

## UNITED NATIONS DEVELOPMENT PROGRAMME



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**PROJECT DOCUMENT****[Regional Project – Revision as of 1. April 2020]**

**Project Title:** Support to the implementation of the Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons (SALW) and their ammunition in the Western Balkans

**Project Number:**

**Implementing Partner:** UNDP Istanbul Regional Hub for Europe and the CIS

**Start Date:** May 2019

**End Date:** 31 December 2021

**PAC Meeting date:** 29 April 2019

**Brief Description**

The objective of the project is to contribute to the implementation of the *Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons (SALW) and their ammunition in the Western Balkans* through dedicated projects in the field of SALW control implemented by a selected number of UNDP Offices in the 6 jurisdictions.

Developed by six Western Balkan jurisdictions, with UNDP SEESAC support and under the auspices of the Governments of Germany and France, the Roadmap represents a comprehensive document with a strong regional commitment that will guide the activity of the Western Balkans on SALW control in the period 2019-2024. The Roadmap was adopted during the Interiors and Security Ministers' Meeting of the Western Balkans Summit organized in London, on 10 July, as a testimony of the consensus reached among all stakeholders in the region about the current challenges, the overall targets to be reached, and timeline of actions to be taken in the area of arms control. The Roadmap envisages a comprehensive approach to SALW control, with measures ranging from securing the stockpiles of firearms and ammunition to mainstreaming gender in SALW control. In this context, the Government of Germany contributed EUR5.5 million to the UNDP Trust Fund *Funding Windows Governance for Inclusive and Peaceful Societies*, for financially supporting several projects that would contribute to the achievement of the Roadmap goals. Also, a Multi-Partner Trust Fund (MPTF) was established to support and ensure a donor coordinated approach to the implementation of the Roadmap.

Contributing Outcome (UNDAF/CPD, RPD or GPD): Outcome 3 (RPD): Building resilience to shocks and crises through enhanced prevention and risk-informed development Indicative Output(s) with gender marker <sup>2</sup> : Output 1: <b>Mechanism for efficient coordination of the Roadmap projects developed and put in place / GEN 2</b> Output 2: <b>Roadmap projects delivered by selected UNDP offices / GEN 2</b> Output 3: <b>Mechanisms for efficient programmatic coordination and monitoring of the Western Balkans SALW Control Roadmap MPTF / GEN 2</b>	<b>Total resources required:</b>	\$6,316,495	
	<b>Total resources allocated:</b>	\$6,316,495	
		<b>Government of Germany:</b>	\$6,257,110
		<b>MPTF Office</b>	\$59,385
	<b>Unfunded:</b>	0	

Agreed by (signatures):

<b>Implementing Partner</b>	
Agi Veres UNDP Deputy Regional Director Regional Bureau for Europe and the CIS	
Date:	

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## I. DEVELOPMENT CHALLENGE

The United Nations 2030 Agenda for Sustainable Development, adopted in 2015, affirmed that sustainable development cannot be realized without peace and security and that illicit arms flows are amongst the factors which give rise to violence, insecurity and injustice. SDG target 16.4. explicitly calls for the reduction of illicit arms flows and 16.1. to the reduction of all forms of violence and related deaths everywhere. The UN Member States undertook to strengthen, as appropriate, partnerships and cooperation at all levels in preventing and combating the illicit trade in SALW, in particular on border control; stockpile management and security; destruction and disposal; marking, record-keeping and tracing; and illicit brokering. They also undertook to strengthen regional and sub regional coordination at the third UN conference to review progress made in the implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, held in June 2018. At the same time, the Secretary General launched the new disarmament agenda entitled, *Securing Our Common Future*, recognising that protracted conflicts continue to cause unspeakable human suffering, warning from proliferation of armed groups who are equipped with a vast array of weapons and reminding that global military expenditure at its highest since the fall of the Berlin wall.

Due to extensive periods of instability, as a result of armed conflict, as well as security/defence strategies that used to rely on stockpiling of weapons and ammunition, the Western Balkans continues to be a concern from the perspective of SALW control and non-proliferation. While significant progress has been made in recent years in the Western Balkans, the inadequate storage conditions, illicit possession, misuse and trafficking of firearms, and policy-making and implementation capacity gaps coupled with fragile political systems continue to limit the effectiveness of SALW control efforts. To ensure continuous progress, secure the gains made and pave the way for a long-term sustainable development that includes full harmonisation with the European Union legislative and regulatory framework and compliance with international standards, continued support is needed to combat the threat posed by the spread and illicit trafficking of SALW in and from Western Balkans.

**Illicit possession and misuse** of firearms is directly associated with interpersonal and gender-based violence and poses a serious risk on the safety of citizens of South East Europe (SEE). Over 90% of all firearm-related criminal offences are committed with illegal firearms. Every second homicide in the Western Balkans is committed with firearms; 230 people were killed or committed suicide with a firearm in 2017; and 1,243 gun-related incidents were reported by the media. These involved armed robberies, weapons seizures, accidental and celebratory shootings etc. Suicides account for 2/3 of all firearm - related deaths, while 8% of deaths are accidental. The misuse of firearms is highly gendered. Men account for more than 95% of perpetrators and over 80% of victims of firearm-related incidents. Women, on the other hand, own only a minor share of firearms, make up only a minor share of perpetrators, but are disproportionately represented among victims.<sup>1</sup>

In order to address more effectively the supply of illicit firearms, the Western Balkans is recognised as a region of particular focus for the EU in its EU strategy against illicit firearms, small arms and light weapons. Some sources mention that Balkan jurisdictions are still struggling to end the scourge **of illegal arms trafficking**<sup>2</sup>. Although according to Europol, there are no organized crime groups from Western Balkan dealing with illicit arms trafficking exclusively (Europol SOCTA 2017), firearms are very often found in other criminal cases such as drug trafficking, trafficking of human beings, and migrant smuggling<sup>3</sup>. Lately the Western Balkans became also a transit route for blank firing

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<sup>1</sup> According to data collected by UNDP SEESAC from the authorities in the region for the Regional SALW survey.

<sup>2</sup> <https://www.europol.europa.eu/crime-areas-and-trends/crime-areas/illicit-firearms-trafficking>

<sup>3</sup> [https://ec.europa.eu/home-affairs/what-we-do/policies/organized-crime-and-human-trafficking/trafficking-in-firearms\\_en](https://ec.europa.eu/home-affairs/what-we-do/policies/organized-crime-and-human-trafficking/trafficking-in-firearms_en)

weapons from Turkey to Europe and several conversion workshops have already been closed in the region<sup>4</sup>.

