptive research	Conduct research on thematic areas to influence policies	Regional research consultative forums	Well informed policies on SALW in relation to poaching, cattle rustling, GBV, radicalization and violent extremism among others	- # of researches undertaken, published and disseminated - # of consultative forums held - # informed policies influences	10	5	2020	Political stability in targeted member states and; Accessibility to data	60,000	60,000	60,000	60,000	60,000	300,000	
		Commissioning/consultancy of research							140,000	140,000	140,000	140,000	140,000	700,000	
		Peer review and quality control							10,000	10,000	10,000	10,000	10,000	50,000	
		Validation and dissemination							120,000	120,000	120,000	120,000	120,000	600,000	
		Publication costs							20,000	20,000	20,000	20,000	20,000	100,000	
		Anti-poaching interventions							Secure wildlife and heritage	- # of interventions undertaken			2020		1,000,000
	Conduct baseline surveys	National consultative meetings	Availability of timely information on SALW interventions	- # of baseline surveys conducted	10	1	2020	Political stability and; goodwill of Member States	72,000	72,000	72,000	72,000	72,000	72,000	360,000
		Commissioning/consultancy of research							90,000	90,000	90,000	90,000	90,000	450,000	
		Peer review and quality control							4,000	4,000	4,000	4,000	4,000	20,000	
		Validation and dissemination							40,000	40,000	40,000	40,000	40,000	200,000	
Publication costs		20,000							20,000	20,000	20,000	20,000	100,000		
Public Education, Awareness and RECSA visibility	Develop and operationalize a communication strategy	Development of communication strategy	Improved public education, awareness and RECSA visibility	A communication strategy developed and operationalized	1	1	2017	Quick uptake by internal stakeholders	30,000	-	-	-	-	30,000	
		Validation							60,000	-	-	-	-	60,000	
		RECSA rebranding							25,000	25,000	-	-	-	50,000	
		Networking and social sustainability							20,000	20,000	20,000	20,000	20,000	100,000	
		Implementation costs							30,000	30,000	30,000	30,000	30,000	150,000	

	Develop SALW public awareness materials	Awareness needs survey	Improved public participation on SALW interventions	- # of public awareness materials developed - # of public awareness campaigns held - # assessments conducted	10	4	2020	Availability of resources and; Political stability in targeted Member States	10,000	-	10,000	-	-	20,000
		Materials development cost							32,000	32,000	32,000	32,000	32,000	160,000
		Publication costs							8,000	8,000	8,000	8,000	8,000	40,000
		Dissemination							24,000	24,000	24,000	24,000	24,000	120,000
Pillar 3 co-ordination costs	Administration, operations and staff costs							430,500	430,500	430,500	430,500	430,500	2,152,500	

Strategic Pillar 4: Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions														
Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumptions/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget
Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	Develop Monitoring, Evaluation strategy	Develop monitoring and evaluation tools	Improved tracking of programs implementation, reporting and lesson learning	An M&E strategy developed and operationalized	15	0	2020	Political stability in Member States; Availability of personnel and; Ongoing activities in Member States	40,000	-	-	-	-	40,000
		Procure and install a Management Information System (MIS)							20,000	-	10,000	-	-	30,000
		Training on MIS							10,000	-	10,000	-	-	20,000
		Integrate a GIS for data mapping and profiling							30,000					30,000
		Conduct Monitoring Field visits							160,000	160,000	160,000	160,000	160,000	800,000
	Build M&E capacity at the secretariat and member state levels	Training in M&E for staff and National Institutions responsible for SALWs control	Improved organizational performance	- # of trainings for staff - # of trainings at National Institutions - # of evaluations	15	0	2020	Chose of appropriate personnel by Member States	105,000	105,000	-	-	-	210,000
		Mid-term evaluation							-	-	100,000	-	-	100,000
		End-term evaluation							-	-	-	-	150,000	150,000

Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	Develop a special interest groups mainstreaming strategy	Increased participation of special groups on SALW interventions	- Special interest groups strategy developed and operationalized - # of interventions involving special interest groups - #of SALW initiated by special interest groups	15	0	2020	Quick uptake of the strategy by stakeholders	30,000	-	-	-	-	30,000
	Operationalize the special interest groups strategy							1,500,000	1,500,000	1,500,000	1,500,000	1,500,000	7,500,000
Pillar 4 co-ordination costs	Administration, operations and staff costs							445,500	445,500	445,500	445,500	445,500	2,227,500