To address these challenges, the *Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of SALW and their ammunition in the Western Balkans* was developed envisaging measures to further address: : 1) the level of harmonisation of legal frameworks on arms control in the Western Balkans with the EU legislation, the Arms Trade Treaty and the Firearms Protocol; 2) limited use of data in policy making; 3) low number of adjudications of misuse and trafficking of firearms, ammunition and explosives compared to the number of criminal charges; 4) illicit trafficking across borders; 5) diversion of arms exports; 6) limited operational cooperation at regional and international level; 6) effect of misuse of firearms on community security; 7) illegal possession; 8) management of confiscated or surplus firearms; and 9) insufficient capacities for safe and secure storage of seized, surplus and confiscated firearms, ammunition and explosives.

The project thus contributes to the achievement of the Sustainable Development Goal (SDG) 16, *Promote just, peaceful and inclusive societies*, and secondly to SDG 5, *Achieve gender equality and empower all women and girls*. Specifically, it is linked to SDG target 16.4 *By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime*. It aims at supporting countering the illicit trafficking and misuse of firearms through improved SALW control legal frameworks and evidence-based policies, increased national capacities for detection, seizure and confiscation of misused firearms, increased public awareness about the dangers of firearms misuse, and strengthened capacities for inspection and implementation of life cycle management of SALW and ammunition. Additionally, the project will contribute to the following targets: 16.1. *Significantly reduce all forms of violence and related death rates everywhere*. The project will support measures with the intention to contribute to a safer Western Balkans with fewer intentional homicides committed by firearms and increased public feeling of safety in relation to armed violence across the region; and 5.2. *Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation*. The project acknowledges that the misuse of firearms can have differentiated effects on women, men, girls and boys, and encourages gender responsive policies that address the specific needs of women and girls in terms of safety and security.

The project also directly contributes to the strategic goals set out in the Commission's Communication on 'A credible enlargement perspective for and enhanced EU engagement with the western Balkans', as well as the EU Strategy against Illicit Firearms, Small Arms and Light Weapons and their Ammunition, where the Western Balkans is recognised as a region of particular focus for the EU.

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## II. STRATEGY

The **objective of the project** is to contribute to the implementation of the *Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons and their ammunition in the Western Balkans* (the Roadmap) whose vision is that the Western Balkans become a safer region and an exporter of security, where comprehensive and sustainable mechanisms, fully harmonized with the European Union and other international standards, are in place to identify, prevent, prosecute, and control the illegal possession, misuse and trafficking of firearms, ammunition and explosives (FAE).

The Roadmap was developed as a follow up to the High-Level Meeting on SALW control in South East Europe held on 1 February 2018 in Podgorica, Montenegro. The meeting was attended by

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<sup>4</sup><http://www.smallarmssurvey.org/fileadmin/docs/L-External-publications/2018/2018-AUT-Carapic-Gassmann-Mapping-Assistance-WBalkans.pdf>

Deputy Ministers of Interior and Deputy Ministers of Foreign Affairs in South East Europe who adopted the [Joint Statement](#), and the Roadmap Elements. The Roadmap was developed by the SALW commissions of the Western Balkans in the framework of the Franco-German donor coordination initiative on illicit firearms trafficking in the Western Balkans and with the technical assistance of UNDP SEESAC. The Roadmap was finalized at the Regional meeting of SALW Commissions on 29 of May in Tirana and adopted on 10 July 2018 at the 5th Western Balkans Summit in London, and further elaborated in the Action Plans developed by the Western Balkans jurisdictions.

The Roadmap is a testimony of the consensus reached among all stakeholders in the region about the current challenges, the overall targets to be reached, and timeline of actions to be taken. It provides an overall platform for commonly agreed levels of performance, and outlines the commitment required at the strategic, policy and operational level amongst the beneficiaries, building on the political commitment to the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects as well as legal obligation stemming from the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition (The Firearms Protocol), and the Arms Trade Treaty.

The Roadmap thus identifies the following goals to be achieved by 2024:

- GOAL 1. By 2023, ensure that arms control legislation is in place, fully harmonized with the EU regulatory framework and other related international obligations and standardized across the region.
- GOAL 2. By 2024, ensure that arms control policies and practices in the Western Balkans are evidence based and intelligence led.
- GOAL 3. By 2024, significantly reduce illicit flows of firearms, ammunition and explosives (FAE) into, within and beyond the Western Balkans.
- GOAL 4. By 2024, significantly reduce the supply, demand and misuse of firearms through increased awareness, education, outreach and advocacy.
- GOAL 5. By 2024, substantially decrease the estimated number of firearms in illicit possession in the Western Balkans.
- GOAL 6. Systematically decrease the surplus and destroy seized small arms and light weapons and ammunition.
- GOAL 7. Significantly decrease the risk of proliferation and diversion of firearms, ammunition and explosives.

The project strategy is predicated on the following theory of change:

**If** legislative and regulatory framework on SALW/firearms control in the Western Balkans is fully harmonized with the EU framework and other international agreements, which will consequently enable the compatibility of arms control laws and procedures amongst the Western Balkans, **then this** will lead to standardization of SALW/firearms control procedures and practices allowing for a better and more efficient response to the firearms related threats at both national and regional level.

**If** policies are based on data and analytical assessments, **this will** lead to better managing of risks in countering the illicit trafficking and misuse of firearms and enable better response to old and new arms control challenges, such as new technologies, ever changing modus operandi as well as the dynamic social, political and security environments.

The overall theory of change unpacks into three outcome-level theories of change, taking into consideration that majority of weapons are legally produced but many of them are diverted later into illicit use:

**If** detection and risk capacities are strengthened, as well as rate of adjudication of misuse and trafficking of firearms increased, and capacities for prevention of diversion of legal trade strengthened as well as regional cooperation ensured, **then this** will lead to significant reduction of illicit flows of firearms, ammunition and explosives.

If awareness of general population about the dangers of misuse of firearms is increased, then this will lead to reduced supply, demand and misuse of firearms. Also, if there is increased seizure, conditions in place for legalization and voluntary surrender, and systematic use of deactivation, and destruction, then this will lead to substantial decrease of firearms in illicit possession in the Western Balkans and decreased surplus.

If capacities for inspection systems and implementation of life cycle management of SALW and ammunition are in place, then this will lead to significant decrease of the risk of proliferation and diversion of firearms.

All the above-mentioned will make the Western Balkans become a safer region and an exporter of security.

The project is supported by the EUR 5.5 million earmarked contribution of the Government of Germany to the **Funding Window Governance for Inclusive and Peaceful Societies** for arms control activities. The project will provide support to Western Balkan jurisdictions in the implementation of the Regional Roadmap and their Action Plans through financial and technical support to UNDP, offices in line with Funding Windows allocation criteria that require funded activities to demonstrate strong national ownership and to have a catalytic effect. Overall coordination of the UNDP - implemented projects will be done by SEESAC through the regional component of this project. SEESAC is the executive arm of the Regional Implementation Plan on SALW control in SEE as well as tasked with coordination of the implementation of the Roadmap in the EU Council Decision 2018/1788 of 19 November 2018 in support of SEESAC for the implementation of the Regional Roadmap. The regional component will enable the information sharing and knowledge exchange across the region on SALW control measures and challenges encountered and will enable monitoring of progress by consolidating progress reports on the UNDP -implemented projects. Acknowledging the fact that sustainable results cannot be achieved without taking into consideration the differentiated impact that the illegal possession, misuse and trafficking of SALW has on women and men<sup>5</sup>, the project will integrate the gender perspective in design, implementation and evaluation phases.

At the same time, the project supports the implementation of the **Western Balkans SALW Control MPTF** (also Trust Fund) by ensuring a mechanism for efficient programmatic coordination and monitoring of the Trust Fund, led by SEESAC who acts as the Trust Fund's Secretariat. The Trust Fund's primary rationale is to ensure a donor coordinated approach in the implementation of the [Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons and their ammunition in the Western Balkans](#). It enables a platform to strengthen coordination, planning and communication among the donors, implementing partners and national authorities, and develop synergies among different players involved in this programmatic area. It also reduces risks to governments and financial contributors through a comprehensive risk and results-based management system. The Western Balkan SALW Control Roadmap MPTF supports concrete projects and activities in the area of SALW control that contribute to the achievement of the Roadmap goals and are in line with the priorities of the targeted jurisdictions.

The Governance of the Trust Fund is comprised of a Steering Committee, a Secretariat and an Administrative Agent. The **Steering Committee** consists of Representatives of the Participating Organizations (UNDP and UNODC), France, Germany and the EU (as ex-officio members), and other top 3 donors to the Trust Fund. The Steering Committee provides general oversight and exercises overall accountability of the Trust Fund, approves the strategic direction of the Trust Fund and its overall results framework, decides on the allocation of funds, and oversees the implementation of the funded projects and overall progress towards the planned results.

The **Secretariat** of the Fund is ensured by UNDP SEESAC and is responsible for the programmatic coordination and monitoring of the Fund, providing technical and management support to the Steering Committee. The Secretariat is not part of the Steering Committee and has no voting rights.

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<sup>5</sup> SEESAC, 2016, *Gender and SALW in South East Europe. Main Concerns and Policy Response*. Available online at: [http://www.seesac.org/f/docs/Armed-Violence/Gender\\_and\\_SALW\\_publication\\_eng-web.pdf](http://www.seesac.org/f/docs/Armed-Violence/Gender_and_SALW_publication_eng-web.pdf)

The Trust Fund is administered by the MPTF Office in its capacity as **Administrative Agent** under the pass-through management modality. The MPTF Office is responsible with setting up and administrating the Trust Fund, including receipt, administration and release of funds to Participating Organizations in accordance with decisions from the Steering Committee, and financial report consolidation.

The **Participating Organizations** are UNDP and UNODC, who have signed the Memorandum of Understanding with the MPTF Office. Each Participating UN Organization assumes full programmatic and financial accountability for the funds disbursed to it by the Administrative Agent.

Aiming at supporting national efforts on arms control in the Western Balkans, the Roadmap contributes to **Outcome 3 “Building resilience to shocks and crises through enhanced prevention and risk-informed development”**, **output 3.3 of the Regional programme document for Europe and the Commonwealth of Independent States (2018-2021)**, *Regional cooperation enables national systems to ensure the restoration of justice institutions, redress mechanisms and community security, including armed violence reduction and SALW control*. Also, by aiming at supporting the implementation of a sustainable solution to the illegal possession, misuse and trafficking of SALW in the Western Balkans that envisions a safer Western Balkans with continuously fewer intentional homicides committed by firearms and increased public feeling of safety in relation to armed violence across the region, the Roadmap adheres to the **Strategic Plan outcome 3, Build resilience to shock and crisis**.

At the same time, the project contributes to **Signature Solutions 2, 3 and 6 of the Strategic Plan**, aiming at building societies in which all people benefit from peace, justice and security. By working closely with authorities in the Western Balkans to strengthen institutional capacities for tackling the illicit possession, misuse and trafficking of firearms and ensure that the safety and security needs of all citizens are met, particularly of the most vulnerable ones, through strong and harmonized SALW control legal and strategic frameworks, the project’s strategy applies **Signature Solution 2, Strengthen effective, inclusive, and accountable governance**. The project also addressed **Signature Solution 3, Enhance national prevention and recovery capacities for resilient societies**, by employing an evidence-based gender-responsive approach to SALW control that mainstreams sex- and age-disaggregated data into relevant policies, by leveraging technology advances for effective risk prevention and mitigation in SALW control and by contributing to citizens’ increased trust in the institutions dealing with SALW control in the Western Balkans. Also, **Signature Solution 6, Strengthened gender equality and the empowerment of women and girls** by acknowledging that the misuse of firearms can have differentiated effects on women, men, girls and boys, and encouraging gender responsive policies that address the specific needs of women and girls in terms of safety and security.

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### III. RESULTS AND PARTNERSHIPS

#### *Expected Results*

The project will act as a funding allocation mechanism for the implementation of the German contribution to the Funding Window for SALW control activities in six Western Balkan jurisdictions. At the same time, the project will support the coordination and monitoring of the Western Balkans SALW Control MPTF.

The project is thus comprised of three main lines of intervention:

- Coordination of the implementation of Roadmap projects;
- Implementation of Roadmap projects;
- Programmatic coordination and monitoring of the Western Balkans SALW Control Roadmap MPTF.

#### **Output 1: Mechanism for efficient coordination of the Roadmap projects developed and put in place**

Under output 1, the project will ensure a coordinated approach to the implementation of projects implemented by UNDP offices supporting the achievement of the Roadmap goals, through a well-established mechanism for fund allocation, monitoring, reporting and evaluation.

By employing effective procedures and management arrangements, the project will facilitate the allocation of funds to several projects implemented by UNDP offices that meet the following overarching criteria:

1. Contribute to the achievement of one or more of the Roadmap goals;
2. Demonstrate strong national ownership, and be in line with jurisdictions priorities, such as the Action Plans;
3. Demonstrate complementarity with other relevant initiatives in the field of SALW control;
4. Adhere to corporate quality standards, which include strong results frameworks, social and environmental standards, and gender mainstreaming;
5. Demonstrate sustainability of results;
6. Prove an efficient and effective allocation of resources;
7. Require catalytic support for delivering on specific areas of the Strategic Plan priorities and SDG implementation;
8. Mainstream the gender perspective.