CAPITAL EXPENDITURE

Strategic Options/ Key Interventions	Key activities	Sub Activities	Result	Indicators	Target	Baseline	Timelines	Assumption s/ Risks	Y 1	Y 2	Y 3	Y 4	Y 5	Total Budget
Institutional Strengthening of RECSA Secretariat and Member States	Establishment of a permanent HQ for RECSA Secretariat	Land transfer costs	Improved organizational performance	Constructed HQ	1	0	2020	Release of land by host country and; Availability of funds	350,000	-	-	-	-	350,000
		Development of architectural plans							200,000	-	-	-	-	200,000
		Development of Bills of Quantities							20,000	-	-	-	-	20,000
		Approval processing costs							20,000	-	-	-	-	20,000
		Contracting costs							10,000	-	-	-	-	10,000
		Construction costs							-	7,000,000	7,000,000	6,000,000	-	20,000,000
	Establishment of a Regional Training Centre for SALW Management and Control	Land transfer costs	Improved capacity on SALW control and management	SALW Regional Training Centre constructed	1	0	2020	Availability of funds	30,000	-	-	-	-	30,000
		Development of architectural plans							50,000	-	-	-	-	50,000
		Development of Bills of Quantities							20,000	-	-	-	-	20,000
		Approval processing costs							20,000	-	-	-	-	20,000
		Contracting costs							5,000	-	-	-	-	5,000
		Construction costs							-	3,000,000	3,000,000	-	-	6,000,000

Source: RECSA 2016

4.0 IMPLEMENTATION, MONITORING AND EVALUATION

4.1. Monitoring and Evaluation Strategy

RECSA is cognizant of the need to generate, analyze and document data on progress made in the implementation of this strategic plan. The Secretariat has developed a monitoring and evaluation strategy that provides a framework for the comprehensive data collection, aggregation, storage, reporting and dissemination. The objective is to improve reporting at Member States level and the Secretariat. The M&E strategy provides guidance for enhanced information sharing and utilization at various levels for effective planning and programming of interventions.

During the strategic period 2016-2020, the M&E strategy will focus 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. Thus SALW related data and information will be gathered to guide evidence-based decision making on RECSA programming and implementation to achieve better results with all projects and interventions being responsible for monitoring and evaluation.

The monitoring and evaluation will encompass various tools to enable timely and effective data aggregation, analysis and reporting.

4.2 Monitoring and Evaluation Implementation

Key stakeholders will be involved in the implementation of SALW management and control as follows:

4.2.1 RECSA Level

RECSA Secretariat will take lead in monitoring on a continuous basis the coordination of implementation of SALW interventions and building capacity of staff and national institutions at member states level. In addition it will commission baseline studies, reviews, needs assessments, a mid-term review (MTR) and an end of strategy evaluation at the end of the strategic plan implementation period.

4.2.2 Member States level

Member states will take a leading role in the implementation of interventions aimed at improving the control and management of SALW. RECSA Secretariat will undertake M&E

capacity building and facilitate the integration of knowledge in all interventions to ensure that institutions responsible for SALW at member states level are up to date with modern M&E aspects and skills.

4.3 Learning and 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 its 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.