UNDP offices will be invited, by a specified date, to submit project proposals for the implementation of the Roadmap, based on a previously-agreed template. UNDP offices will be required to develop relevant projects that respect the highest corporate quality standards and meet the specific SALW control needs of the jurisdictions in relation to one or more of the Roadmap goals. The project proposals will be technically evaluated based on the above-mentioned overarching criteria.

The selection of projects will be done by the project board comprised of the Team Leader for the UNDP Regional Bureau for Europe and CIS Country Office Support Team, UNDP Istanbul Regional Hub Governance & Peacebuilding Team Leader, the Regional Partnerships Advisor, and the representative of the Ministry of Foreign Affairs of the Government of the Federal Republic of Germany. Assurance will be provided by the Quality Assurance Team of the Istanbul Regional Hub. The project board will agree on the rules of procedure at its first meeting, including the criteria for the selection of projects, regularity of meetings, etc. All decisions will be made by consensus of the project board members.

Coordination is also ensured through proper monitoring and reporting on the progress of the implementation of the projects.

## **Output 2: Roadmap projects delivered by selected UNDP offices**

The selected projects will be implemented by UNDP offices, ensuring that the highest quality results are achieved in an efficient, time-bound and sustainable manner. The projects will be implemented in close partnership with the authorities to ensure national ownership and coordination of projects. Also, the regional project team will oversee and regularly monitor the implementation of projects, offering technical support and advice as necessary.

UNDP offices will be requested to submit quarterly and annual reports presenting the results achieved, the challenges encountered during the reporting period and ways they were addressed, as well as lessons learnt, together with financial and visibility reports. UNDP offices will inform SEESAC of any changes that may be necessary in the implementation of the activities, both in terms of specific interventions and budget-wise.

Overall, UNDP offices will be responsible with:

- Submitting project proposals in line with the above-mentioned selection criteria;
- Preparing the final documentation for the selected projects proposals (including final project proposal, project results framework, risk matrix, (multi-)annual work plan and visibility plan);
- Effectively implementing the selected projects, ensuring the achievement of the projects' results and the proper visibility of the donor and partners;
- Ensuring the efficient delivery of the projects' financial resources, according to UNDP rules and regulations;
- Regularly liaising with Government partners to ensure their full participation in the projects' activities and commitment to the projects' results;
- Closely monitoring the progress made on the implementation of the project, as well as the risks identified in the project concept note and any new risks encountered during project implementation;
- Drafting narrative, financial and visibility progress reports and submitting them to the regional project team within 30 days after the end of the reporting period in the agreed template;
- Informing the regional project team in advance of any changes that may or will occur in the project implementation;
- Contributing to information exchange and knowledge sharing across the region, by providing necessary project information upon request and participating in local and regional coordination events;
- Supporting the evaluation of the regional project, by providing the evaluator with all the necessary documentation and relevant information.

## **Output 3: Mechanism for efficient programmatic coordination and monitoring of the Western Balkans SALW Control Roadmap MPTF**

Under Output 3, the project will enable the Trust Fund Secretariat to support the Steering Committee ensure a coordinated approach to the implementation of the Western Balkans SALW Control Roadmap MPTF and will enable a proper monitoring of the projects to be funded through this mechanism. The Secretariat is led by the Head of the Secretariat/UNDP SEESAC Project Manager.

Overall, the Secretariat is responsible to:

- Advise the Steering Committee on strategic priorities, programmatic and financial allocations;
- Provide logistical and operational support to the Steering Committee;
- Organize calls for proposals and appraisal processes;
- Ensure the monitoring of the operational risks and Fund performance;

- Consolidate annual and final narrative reports provided by the Participating UN Organizations and share with the Steering Committee for review as well as with Administrative Agent for preparation of consolidated narrative and financial reports;
- Facilitate collaboration and communication between Participating UN Organizations to ensure programmes are implemented effectively.
- Liaise with the Administrative Agent on fund administration issues, including issues related to project/ fund extensions and project/fund closure.

Also, the Secretariat will liaise with current and potential contributors to the Trust Fund, to ensure an optimal volume and increased predictability of resources, as well as expand the donor base to secure sustainable capitalization for the implementation of the WB SALW Control Roadmap MPTF. The Secretariat will also develop offline and online communication materials to publicize the results achieved within the Trust Fund.

### ***Resources Required to Achieve the Expected Results***

The financial resources required to achieve the expected project results have already been secured. To ensure national ownership and efficiency of costs, UNDP offices in the six Western Balkan jurisdictions will be in charge of implementing projects within their countries and territories.

### ***Partnerships***

Considering UNDP SEESAC's key role in the development and coordination of the Roadmap, the regional project will benefit from UNDP SEESAC's technical expertise in SALW control, as well as its key partnerships with Governments in the region, regional and international organizations and donors active in the area of SALW control.

UNDP SEESAC works under the umbrella of the Regional Cooperation Council (RCC), and therefore coordinates its activities with the relevant regional initiatives in South East Europe. SEESAC has also open bilateral and multilateral channels of communication with all relevant actors and organizations working on SALW control, armed violence prevention and gender mainstreaming in security sector reform. SEESAC as the executive arm of the Regional Implementation Plan on Combating the Proliferation of Small Arms and Light Weapons, who supported the development of the Roadmap, has been mandated to coordinate and monitor its implementation within by the Council of the European Union Decision 2018/1788/CFSP on 19 November 2018, in support of the implementation of the Regional Roadmap on combating illicit arms trafficking.

Partnership with the national partners at the strategic level is ensured through the Steering Group of the Regional Implementation Plan to Combat the Proliferation and Impact of Small Arms and Light Weapons and Coordination Meetings on the implementation of the Regional Roadmap, that consist of National SALW Focal Points, while additional states, interested international organizations and civil society organizations are contributing as observers. In addition to this, the national partners are involved in a systematic and structured dialogue on a technical level through regional meetings of SALW commissions; the South East Europe Firearms Experts Network and the Regional Approach to Stockpile Reduction.

In addition, UNDP SEESAC is regularly invited to take part in all relevant regional fora such as the EU – Western Balkans annual meetings of ministers of justice and home affairs; the NATO Structural Information Exchange Process on SALW; the South-East Europe Defence Ministerial (SEDM) Process. It has a wide network of formal and informal partnerships with organizations such as the Organisation for Security and Cooperation in Europe, RACVIAC (Regional Arms Control Verification and Implementation Assistance Centre) – Centre for Security Cooperation. Regular coordination meetings with other UN agencies such as UNODC, UNODA take place through UN Coordinating Action on Small Arms (CASA) as well as other mechanisms. SEESAC is working closely with the European Firearms Experts network, EUROPOL, EMPACT, INTERPOL as well as other relevant

organisations working on small arms and light weapons control in SEE, as well as those working on gender in security sector reform. Strong partnerships is maintained with the key donors such as the EU, US State Department, Germany, France and Norway.

UNDP offices who will be implementing project activities at the national level maintain strong partnership with the host Governments, the international organizations working on SALW control in their jurisdictions, and local civil society organizations. These partnerships will be further strengthened and will represent a critical resource of the successful implementation of the projects.

### ***Communications***

The project will create a short document laying out key audiences, strategic objectives, including measurable indicators ranging from behavioural change to online traction through social media. The document should include key messages and expected deliverables throughout the year. It is also expected that the project will reserve a dedicated yearly budget for communications and include a list of staff to handle communications deliverables and document outcomes.

### ***Risks and Assumptions***

#### **Risks**

The main risks as well as relevant mitigation measures are described below. The project team will ensure that these risks will not hinder the effective implementation by taking all necessary steps to mitigate the potential risks:

- **Lack of internal political and institutional stability** in the six Western Balkan jurisdictions which may lead to delays and deadlocks in the implementation of the projects – UNDP has strong knowledge and understanding of the situation on the ground, in all the targeted jurisdictions. UNDP offices will ensure close cooperation with their counterparts and observe diligently the situation in order to plan and respond to changes in a timely manner.
- **Insufficient operational capacity within national counterparts**, often lacking human and financial resources to respond to specific, time-constrained activities – The long-term relationships of UNDP offices with the beneficiary institutions provide the basis for realistic capacity assessment and good planning that will mitigate the potentially insufficient operational capacity of national counterparts.
- **Small number of quality project proposals submitted for funding** – The project team will follow up with the management of the UNDP offices to ensure their full understanding and interest in submitting proposals of SALW control projects.

#### **Assumptions**

- **The implementation of the project under the framework of the Roadmap will ensure the full participation and commitment of the beneficiaries.** The Roadmap was jointly developed by the six Western Balkan jurisdictions in a consultative process in line with the [Joint Statement](#) of Deputy Ministers of Interior and Foreign Affairs in South East Europe, adopted at the High Level Meeting, organised by SEESAC with the support of Germany, EU and the Regional Cooperation Council on 1 February 2018. Furthermore, the Roadmap was adopted by Interior and Security Ministers at the Western Balkans London Summit on 10 July 2018, ensuring the high-level political commitment of the Governments in the region, to jointly work on the implementation of the agreed goals and targets. Finally, beneficiaries aligned their SALW Strategies and developed action plans for the implementation of the Roadmap.
- **UNDP offices are interested and committed to submitting proposals of activities in the field of SALW control to be implemented in the framework of this regional project.** UNDP offices have already expressed their interest in supporting the implementation of the Roadmap, several of them have ongoing SALW control projects that they are implementing in close cooperation with the Governments/institutions. UNDP offices will have full ownership

over projects that they will implement, being responsible for the delivery and achievement of results.

### ***Stakeholder Engagement***

UNDP through SEESAC systematically engages the beneficiaries to secure their endorsement and political support and ensures delivery of sustainable results based on national ownership. Regional ownership and engagement of the beneficiaries is ensured through the Regional Cooperation Council (politically) as well as the Regional Steering Group on SALW (technically) where representatives of all states in SEE provide the strategic guidance, initiatives and requests for implementation of SALW control activities in SEE. The foundation of project implementation is regional cooperation and integration. SEESAC facilitates and maintains a systematic and structured dialogue with beneficiaries also through several regional processes at sub-technical levels. Coordination of the implementation of the Roadmap will be ensured through meetings at the regional level (2 per year), as well as coordination meetings at the national level that will bring together the national institutions, relevant implementing partners and donors.

### ***South-South and Triangular Cooperation (SSC/TrC)***

Through the regional approach, the project will primarily facilitate information exchange and knowledge sharing among the authorities in the Western Balkans. Knowledge exchange and cooperation with relevant stakeholders outside of the Western Balkans will be facilitated through SEESAC's Regional Security Sector Reform Platform based on unique network of security experts with experience in the area of Security Sector Reform (SSR) with a particular focus on Arms Control and Gender Mainstreaming in Security Policy. The RSSRP is a South-South and Triangular Cooperation knowledge exchange mechanism that delivers quick, effective and demand driven responses to rule of law needs designed to contribute to Sustainable Development Goals, especially Goal 16 on Peace, Justice and Strong Institutions, and Goal 5 on Gender Equality. Since 2016, SEESAC facilitated 21 deployments from 2015 to 2019 on gender equality in policing and the military, and various aspects of small arms and light weapons.

### ***Knowledge***

An important part of the Roadmap, the implementation of which this project will support, is information sharing and transfer of knowledge and experiences across the region to ensure standardization of procedures and practices in arms control. Lessons learnt in the implementation of projects at the local level will be translated in to knowledge products and shared widely through outreach and communication activities, including social media channels. The results of the project will be also featured in the Funding Windows annual report which will be shared with donors and international partners at the global level.

### ***Sustainability and Scaling Up***

The purpose of the Roadmap is to serve as a guiding and consensual document developed and owned by the Governments of the region, in achieving a sustainable solution to the illegal possession, misuse and trafficking of SALW/firearms, and its ammunition, in the Western Balkans. It is a testimony of the consensus reached among all stakeholders in the region about the current challenges, the overall targets to be reached, and timeline of actions to be taken. It provides an overall platform for commonly agreed levels of performance, and outlines the commitment required at the strategic, policy and operational level amongst the beneficiaries.

This project will support the implementation of the Roadmap, thus assisting the efforts of the Western Balkans in meeting some of the key security conditions for the full European Union Membership as set forth in the EC Communication for “A credible enlargement perspective for an enhanced EU engagement with the Western Balkans”, the annexed Action Plan in Support of the Transformation of the Western Balkans, the 2005 EU Strategy to Combat the Illicit Accumulation and Trafficking of Small Arms and Light Weapons and their Ammunition and the Action Plan on Illicit trafficking in firearms between the EU and the South East Europe region 2015-2019 . It will in addition, contribute directly to the implementation of Sustainable Development Goal 16, with a specific focus on Target 16.4. that aims to significantly reduce illicit financial and arms flows by 2030.