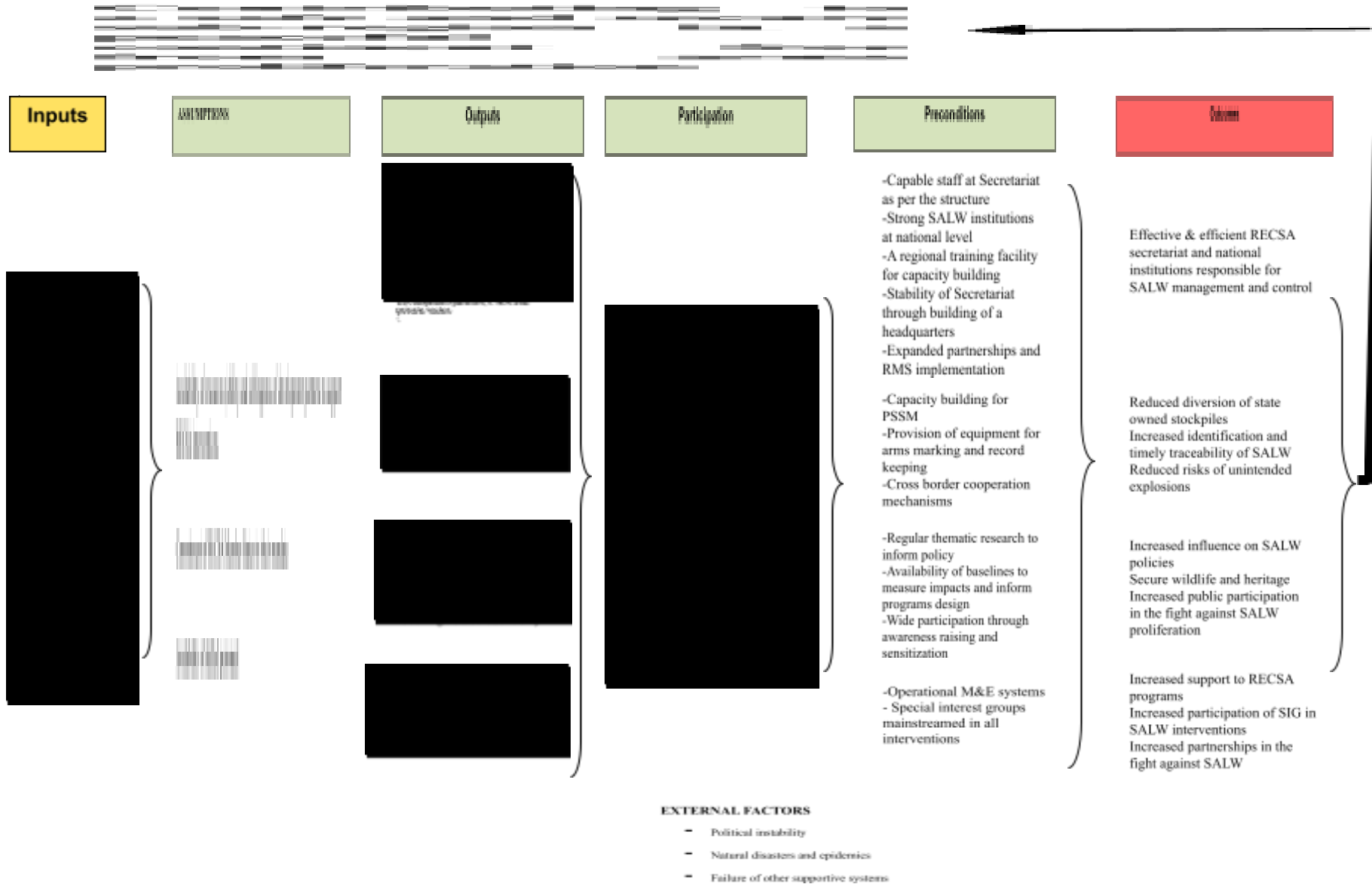
Figure 3 provides the TOC that explains the intermediate results that RECSA intends to contribute to in the pursuit of its long-term goal – contributing to a safe and secure sub-region in a peaceful continent free from arms proliferation. It articulates the rationale for the selection of those results 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.

Figure 3:

RECSA Theory of Change



5.0 FINANCIAL REQUIREMENTS

5.1 Annual projected financial requirements (2016-2020)

Table 9: Proposed annual financial requirements

Strategic Options/ Key Interventions	Y1	Y2	Y3	Y4	Y5	Total
Strategic Pillar 1: Institutional Development and Strengthening						
Institutional Strengthening of RECSA Secretariat	131,000	171,000	201,000	81,000	81,000	665,000
Development and Strengthening of national institutions responsible for SALW control	1,374,000	2,101,000	2,026,000	1,429,000	1,429,000	8,359,000
Resource mobilization	300,000	290,000	290,000	220,000	220,000	1,320,000
Cooperation and partnership building	130,000	45,000	120,000	45,000	45,000	385,000
Subtotal Pillar 1	1,935,000	2,607,000	2,637,000	1,775,000	1,775,000	10,729,000
Strategic Pillar 2: Support Member States in Physical Security and Stockpile Management for a safe environment towards sustainable development						
Arms control and management	9,943,500	12,153,500	11,743,500	10,253,500	10,881,000	54,975,000
Subtotal Pillar 2	9,943,500	12,153,500	11,743,500	10,253,500	10,881,000	54,975,000
Strategic Pillar 3: Adaptive Research, Public Education and Awareness						
Adaptive research	1,576,000	1,576,000	1,576,000	1,576,000	1,576,000	7,880,000
Public Education, Awareness and RECSA visibility	239,000	139,000	124,000	114,000	114,000	730,000
Subtotal Pillar 3	1,815,000	1,715,000	1,700,000	1,690,000	1,690,000	8,610,000
Strategic Pillar 4: Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions						
Mainstreaming Monitoring and Evaluation and Special Interest groups in SALW interventions	1,895,000	1,765,000	1,780,000	1,660,000	1,810,000	8,880,000
Subtotal Pillar 4	1,895,000	1,765,000	1,780,000	1,660,000	1,810,000	8,910,000
Strategic Options/ Key Interventions	Y1	Y2	Y3	Y4	Y5	Total
Total I (Programmatic Costs)	14,558,500	17,240,500	16,860,500	14,378,500	15,156,000	78,194,000
Administration, operations and staff costs	4,161,200	4,161,200	4,161,200	4,161,200	4,161,200	20,806,000
Capital expenditure	725,000	10,000,000	10,000,000	6,000,000	-	26,725,000
Subtotal Non-programmatic costs	4,886,200	14,161,200	14,161,200	10,161,200	4,161,200	47,531,000
Total cost (I + II)	20,474,700	32,401,700	32,021,700	25,539,700	20,317,200	130,755,000