The implementation of the Roadmap will be monitored by UNDP SEESAC based on the 14 Key Performance Indicators (KPIs) which will capture the progress in capacities of the jurisdictions in the region to tackle different aspects of SALW control. Data on the KPIs will be collected annually and discussed during regional meetings organized by UNDP SEESAC, with the support of the European Union. The regional meetings will provide an opportunity to inform on progress, challenges and needs as per the specific goals of the Roadmap, discuss contributions from the international organizations engaged in arms control in the region and donor support in countering the proliferation and illicit trafficking of small arms and light weapons, within the Roadmap framework. The meetings will also enable identification of good practices and lessons learnt. By end 2021 a mid-term evaluation of the implementation of the Roadmap is envisaged, including capacity assessment for the six beneficiaries on SALW control.

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## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

By employing a transparent and results-driven mechanism for allocating funds, the regional project will ensure the cost efficiency and effectiveness of the projects. Proposed projects shall be required to meet the UNDP standards for efficiency and effectiveness, particularly looking at achieving highest quality results with appropriate resources.

Also, given that the projects will be directly implemented by the UNDP offices, they will be able to procure goods and services from the local market and use well-established trustworthy vendors, in line with UNDP rules and regulations, reducing thus the costs of procurement and transactions. Cost efficiency will be also ensured through careful planning of project activities, close cooperation with the beneficiaries and relevant partners on the ground.

By opting for a regional approach to the project, the time and human resources employed for developing and managing the funded projects will be reduced. Although UNDP offices will be directly responsible for meeting delivery rates and achieving the planned results of their proposed projects, they will not be required to develop new project documents, establish separate project governance, or submit separate progress reports to the donors. Nevertheless, UNDP offices shall closely cooperate with the project team to ensure that the regional project meets the monitoring and reporting requirements of the Funding Window and those of the donor.

Furthermore, the regional project will enable to identify and create synergies between projects at the regional level, as well as with other initiatives that contribute to the achievement of same Roadmap goals. This will help increase the cost effectiveness of the project by leveraging activities and partnerships with other projects and initiatives.

At the same time, the coordination of the implementation of Roadmap projects will be conducted by the already existing UNDP SEESAC project team, thus significantly reducing the project administrative costs.

## ***Project Management***

The project is directly implemented by UNDP's Istanbul Regional Hub for Europe and the CIS (IRH), located in Istanbul, Turkey, within the delegated Direct Implementation authority for the Regional Programme implementation, in line with UNDP's Programme and Operations Policies and Procedures. The project is managed by a Project Manager, under direct supervision of IRH Governance and Peacebuilding Team Leader, and with support of the UNDP SEESAC Team. The Project Manager's prime responsibility is to ensure that the project produces the results (outputs) specified in the project document to the required standard of quality and within the specified constraints of time and cost.

The project is implemented in Albania, Bosnia and Herzegovina, Kosovo\*, Montenegro, Republic of North Macedonia and Republic of Serbia directly by the UNDP offices in their respective jurisdictions. UNDP offices will be directly responsible for the implementation of projects at national level, meeting delivery rates and achieving the planned results of their proposed projects. The projects funded under the regional project and implemented by UNDP offices will be managed by UNDP Project managers with project teams employed for the successful achievement of the project results. Funds will be allocated and spent by the UNDP offices within the regional project as separate activities under Output 2.

In its coordination tasks, the project team will closely collaborate and benefit from UNDP SEESAC's technical expertise in SALW control, as well as its key role in assisting Governments in the region strengthen their SALW policies and procedures and align them to the European and international standards. Thus, with UNDP SEESAC technical support, the project team will:

- Advise the Project Board on strategic priorities, programmatic and financial allocations;
- Launch the invitation for project proposals addressed to UNDP offices in the six targeted Western Balkan beneficiaries;
- Liaise and reach out to UNDP offices to secure interest and full understanding of requirements;
- Conduct the technical evaluation of the project proposals received, providing quality assurance support to the project selection process;
- Organize the meetings of the project board who would make the final decision on the project selection process;
- Closely monitor and oversee the funded projects, keeping track of the delivery rate as well as the achievement of the planned results;
- Offer technical and administrative support, as needed, for the successful implementation of the projects;
- Perform knowledge management tasks, facilitating the information exchange and knowledge sharing across the region;
- Draft and submit quarterly and annual results-based reports to the donor within 60 days after the end of the reporting period, based on narrative, financial and visibility progress reports collected from UNDP offices within 30 days after the end of the reporting period in the agreed template;
- Regularly liaise with the donor to ensure its full understanding of the projects' implementation status, of the risks and challenges that may occur during implementation, and any other issues;
- Support the reporting exercise conducted by the Funding Window, focusing on results, transparency and accountability.

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\* References to Kosovo shall be understood to be in the context of Security Council Resolution 1244 (1999).

## V. RESULTS FRAMEWORK<sup>6</sup>

<b>Intended Outcome as stated in the Regional Programme Results and Resource Framework:</b>												
Outcome 3. Building resilience to shocks and crises through enhanced prevention and risk-informed development												
Output 3.3. Regional cooperation enables national systems to ensure the restoration of justice institutions, redress mechanisms and community security, including armed violence reduction and small arms and light weapons (SALW) control												
<b>Outcome indicators as stated in the Regional Results and Resources Framework, including baseline and targets:</b>												
Indicator 3.3.1. Number of regional cooperation forums that support redress mechanisms, justice institutions, and community security (including SALW control)												
Baseline: 5												
Target: 18												
<b>Applicable Output(s) from the UNDP Strategic Plan:</b> Build resilience to shocks and crises.												
<b>Project title and Atlas Project Number:</b> Support to the implementation of the Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons (SALW) and their ammunition in the Western Balkans												
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>7</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year ...	FINAL		
<b>Output 1</b> <i>Mechanism for efficient coordination of the Roadmap projects developed and put in place</i>	<i>1.1 Number of project proposals meeting the overarching criteria and approved for funding</i>	<i>UNDP IRH</i>	0	2018	5	0	0				5	<i>Technical evaluation report; Project board meeting minutes</i>
	<i>1.2 Existence of a guidance note on the submission, selection and implementation of the Roadmap projects</i>	<i>UNDP IRH, Funding Windows</i>	No	2018	yes						Yes	<i>Guidance note; Project board meeting minutes</i>
	<i>1.3 Number of knowledge products, and visibility and communication materials released</i>	<i>UNDP Offices, UNDP IRH</i>	0	2018	1	5	5				11	<i>Progress and annual reports; UNDP websites and social media channels</i>
<b>Output 2</b> <i>Roadmap projects delivered by selected UNDP offices</i>	<i>2.1 Number of Roadmap projects that have achieved their planned results</i>	<i>UNDP Offices</i>	0	2018	0	2	3				5	<i>Progress and annual reports</i>

<b>Output 3</b> Mechanism for efficient programmatic coordination and monitoring of the Western Balkans SALW Control Roadmap MPTF in place	<b>3.1.</b> <i>Number of project proposals meeting the evaluation criteria and approved for funding from the Western Balkans SALW Control Roadmap MPTF</i>	<i>UNDP IRH</i>	0	2019	-	7	3			10	<i>Steering Committee meeting minutes</i>
	<b>3.2</b> <i>Number of progress reports consolidated and submitted to the Steering Committee</i>	<i>UNDP IRH</i>	0	2019	-	1	1			2	<i>Annual progress reports</i>

<sup>6</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

<sup>7</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	UNDP Offices	
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP Offices	
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP Offices	
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	as per PPM requirement	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP Offices	
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders,	Quarterly			

	consisting of progress data showing the results achieved against pre-defined annual targets at the output level, and updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.				
<b>Project Review (Project Board)</b>	The project board will hold regular project reviews to assess project performance and progress against the Multi-Year Work Plan, as well as to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

### Evaluation Plan<sup>8</sup>

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	RPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Evaluation		Strategic Plan outcome 3	Outcome 3, output 3.3	September 2021	UNDP Offices, Beneficiaries in Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, Serbia	50,000, Funding Windows

<sup>8</sup> Optional, if needed

## VII. MULTI-YEAR WORK PLAN <sup>910</sup>

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
<b>Output 1: Mechanism for efficient coordination of the Roadmap projects developed and put in place</b>  <i>Gender marker: GEN2</i>	1.1 Coordination of implementation of Roadmap projects	\$78,943	\$78,942	\$78,942		UNDP IRH	Funding Windows	Salaries	\$214,000
	1.2 Communications	\$6,000	\$7,500	\$7,500		UNDP IRH		Travel	\$38,827
	MONITORING	0	0	0		UNDP IRH		Promotional materials, media costs	\$5,000
	<b>Sub-Total for Output 1</b>								<b>\$257,827</b>
<b>Output 2: Roadmap projects delivered by UNDP Offices<sup>11</sup></b>  <i>Gender marker: GEN 2</i>	2.1 Implementation of Roadmap projects	\$1,485,793	\$2,000,000	\$2,000,000		UNDP Offices	Funding Windows	Contractual services	\$5,485,793
	MONITORING	0	0	0		UNDP Offices			
	<b>Sub-Total for Output 2</b>								<b>\$5,485,793</b>
<b>Output 3: Mechanism for efficient programmatic coordination and monitoring of the Western Balkans SALW Control Roadmap MPTF in place</b>	3.1. Coordination and monitoring of the Western Balkans SALW Control Roadmap MPTF	0	\$55,500			UNDP IRH	MPTF Office	Individual consultants, salaries, travel, promotional materials, contractual services	\$55,500
	MONITORING	0	0			UNDP IRH			

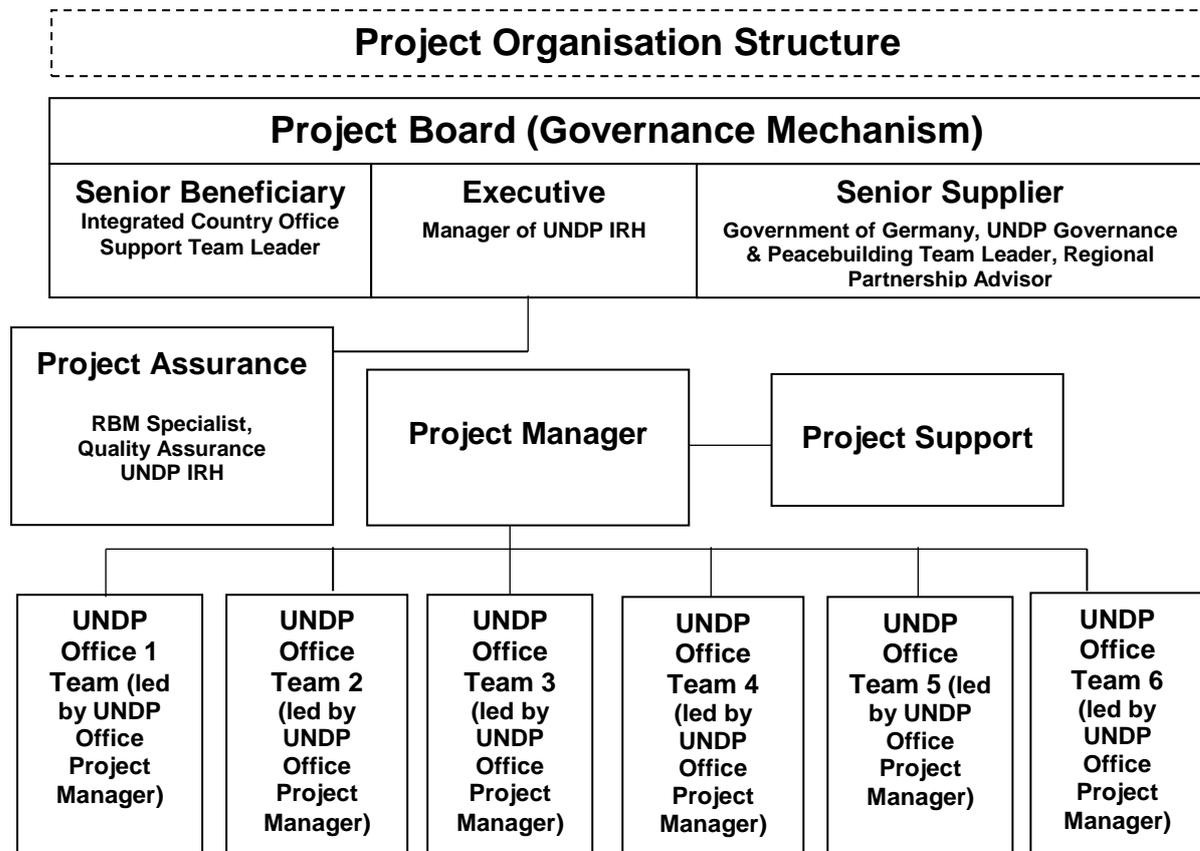
<sup>9</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>10</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

<sup>11</sup> Funds will be allocated and spent by UNDP offices within the regional project as activities within existing Output 2.

<i>Gender marker: GEN2</i>	<b>Sub-Total for Output 3</b>								<b>\$55,500</b>
<b>Evaluation</b>	EVALUATION	0	0	\$50,000		UNDP IRH	Funding Windows	Contractual services 72100	<b>\$50,000</b>
<b>General Management Support (for Output 1 and Output 2)</b>	8%								<b>\$463,490</b>
<b>General Management Support (for Output 3)</b>	7%								<b>\$3,885</b>
<b>TOTAL</b>									<b>\$6,316,495</b>

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



The project is directly implemented by UNDP's Istanbul Regional Hub for Europe and the CIS (IRH) within the delegated Direct Implementation authority for the Regional Programme implementation, in line with UNDP's [Programme and Operations Policies and Procedures](#). UNDP Istanbul Regional Hub is responsible for overall management, backstopping and monitoring of the project. Local level activities under this regional project are directly implemented UNDP offices and the national partners.