Source: RECSA 2016

5.2 Funding the Strategy

RECSA will utilize the following fundraising strategies.

- Member State Contribution
- Co-funding by member states
- Bilateral Donors
- Multilateral Donors
- Public Private Partnerships
- In Kind Contribution
- Endowment Fund

The following elements will have to be considered in the fundraising process.

- Advocacy and networking
- Donor round table and donor conferences
- Effective donor reporting
- Result based reporting

6.0 RISK ANALYSIS

In a global and connected economy, changes or trends that occur in the area of security can have a nearly instantaneous negative impact on regional organizations like RECSA. This is the case because of the myriad insecurity and corresponding legislative backlash on the issue of SALW within the Great Lakes region, Horn of Africa and Bordering States. Understanding risks associated with RECSA businesses is therefore of paramount importance as it will provide RECSA an opportunity to balance meeting its objectives and mandate. Risk analysis is also important in that it will assist RECSA with an opportunity to proactively protect its resources and assets cost effectively. This analysis therefore provides RECSA management with the ability to demonstrate due diligence and proactivity in meeting their strategic and fiduciary duties. It's also clear that once given due consideration, this risk analysis and associated risk management plan 2016-2020, will help RECSA management in proactively dealing with its: financial, strategic, operational and organisational risks. A summary of the risk analysis is indicated in Table 10.

Table 10: Risk Analysis

Risk	Mitigating Factors
Strategic Risk	
Changing dynamics at the international level which may lead to reduced interest in supporting SALW interventions (High Risk, High Impact)	RECSA SALW interventions to be aligned to sustainable development goals
Organizational Risk	
Weak National Institutions responsible for SALW management and control (High Risk, High Impact)	Re-establishment of National Institutions responsible for SALW management and control as per the new RECSA guidelines
Operational Risk	
Political instability in some Member States (High Risk, High Impact)	Forecast the implementation environment, adjust and reschedule activities accordingly
Lean staff at Secretariat level (Medium Risk, High Impact)	Increase resource acquisition capacity and efforts Operationalize the proposed organizational structure
Financial Risk	
Inconsistent contributions from some Member states (High Risk, High Impact)	Strengthen goodwill and build key (and strategic) relationships with member states and development partners
Failure to meet strategic budget projections (High Risk, High Impact)	

Source: RECSA 2016

7.0 CONCLUSION

This strategy captures the aspirations of RECSA to fulfil its mandate in the Great Lakes Region, Horn of Africa and Bordering States in coordinating the implementation of the Nairobi Protocol for the period 2016-2020. It is a living document that will be reviewed from time to time depending on the implementation environment.

The major departure from the previous strategic plan is the recognition of the nexus between small arms proliferation and sustainable development. During implementation, SALW proliferation will not only be seen as a security matter but also as a development issue. Henceforth, SALW interventions will be aligned to development programs aimed at preventing armed conflicts, cattle rustling, poaching and other organised crimes. Ultimately, the aim is to contribute to state and regional stability and resilience.

The implementation of this strategic plan will require then involvement of all stakeholders especially; member states, RECSA secretariat, the private sector, civil society organizations and development partners.

Outcomes of SALW interventions require long term engagements and sustained funding. To this end, a resource mobilization strategy has been developed to facilitate the soliciting of funds to implement this strategy. For sustainability purposes, there is need for continued regional coordination, through the Secretariat and strengthened capacity of the institutions responsible for small arms management and control at national level. To solidify the gains anticipated in the strategic plan, capital investments for the construction of RECSA Secretariat Headquarters has been budgeted for. In addition, a regional SALW training Centre has been provided for to enhance the capacity of member states in SALW management and control.

8.0 REFERENCES

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