The project will be directed by a Project Board, chaired by the Manager of the Istanbul Regional Hub, who will serve as the Project Executive. The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. The project board will be comprised of the UNDP IRH Manager, the UNDP IRH Integrated Country Office Support Team Leader, UNDP IRH Governance & Peacebuilding Team Leader, the Regional Partnerships Advisor, and the representative of the Ministry of Foreign Affairs of the Government of the Federal Republic of Germany.

In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with corporate UNDP standards that shall ensure best value for money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Manager of the Istanbul Regional Hub.

The project board will:

- Provide overall leadership, guidance and direction in successful delivery of outputs and their contribution to outcomes under the programme;

- Be responsible for making strategic decisions by consensus, including the selection of the CO project proposals to be funded and the approval of the project substantive revisions (i.e., changes in the project document);
- Approve annual work plans, annual reviews, and other reports as needed;
- Meet at least once a year (either in person or virtually) to review project implementation, management risks, and other relevant issues;
- Address any relevant project issues as raised by the Project Manager;
- Provide guidance on new project risks and agree on possible countermeasures and management actions to address specific risks.

The project will be managed by a SEESAC Project Manager, who has the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager prime responsibility is to ensure that the project produces the results (outputs) specified in the project document to the required standard of quality and within the specified constraints of time and cost.

Project Assurance is the responsibility of each Project Board member; however, the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. The project assurance role for this project will be performed by IRH RBM Specialist.

The Project Support role provides project administration, management and technical support to the Project Manager in achieving a coordinated implementation of the Roadmap. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

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## IX. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions to the Project Document](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof. All references in the SBA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by Istanbul Regional Hub, RBEC ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

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## X. RISK MANAGEMENT

### UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>12</sup> [UNDP funds received pursuant to the Project Document]<sup>13</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA [*for the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
  - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
  - c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
  - d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
  - e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions

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<sup>12</sup> To be used where UNDP is the Implementing Partner

<sup>13</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. Each responsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.
- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

## **XI. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Risk Analysis**
- 3. Social and Environmental Screening**

**ANNEX [2]. OFFLINE RISK ANALYSIS**

<b>Project Title:</b> Support to the implementation of the Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons (SALW) and their ammunition in the Western Balkans	<b>Award ID:</b>	<b>Date:</b> 18 February 2019
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	<b>Lack of internal political and institutional stability in the six Western Balkan jurisdictions</b>	February 2019	Political/institutional	The lack of internal political and institutional stability in the six Western Balkan jurisdictions may lead to delays and deadlocks in the implementation of the Roadmap projects  P =3 I = 4	UNDP has strong knowledge and understanding of the situation on the ground, in all the targeted jurisdictions. UNDP COs will ensure close cooperation with their counterparts and observe diligently the situation in order to plan and respond to changes in a timely manner	UNDP COs	Project manager	Q1 2019	N/A
2	<b>Insufficient operational capacity within national counterparts</b>	February 2019	Operational	Insufficient operational capacity within national counterparts, often lacking human and financial resources to respond to specific, time-constrained activities may lead to delays and deadlocks in the implementation of the Roadmap projects.  P =4 I = 4	The long-term relationships of UNDP COs with the beneficiary institutions provide the basis for realistic capacity assessment and good planning that will mitigate the potentially insufficient operational capacity of national counterparts	UNDP COs	Project manager	Q1 2019	N/A
3	<b>Small number of quality projects submitted for funding</b>	February 2019	Operational	A small number of quality projects submitted for funding will require a new invitation for project proposal which will delay project implementation.  P=1 I=3	The project team will follow up with the management of the UNDP COs to ensure their full understanding and interest in the submitting proposals of SALW control projects.	UNDP IRH	Project manager	Q1 2019	N/A

4	<b>Risk to communities from unwanted explosions</b>	February 2019	Social	<p>The project may include activities involving security upgrades of SALW and ammunition storage locations and destruction of firearms and ammunition.</p> <p>P = 1 I = 2</p>	<p>As per the established best practices in the implementation of the previous SALW control activities implemented by UNDP, the SALW and ammunition storage locations that may be selected by the project for the security infrastructure upgrades will be vacated of all ammunition before the project intervention starts. Furthermore, the appropriate local environmental protection and all other applicable legislation and regulations in the respective SEE countries will be dully followed during the implementation. The project makes sure that the applied design solutions along with the building materials used at the carefully selected spaces are in line with international best practices and environmental standards. The project seeks to replicate the most appropriate and sustainable solutions across its geographic scope. In addition to this, destruction of surplus SALW and ammunition that may be implemented within the project will be done in line with the international standards, in an environmentally benign way in the specialized disposal facilities. Risk mitigation is done by selection of specialized and highly qualified service suppliers and regular monitoring of services execution. UNDP has extensive experience in conducting security upgrades of storages of weapons and ammunition, as well as disposal of surplus and confiscated SALW and ammunition.</p>	UNDP COs	Project manager	Q1 2019	N/A
5	<b>Potential release of pollutants to</b>	February 2019	Environmental	<p>The project may include activities involving security</p>	<p>As per the established best practices in the implementation of</p>	UNDP COs	Project manager	Q1 2019	N/A

	<p><b>the environment due to unwanted explosions</b></p>			<p>upgrades of SALW and ammunition storage locations and destruction of firearms and ammunition.                      P = 1                      I = 2</p>	<p>the previous SALW control activities implemented by UNDP, the SALW and ammunition storage locations that may be selected by the project for the security infrastructure upgrades will be vacated of all ammunition before the project intervention starts. Furthermore, the appropriate local environmental protection and all other applicable legislation and regulations in the respective SEE countries will be dully followed during the implementation. The project makes sure that the applied design solutions along with the building materials used at the carefully selected spaces are in line with international best practices and environmental standards. The project seeks to replicate the most appropriate and sustainable solutions across its geographic scope. In addition to this, destruction of surplus SALW and ammunition that may be implemented within the project will be done in line with the international standards, in an environmentally benign way in the specialized disposal facilities. Risk mitigation is done by selection of specialized and highly qualified service suppliers and regular monitoring of services execution. UNDP has extensive experience in conducting security upgrades of storages of weapons and ammunition, as well as disposal of surplus and confiscated SALW and ammunition.</p>				
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